



Financial Research Associates presents

The Family Office Risk Management Summit 2015

Overcoming the Challenges of Cyber Security, Counterparty Risk, Hidden Risks, Internal Controls, Business Continuity, and so Much More

The Princeton Club - New York, NY - December 7-8, 2015

The ONLY event in the industry that teaches you how to reduce all types of risk exposure including:

- Personnel risk
- Succession risk
- Government/regulatory risk
- Cyber security
- Counterparty risk
- Business continuity risk
- Financial risk
- Enterprise risk
- Operational risk
- Reputational risk
- Legal risk
- Tax risk
- Exogenous risk

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us at www.frallc.com





Financial Research Associates has established a reputation for substantive events with quality attendance from real family offices.

We pride ourselves in the content of our topics and the caliber of our attendees-- our ratio of family office members to vendors speaks for itself. This event on December 7-8 in NYC is no different. **Our Family Office Risk Management Summit** will cater to the most relevant risk issues plaguing your family office. Our hand-picked speakers will walk you through the daily challenges and solutions for reducing risk exposure in your family office. You will benefit from real-world experiences from family members, their executives, and industry leaders on how to protect the future of your family.

Delve into this thought-provoking two-day event and hear how your colleagues are confronting the disturbing realities of:

- Hidden risks rooted in your family office
- Fact patterns and warning signs for cyber security risk
- Risks and vulnerabilities your vendors, clients, or counterparts are exposing you to
- Succession, governance, and sustainability perils
- Employment and personnel considerations
- Financial, geopolitical, and macro-economic risks
- Business continuity dangers
- Operational, tax, fiduciary, and regulatory risk exposure
- Personal security – facts and precautions necessary in today's world
- And so much more!

Don't miss this opportunity to receive concrete examples and invaluable guidance on reducing risk in your family office. Our knowledgeable and qualified faculty is eager to share their life experiences and solutions with you.

Register today! Call 800-280-8440 or online at www.frallc.com.

Sincerely,

Laura Garza, *Conference Director*
FINANCIAL RESEARCH ASSOCIATES, LLC

P.S. Family Offices save \$1100 off the registration fee

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Enhance your marketing efforts through sponsoring a special event or exhibiting your product at this event. We can design custom sponsorship packages tailored to your marketing needs, such as a cocktail reception or a custom-designed networking event.

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Our Distinguished Speaking Faculty

Linda Bourn, **CRYSTAL & COMPANY**

Matthew F. Erskine, **THE ERSKINE COMPANY**

Catherine (Katie) Kinsey, **KINSEY FAMILY GOVERNANCE LLC**

Sylvia Shepard, **SMITH FAMILY COUNCIL**

Ann Gebhardt, **HLH ASSOCIATES**

N. Todd Angkatavanich, **WITHERSWORLDWIDE**

Roy P. Kozupsky, **GAMBRELL & RUSSELL, LLP**

Robert J. Sugrue, **INSITE SECURITY INC.**

Howard Cooper, **COOPER FAMILY OFFICE**

Timothy McCarthy, **HOLDUN FAMILY OFFICE**

Isabella Cagnazzo Fonseca, **WEALTH MANAGEMENT CELENT**

Theresa J. Pratt, **MARKET STREET TRUST COMPANY**

Mary K. Duke, **FAMILY WEALTH ADVISOR**

Joan Sharp, **SHARP FAMILY OFFICE**

Michael Zeuner, **WE FAMILY OFFICES**

Carol Pepper, **PEPPER INTERNATIONAL, LLC**

Leslie Voth, **PITCAIRN**

Thomas D. Davidow, **THOMAS DAVIDOW & ASSOCIATES**

Linda C. Mack, **MACK INTERNATIONAL LLC**

Ira J. Perlmutter, **T5 EQUITY PARTNERS, LLC**

Bill Masucci, **FD FAMILY OFFICE**
Harris Fried, **THE FRIED FAMILY OFFICE LLC**

Denny Moss, **KEMMONS WILSON COMPANIES**

Susan R. Schoenfeld, **WEALTH LEGACY ADVISORS LLC**

Edward Renn, **MACIAN WEALTH MANAGEMENT, LLC**

Natasha Pearl, **ASHTON PEARL**
Christopher Falkenberg, **INSITE SECURITY INC.**

Richard I. Knox, **PETRODATA BUSINESS SYSTEMS, INC.**

Matthew Hodgen, **MACIAN WEALTH MANAGEMENT, LLC**

Sarah J. Roupp, **MARKET STREET TRUST COMPANY**

Thomas J. DeMayo, **O'CONNOR DAVIES, LLP**

Thomas J. Riggs, **O'CONNOR DAVIES, LLP**

Who Should Attend?

This Summit is designed for family offices and their executives including (but not limited to):

- Principals and primary members
- Chief Operating Officers
- Chief Executive Officers
- Chief Financial Officers
- Office employees
- Advisors
- Controllers
- Attorneys and accountants

Top Reasons to Attend

- Listen as family offices and their executives divulge their solutions to various risk scenarios
- Reduce your risk exposure in over 10 areas including but limited to: succession risk, cyber risk, counterparty risk, financial risk, operational risk, and more
- Broaden your network of SFO and MFO contacts
- Identify ways to immediately improve your personal security
- Discover the hidden risks embedded in your family office
- Hear how your colleagues are meeting the challenges of succession and personnel risk
- Get action points on how to protect your family office from cyber risk and cloud breaches
- Benefit from one of the best family office-to-vendor ratios in the industry
- Learn how to keep sensitive information secure
- Take advantage of this opportunity to find solutions to all your risk management fears
- Attend the only event in the industry that exclusively focuses on all aspects of family office risk



DAY ONE: Monday, December 7, 2015

8:00 - 8:35 Registration and Continental Breakfast
8:35 - 8:45 Welcome and Chair's Opening Remarks
TBA

8:45 - 9:45 **Risk Study: Identifying All the Hidden Risks Embedded in Family Offices: Risk Management Priorities**

- What are examples of family office risks? Which ones are most hidden/overlooked?
- Are family offices meeting the risk management needs of the next generation?
- Examining hidden risks with:
 - Global travel
 - Direct investments
 - Entrepreneurial ventures
 - Ownership of shared assets such as aviation, family compounds, land, collections
- How do you prioritize the risks affecting your family office?

Moderator:

Linda Bourn, *Executive Managing Director, Family Enterprise Risk Practice*

Crystal & Company

Panelists:

Matthew F. Erskine

The Erskine Company

Catherine (Katie) Kinsey, *President and Founder*
Kinsey Family Governance LLC

Sylvia Shepard

Menasha Corporation

Chair

Smith Family Council

Avoiding Digital Death: A Three-Part Discussion

9:45 - 10:45 **Part I: Cyber Security: Closing the Gap on Cyber Security Risk**

- Best practices for securing data
- Cloud risks and options: What is actually safe?
- Who has access to proprietary cyber information?
- Keeping all portable devices secure
- What's the latest in cyberspace and forensic accounting?
- What you need to know now about information security
- Strategies to prevent problems before it is too late
- Fact patterns and warnings
- Employee training
- Third party audits
- Improving response time

Moderator:

Thomas J. DeMayo, CISSP, CISA, CIPP/US CPT CEH CHFI MCSEDirector, IT Risk Advisory

O'Connor Davies, LLP

Panelists:

Robert J. Sugrue, *Managing Director*

Insite Security Inc.

Howard Cooper, *CEO*

Cooper Family Office

10:45 - 11:00 Morning Break

11:00-11:30 **Part II: Safeguarding Customer Data**

- Needs and expectations for risk operations within the wealth management industry
- Big data/analytics as an important tool for firms looking to access more data and new data types to improve risk management

- Advisor tools to address data security and confidentiality

Isabella Cagnazzo Fonseca, *Research Director, Wealth Management*

Celent

11:30 - 12:30 **Part III: Case Study** **Counterparty Cyber Risk: Ensuring Your Affiliates/Clients/Vendors Are Keeping You Safe**

- You may have gone above and beyond to manage your cyber risk, but what about your service providers?
- Scrutinizing the ability to control information
- Identifying red flags from your service providers
- What are the realistic threats?
- Managing your clients/vendor cyber exposure
- Do you have a handle of the disaster recovery plans for your family and service providers?
- Surviving an audit

Theresa J. Pratt, *Director of Information Technologies*

Market Street Trust Company

Sarah J. Roupp, *Trust and Compliance Manager*

Market Street Trust Company

Thomas J. DeMayo, CISSP, CISA, CIPP/US CPT CEH CHFI

MCSEDirector, IT Risk Advisory

O'Connor Davies, LLP

12:30 - 1:45 Networking Luncheon sponsored by

O'CONNOR DAVIES
FAMILY OFFICE

1:45 - 2:45 **Succession Risk, Governance, and Sustainability: Fostering a Sustainable Model**

- Enhancing your governance structure
- Employment and staffing considerations
- Strategies for improving your family risk and succession planning
- Transmission risk
- How does the governance structure affect your business continuity strategy (and vice versa)?
- Involving multiple generations

Moderator:

Mary K. Duke, *Esq, TEP, CMA*

Family Wealth Advisor

Panelists:

Joan Sharp, *Family Member*

Sharp Family Office

Michael Zeuner, *Managing Partner*

WE Family Offices

Carol Pepper, *CEO & Founder*

Pepper International, LLC

2:45 - 3:00 Afternoon Break

3:00 - 4:00 **Establishing a Successful Business Continuity & Staffing Structure**

- How to retain staff
- Tips for motivating staff
- Employee background checking
- What are the risks associates with employees and staff? Are you protected?
- Establishing a career path
- What are your outsourcing options and fees?
- Virtual and non-virtual solutions
- How can you enhance your business continuity strategy? Getting buy-in from all

Moderator:

Timothy McCarthy, *President, Caribbean Region*

Holdun Family Office



Panelists:

Leslie Voth, CEO

Pitcairn

Thomas D. Davidow, *Founder & Principal*

Thomas Davidow & Associates

Linda C. Mack, *President*

Mack International LLC

4:00 – 5:00 Financial Risk Management: Understanding Various Aspects of Risk in Your Portfolio

- Stepping up your due diligence practices
- Is diversification enough?
- Going above and beyond in your due diligence search: Leaving no stone unturned
- Avoiding manager blow ups
- Spotting conflicts of interest
- Documenting conflicts of interest
- What are the effects of geopolitical risk?

- Creating formal policies and procedures to reduce risk exposure
- How does macro-economic risk impact your portfolio?

Moderator:

Howard Cooper, CEO

Cooper Family Office

Panelists:

Ira J. Perlmutter, *Head of Family Office Direct Investing*

T5 Equity Partners, LLC

Bill Masucci, CEO

FD Family Office

Harris Fried, *Chairman and CEO*

The Fried Family Office LLC

Denny Moss, *Chief Operations Officer*

Kemmons Wilson Companies

5:00 - 6:00

Cocktail Reception Immediately Following

Please contact Menna Lloyd-White for additional sponsorship information. (704) 341-2440 mlloydwhite@frallc.com



DAY TWO: Tuesday, December 8, 2015

8:00 - 8:45

Continental Breakfast

8:45 - 9:00

Recap of Day One

TBA

A Two-Part Discussion: Internal Risk

9:00 – 10:00 Part I: Fiduciary Risk: Taking a Closer Look at Regulatory, Compliance, & Legal Risk

- What are the risks affiliated with inherent, intentionally acquired, and inadvertently acquired fiduciary duties?
- Are you meeting all of your regulatory compliance obligations? What are the risks?
- What you need to know about Trustee risk
- Protecting yourself against litigation

Moderator:

Susan R. Schoenfeld, JD, LL.M. (Taxation), CPA, MBA, *Chief Executive*

Officer Wealth Legacy Advisors LLC

Panelists:

Ann Gebhardt, CPA, CFO

HLH ASSOCIATES

N. Todd Angkatavanich, *Partner, Regional Practice Group Leader, US, Trust, Estate and Charitable Planning Group*

Withersworldwide

Roy P. Kozupsky, *Partner and Head of Private Client Department*

Smith, Gambrell & Russell, LLP

10:00 – 11:00 Part II: Tax Management Risk: Confronting the Newly Aggressive Family Office Tax Rules

- Coping with the recent and overly intrusive IRS stance against family offices
- Understanding the new taxes and their effects on your fund
- Enhancing internal controls and procedures
- Best practices for investment reports
- Surviving an audit

Edward Renn,

Withers Bergman

Thomas J. Riggs, *Managing Director - Financial Services and Family Office Tax*

O'CONNOR DAVIES, LLP

11:15 - 12:15 Personal Security Risk: Disturbing Realities Regarding Personal Security

- What you need to know before traveling
- How much security is enough?
- The realities of kidnapping and ransom: Are you at risk?
- Protecting yourself from identity theft
- Action items to do right away to improve security
- Background checks on private staff
- Conducting regular checks to ensure security cameras and other systems are actually working
- "Door opening protocol" – how does it work?
- Understanding the risks you may be exposing yourself to
- Opening yourself to various vulnerabilities on social media – what you need to know now

Matthew Hodgen, *Chief Executive Officer*

Macian Wealth Management, LLC

Natasha Pearl, *Chief Executive Officer and Founder*

Ashton Pearl

Christopher Falkenberg, *Founder and President*

Insite Security Inc.

12:15 - 1:30

Networking Luncheon

1:30 - 2:30 Disaster Recovery Risk: Is Your Backup Plan Going to Work When You Need it To?

- What constitutes a disaster?
- What exactly is disaster recovery plan?
- How do I create a disaster recovery plan?
- Why do I need a disaster recovery plan?
- What do I do after a disaster?
- How should I backup my computer?
- How should I backup my file cabinets?
- Should I test my disaster recovery plan?
- What is all this going to cost me?

Richard I. Knox, CPA, *President*

PetroData Business Systems, Inc.

2:30 – 3:15

Topic TBA

11:00 - 11:15

Morning Break

3:15

End of Summit

Venue Details

The Princeton Club
15 West 43rd Street, New York, NY 10036
(212) 596-1200

If you require overnight accommodation for this conference, please contact any of the following nearby hotels to check their best available corporate rate over this time frame, or consult your local travel agent. Please note that FRA has not negotiated rates with any of these hotels.

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InterContinental Times Square - 212-803-4500
Westin Times Square - 866-837-4183
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Hotel Sofitel New York - 212-354-8844

The Princeton Club, New York City

The Club offers you the best of everything—in the heart of everything. You'll find us at 15 West 43rd Street, between 5th and 6th Avenues, in New York City's iconic Midtown Manhattan district. Grand Central Station, the Empire State Building, the Theater District, and Central Park are all within easy strolls of our front door. And we're just 20 minutes from LaGuardia Airport and 30 minutes from John F. Kennedy International Airport.

Team

Discounts

- Three people will receive 10% off.
- Four people will receive 15% off.
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In order to secure a group discount, all delegates must place their registrations at the same time. Group discounts cannot be issued retroactively. For more information, please contact Whitney Betts at 704-341-2445 or wbetts@frallc.com

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The Conference Organizer



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O'Connor Davies Family Office, a division of O'Connor Davies, LLP, provides a full range of family office, accounting, tax and advanced planning services to high net worth individuals, families, family offices, closely-held businesses, executives of multi-national corporations, family trusts and entrepreneurs. Wealthy individuals, multigenerational families, successful business owners and their key advisors rely on O'Connor Davies Family Office for its extensive family office and tax expertise and highly personalized suite of services. O'Connor Davies is a member of PKF International, a network of legally independent member firms providing accounting and advisory services in over 440 locations in over 150 countries around the world. <http://www.odpkf.com>

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The Family Office Risk Management Summit 2015

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Conference Code: B988

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