

The Center for Banking and Financial Law of
Boston University School of Law
and
Federated Investors, Inc.
Present a Symposium on

HOW TO MANAGE CONFLICTS OF INTEREST IN WEALTH MANAGEMENT TRANSACTIONS

October 13, 2006
JW Marriott Hotel Pennsylvania Avenue
Washington, DC

AGENDA

7:30-8:15 am

BREAKFAST BUFFET

8:15-8:30 am

INTRODUCTORY REMARKS

Eugene F. Maloney
Executive Vice President and Corporate Counsel
Federated Investors, Inc.
Pittsburgh, PA
and
Adjunct Faculty Member
Morin Center for Banking and Financial Law
Boston University School of Law
Boston, MA

Cornelius Hurley
Director
Morin Center for Banking and Financial Law
Boston University School of Law
Boston, MA

8:30-9:30 am

**THE TRUST LAW DUTY OF LOYALTY:
SOLE INTEREST or BEST INTEREST?**

John H. Langbein
Sterling Professor of Law and Legal History
Yale Law School
New Haven, CT

9:30-10:15 am

**FEDERAL REGULATORY STANDARDS
AND EXPECTATIONS**

PANEL MODERATORS

Melanie Fein

Partner

Goodwin Procter LLP

Washington, DC

Tamar Frankel

Professor

Morin Center for Banking and Financial Law

Boston University School of Law

Boston, MA

BANKING REGULATORS

Anthony J. DiMilo

FDIC Examination Specialist

Division of Supervision and Consumer Protection

Washington, DC

Elizabeth Meier

Senior Examiner

Federal Reserve Bank of New York

New York, NY

10:15-10:30 am

BREAK

10:30-11:15 am

SECURITIES REGULATORS

Robert Plaze

Associate Director

SEC Division of Investment Management

Washington, DC

Lourdes Gonzalez

Assistant Chief Counsel, Sales Practices

SEC Division of Market Regulation

Washington, DC

Thomas Selman

Senior Vice President

Investment Companies/Corporate Financing

NASD Regulation, Inc.

Washington, DC

11:15 am-Noon

ERISA REGULATION

Donald J. Myers

Partner

Reed Smith LLP

Washington, DC

Ivan L. Strasfeld

Director, Office of Exemption Determinations

Employee Benefits Security Administration

U.S. Department of Labor

Washington, DC

Louis Campagna

Chief, Division of Fiduciary Interpretations

Employee Benefits Security Administration

U.S. Department of Labor

Washington, DC

Noon -1:30 pm

Luncheon and Featured Speaker:

PENNSYLVANIA ATTORNEY GENERAL TOM CORBETT

1:30-2:00 pm

CONFLICTS OF INTEREST: AN ETHICAL CHOICE?

Bradley R. Agle, Ph.D.

Associate Professor and Director

David Berg Center for Ethics and Leadership

Katz Graduate School of Business

University of Pittsburgh

Pittsburgh, PA

2:00-2:30 pm

MANAGING CONFLICTS ON A GLOBAL BASIS

Cynthia Fornelli

Regulatory and Conflicts Manager

Bank of America

Charlotte, NC

2:30-2:45 pm

Q & A – CLOSING REMARKS