



## Agenda

### MONDAY, MAY 2nd

- 3:00 pm – 7:00 pm **Conference Registration**
- 5:00 pm – 7:30 pm **Welcome Reception with Exhibitors: Sponsored by Voya Financial, Inc.**
- 5:30 pm – 6:15 pm **Presentation of Lifetime Achievement Award: Sponsored by Dimensional Fund Advisors, and Signature Awards**

### TUESDAY, MAY 3rd

*All morning general sessions and lunch will be held in ballroom 204 – 205.*

- 7:00 am – 8:00 am **Conference Registration**
- 7:30 am – 8:00 am **Continental Breakfast with Exhibitors**
- 8:00 am – 8:10 am **Opening and Welcome**  
*Steve McCaffrey, Senior Counsel, National Grid USA Service Company, Inc. and Chair of the PSCA Board of Directors*
- 8:10 am – 8:30 am **Executive Director Welcome**  
*Tony Verheyen, Executive Director, PSCA*
- 8:30 am – 9:25 am **Hon. David Walker Key Note**  
**Putting the Nation's Finances in Order and the Likely Implications for Plans and Participants**  
*Hon. David M. Walker, Senior Strategic Advisor, PwC, Former U.S. Comptroller General*  

Mr. Walker will discuss the past, present and projected financial position of the U.S. as well as the current financial position and competitiveness posture of the states. Common challenges and a framework for potential tax, spending and other reforms needed to restore fiscal sustainability will also be discussed. The presenter will also answer questions.
- 9:30 am – 10:25 am **Developing Your Financial Wellness Program**  
*Moderator: Kenje Mallot, Financial Solutions Product Manager, Retirement Strategy & Solutions, Aon Hewitt*  
*Dave Gray, Vice President, Client Experience, Schwab Retirement Plan Services, Inc.*  
*Liz Davidson, Founder and CEO, Financial Finesse, Inc.*  
*Lisa Mrozinski, Director of Total Rewards, Robert W. Baird & Co.*  

The market has a vast array of products and services available in the financial wellness space, so it can be hard to determine the right pieces for your organization's program. This session will explore developing your wellness strategy and building your program. We will also discuss the most cost-effective options for your strategy and effective implementation of your program. Organization case studies will be shared so you can see what's working for your peers.
- 10:25 am – 10:55 am **Networking Break: Sponsored by BKD**

**TUESDAY, MAY 3rd** (continued)

10:55 am – 11:50 am **Executive Compensation Pitfalls – From 409A to the ACA**

*Bruce McNeil, Partner, Littler Mendelson PC*

Never before has executive compensation been more regulated than it is today. Legislation squarely aimed at executive remuneration has become law several times in the past few years. In addition, Section 409A of the Internal Revenue Code continues to impose significant restrictions on the manner in which deferred payments can be fashioned, and not just to those in the executive suite. The ACA, a very unlikely source, has also affected the way executives can be paid. At this session, we will discuss the issues involved with structuring not only traditional executive compensation arrangements, but also payments under employment agreements, severance and settlement agreements, and deferred compensation devices. We will discuss the steps employers must take to avoid inadvertent violations that could result in penalty taxes for employees, former employees, and other service providers. We will identify and discuss the most common issues that employers face and identify the best strategies for ensuring compliance with the current mix of legal and regulatory requirements.

11:50 am – 1:00 pm **Lunch: Sponsored by Aon Hewitt**

1:00 pm – 1:50 pm **Breakout Workshops – A**

**Breakout A1 Evaluating Target Date Funds – Key Considerations**

*Moderator: Jonathan Epstein, Director of National Accounts, Fiduciary Benchmarks  
Philip Murphy, CFA, VP North American Equities, S&P Dow Jones Indices  
Massi De Santis, PhD, Vice President, Dimensional Fund Advisors*

Plan fiduciaries have a duty to properly select and monitor their plan's designated investment alternatives. To help plan sponsors navigate through the Target Date Fund evaluation process, our panelists will discuss key considerations from an investment manager's perspective, a benchmarking perspective, and a plan sponsor's perspective.

**Breakout A2 Advisor Search**

*Ty Parrish, CIMA®, C(k)P™, GFS®, Managing Partner & Senior ERISA Consultant, Blue Prairie Group  
Trisha Brambley, CEO & Founder, Retirement Playbook, Inc.*

Is your advisory firm still the right one for you? Whether or not you are thinking about making a change, there are benefits to seeing what the current best offerings are. We will talk about how these services have evolved, what is the gold standard, tips for selecting or retaining a plan advisor. The presentation will include a practical discussion of your fiduciary obligation to review providers and case studies that reveal and quantify the benefits of taking on this important due diligence.

**Breakout A3 403(b) Trends and Best Practices – How does your plan stack up?**

*Brad Holterhaus, Director of Business Development – Tax Exempt Retirement & Income Solutions,  
Principal Financial Group*

Based on the latest research and evolving trends, we'll focus on tax exempt plan best practices, providing you with actionable steps to be more efficient in daily operations, keep your plan in compliance and measure the success of your retirement plan. Please join us as we focus on helping you achieve the desired goals you have set for your organization and employees.

**TUESDAY, MAY 3rd** (continued)

2:00 pm – 2:50 pm **Breakout Workshops – B**

**Breakout B1 Conducting RFPs and RFIs in the “New Fiduciary World Order”**

*Matt Gnabasik, Managing Director, Blue Prairie Group*

If recent lawsuits are any indication, then we’re headed towards a world where sponsors will be forced to conduct much more frequent RFP and RFIs. Learn from Blue Prairie Group’s founder and Sr. ERISA Consultant, Matt Gnabasik, how to follow a proven process when conducting either a RFI or a RFP to maximize results while demonstrating your commitment to fiduciary sound process. Whether you conduct the project yourself or use an outside consultant, you’ll want to hear what works from a consultant who has conducted over 100 vendor evaluations over the past 10 years.

**Breakout B2 Retirement Advice and the Employer’s Role**

*Carol Bogosian A.S.A., Member, Society of Actuaries Committee on Post-Retirement Needs and Risks*

*Anna Rappaport F.S.A., M.A.A.A., Chair, Society of Actuaries Committee on Post-Retirement Needs and Risks*

The Society of Actuaries recently conducted research on the employer’s role in providing retirement advice and published the results as a guide, “Investment and Retirement Advice: A Guide for Employers.” This session provides selected practical information from the guide and focuses primarily on the spectrum of retirement advice. Nine methods of supporting better decisions and outcomes are divided into three groups: The Foundation for Advice, The Transition to Personalization, and Personalized Advice. The presenters will identify and discuss the nine methods and support for the business case supporting offering retirement advice.

**Breakout B3 Non-Qualified Deferred Compensation Beginners Guide – Plan Design Basics, Trends, and Pitfalls**

*Matt Maier, Managing Director – Executive Benefits, SageView*

*Eric Green, Director of Benefits, Rexnord LLC*

This session will cover the basics of NQ plan design, industry trends, and provide first hand experiences from a plan sponsor who recently implemented a plan.

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2:50 pm – 3:20 pm **Networking Break: Sponsored by Analect Benefit Finance**

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3:20 p.m – 4:10 pm **Breakout Workshops – C**

**Breakout C1 Auto-Portability: The Changing Paradigm for Mandatory Distributions**

*J. Spencer Williams, President & CEO, Retirement Clearinghouse*

In 2016, retirement plan portability has been in the spotlight. Ongoing concern over cash out leakage, as well as a Presidential call for increased retirement savings portability has escalated the issue to a national priority. To realize true retirement savings portability, Retirement Clearinghouse has been advancing Auto Portability, a collaborative industry solution for separated participants with less than \$5,000. Auto Portability transforms the current “automatic rollover” paradigm into a plan-to-plan “re-cycling” model that benefits plans and participants alike. Learn the fundamentals of Auto Portability, and why it could be the next “auto” feature that your plan adopts.

**TUESDAY, MAY 3rd** (continued)

**Breakout C2 Ask the Experts—Seriously (Non-Qualified Deferred Compensation Panel)**

*Moderator: Bruce McNeil, Partner, Littler Mendelson PC*

*Lee Nunn, Senior Vice President, Aon Hewitt*

*Ken Raskin, Partner, King & Spalding*

This session promises to be a dynamic but very informal and wide-open dialogue about nonqualified deferred compensation plans, perhaps including deferred and executive compensation, the Affordable Care Act, the Dodd-Frank Wall Street Reform and Consumer Protection Act and Internal Revenue Code sections 162(m) 409A and 457. At this session, the panel could address the issues involved with structuring not only traditional nonqualified deferred compensation arrangements, but also compensation that may be deferred under employment agreements, severance and settlement agreements, and executive compensation arrangements. The panel could address the most common issues that employers face regarding deferred compensation and identify strategies for complying with the current mix of legal and regulatory requirements of Section 409A and related FICA, and accounting issues. This session will be very informal and will be directed by the questions the audience asks. Therefore, the floor will be open for your questions.

**Breakout C3 Will the Department of Labor Reject Your Independent Audit?**

*David M. Kot, CPA, CFE, Partner, BKD, LLP*

Large plan filers are required to include an audit report issued by an independent qualified public accountant along with their annual report submission to the Department of Labor. You are responsible for the audit but how do you know if it is being done in accordance with DOL and ERISA requirements? Attend this session for insights in identifying if your audit is deficient. Walk away with questions for your auditor to evaluate if they are qualified. Hear issues the DOL has identified in their exam of audits. Listen to real examples of plan operation failures that may be identified during your audit. The audit is your responsibility as a plan sponsor, don't be rejected.

4:20 pm – 5:20 pm **Breakout Workshops – D (Plan Sponsor Roundtables)**

The plan sponsor roundtables have been held during each PSCA Annual National Conference for many years and are always dynamic and highly regarded sessions. Plan sponsors discuss pressing issues with their peers, with no providers in attendance. This gives them the opportunity for meaningful and enlightening dialogue. The discussions are led by plan sponsors, with an attorney present for any legal issues that may arise. Choose the session that is appropriate to your plan size.

**Breakout D1 Small Company Roundtable (1 – 999 Employees)**

*William H. Nichols, Partner, Lanier Muchin, Ltd.*

**Breakout D2 Mid-Size Company Roundtable (1,000 – 9,999 Employees)**

*Ken Raskin, Partner, King & Spalding*

**Breakout D3 Large Company Roundtable (10,000+ Employees)**

*Thomas Gordon, Sr. HR Director, Total Rewards, Aon Corporation*

*Adam Greetis, Partner, Seyfarth Shaw LLP*

5:30 pm – 7:00 pm **Reception with Exhibitors**

**WEDNESDAY, MAY 4th**

*All morning general sessions and lunch will be held in ballroom 204 – 205.*

7:30 am – 8:00 am **Continental Breakfast with Exhibitors**

8:00 am – 8:10 am **Opening and Welcome**

*Steve McCaffrey, Senior Counsel, National Grid USA Service Company, Inc. and Chair of the PSCA Board of Directors*

8:10 am – 9:00 am **Washington Update**

*Rich McHugh, Vice President of Washington Affairs, PSCA; Of Counsel, Porter Wright Morris & Arthur LLP*

Hear first-hand from someone who provides an inside look at what is happening, or not happening, in Washington relating to retirement plans. Focusing on the latest information on retirement bills and legislative initiatives, possible developments at the Departments of Treasury and Labor and related case law developments, this presentation will review what plan sponsors need to be aware of to better manage their plans.

9:00 am – 10:00 am **Fiduciary Rule Panel**

*Moderator: Rich McHugh, Vice President of Washington Affairs, PSCA; Of Counsel, Porter Wright Morris & Arthur LLP  
Steve McCaffrey, Senior Counsel, National Grid USA Service Company, Inc. and Chair of the PSCA Board of Directors  
Christopher L. Robino, Vice President, ERISA Counsel, Boston Financial Data Services*

The long anticipated fiduciary rule will be released any day, or may already have been released. Hear from the plan sponsor and service provider's perspectives on how this rule impacts everyone and what you need to be thinking about in regards to your retirement plans.

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10:00 am – 10:30 am **Networking Break**

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10:30 am – 11:30 am **The Influence of Gender on Retirement Savings**

*Moderator: Donna MacFarland, Founder and President, Accelerate Strategies LLC  
Cindy Hounsell, President, Women's Institute For a Secure Retirement (WISER)  
Lena Rizkallah, Vice President, J.P. Morgan Asset Management  
Jean A. Young, Senior Research Analyst, Vanguard Center for Retirement Research*

This panel of three industry experts will explore the topic of the influence of gender on American workers' ability to save for a secure retirement. What do men and women have in common when it comes to retirement savings? What are some of the unique challenges that women in particular face? Where can each gender learn from the other in terms of retirement savings success? What can plan sponsors do today to help ensure that each and every employee, regardless of gender, achieves better retirement outcomes? There are inherent differences between men and women that can have an impact on retirement savings behavior. Many of the differences create particular challenges for female retirement plan participants. Come and learn about gender differences in the area of retirement savings and ways that you can address these unique challenges within your own plan population.

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11:30 am – 1:00 pm **Lunch**

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1:00 pm – 1:50 pm **Breakout Workshops – E**

**Breakout E1 Plan Fees: An in-depth discussion on understanding all of the factors**

*Mike Sasso, Partner, Co-Founder, Portfolio Evaluations, Inc.  
Jean Martone, Director Retirement Plan Consulting Group, Portfolio Evaluations, Inc.*

What are the different pricing models available in the market place? Are the plan's fees reasonable? How are the current fees being charged? Are the investment fees reasonable given the size of the assets? Should I be concerned that the plan's fees are not level across all participants? Attend this session to get these questions answered, and learn about recent litigation and how to protect yourself.

**WEDNESDAY, MAY 4th** (continued)

**Breakout E2 Global Retirement Governance and Strategy**

*Vaibhavi Patel, FSA, EA, MAAA, Dip.IEB, Vice President and Global Consulting Actuary, Aon Hewitt*

This session will explore the results of the 2015 global governance study jointly conducted by the American Benefits Council and Aon Hewitt to understand longitudinal trends in global benefits, including retirement. This will provide insight into analysis of how multinational corporations make and execute strategic design, financial and operational decisions related to their global retirement programs.

**Breakout E3 Ask the Experts ERISA Attorney Panel**

*Moderator: Marjorie Mann, Senior Attorney, NextEra Energy, Inc.*

*Nancy Gerrie, Partner, McDermott, Will & Emery LLP*

*Marla Kreindler, Partner, Morgan Lewis & Bockius*

*Joni Andrioff, Partner, Steptoe & Johnson LLP*

Hear the latest in compliance and other areas of legal concern. The attorneys will discuss hot topics then take audience questions. This is your chance to get legal opinions from top-notch ERISA attorneys.

**Breakout E4 Hashtag – Instagram – Retirement!**

*Jillian Verspyck, Marketing Communications Director, Voya Financial*

Young workers of today engage differently on all levels. They are digital natives, open to sharing, and expect you to know who they are and what they want. They've entered the workplace with debt, goals and aspirations that often don't include the word retirement. How do you connect with this group to help them get to financial wellness – we'll take a look.

2:00 pm – 2:50 pm **Breakout Workshops – F**

**Breakout F1 Company Stock Panel**

*Moderator: Michael Olah, Managing Principal, Michael J. Olah & Associates, LLC*

*John Matelis, Managing Director, Evercore Trust Company*

*Jordan Nault, Principal, Mercer*

*Brandon Diersch, Sr. Capital Markets Manager, Microsoft*

Plan sponsors continue to scrutinize company stock in retirement plans. Come hear from this panel of experts on what issues and concerns to focus on if you have company stock in your plan or are considering adding it.

**Breakout F2 HSA – The “S” is for Savings**

*Pat Jarrett, President, HealthSavings Administrators*

*Tim Kohn, Vice President, Dimensional Fund Advisors*

Health Savings Accounts (HSAs) have been ignored by most advisors. To date, they have been typically low balance, high maintenance accounts that are of minimal value to the advisor. However, there is a good reason to include HSAs in a comprehensive retirement strategy. Just as the retirement world evolved from the bank-based IRA, fund families are changing the landscape as they develop HSA compatible product offerings. Be part of the new conversation as the speakers share experiences and challenges advisors face when designing and implementing an HSA investment program.

**Breakout F3 Am I Actually Ready and What Do I Do if I Am? Preparing Pre-Retirees for Retirement Through Plan Communications**

*Cindy Franke, Retirement Plans Manager, Snap-on Incorporated*

*Kelley Long, CPA/PFS, CFP®, Resident Financial Planner with Financial Finesse, Inc.*

As plan participants start to consider whether or not they are ready to retire, there are myriad questions that come up. Am I ready? Can I afford it? How do my benefits work? When should I give notice? What forms need to be filed when? Providing the tools and guidance ahead of time can save time and money, both for the plan sponsor as well as the employee's use of time on the job figuring it out. This session will cover best practices for ensuring employees are confident and stress-free as they approach retirement.

**WEDNESDAY, MAY 4th** (continued)

**Breakout F4 Environmental, Social, and Governance (ESG) Considerations in Investing: What is ESG and Why Does It Matter?**

*Matt Orsagh, CFA, CIPM, Director, Capital Markets Policy, CFA Institute*

The practice of considering environmental, social, and governance (ESG) issues in investing has evolved significantly from its origins in the exclusionary screening of listed equities on the basis of moral values. A variety of methods are now being used by both value-motivated and values-motivated investors in considering ESG issues across asset classes. There is, however, a lingering misperception that the body of empirical evidence shows that ESG considerations adversely affect financial performance. For investment professionals, a key idea in the discussion of ESG issues is that systematically considering ESG issues will likely lead to more complete investment analyses and better-informed investment decisions.

2:50 pm – 3:10 pm

**Networking Break**

3:10 pm – 4:00 pm

**Breakout Workshops – G**

**Breakout G1 Environmental, Social, and Governance (ESG) Considerations in Investing: What is ESG and Why Does It Matter? (Part 2) Ask the Experts**

*Moderator: Robert E. Pike, CFA, AIF, President and Chief Investment Officer, Stratford Advisors, Inc.*

*Matthew Sherwood, Ph.D., Head of Public Markets and Alternatives, MMBB Financial Services*

*Tanya Svidler, Vice President, Americas ESG Index Products, MSCI*

*Meg Voorhes, Director of Research, US SIF*

Demographic and societal trends demonstrate a significant increase in interest in what has come to be called ESG investing. Investors, including plan participants, want their savings to produce not only good returns, but also environmental, social, and governance outcomes that promote more responsible and impactful investment processes and results. Global leaders in ESG indexing and investment analysis will briefly present their views on the current state of ESG investing, and how plan sponsors can utilize data to not only become more familiar with this topic (especially in light of the October 2015 issuance of EBSA Interpretive Bulletin 2015-01), but also how to broaden an investment line-up using ESG factors. This session will have extensive opportunities for Q&A and deeper discussion around an increasingly popular and influential topic.

**Breakout G2 Optimizing Communications: Tips for Compliance and Adding Value for Participants**

*William H. Nichols, Partner, Lanier Muchin, Ltd.*

*Dawn I. Rich, Director, Benefits, Cardinal Health*

The presenters will cover required participant communications for a 401(k) or other retirement plan. Additional communications will be suggested to enhance employee understanding and participation. The presenters will provide tips on managing vendors and timelines, handling special circumstances such as plan mergers, and developing procedures to ensure requirements are met.

**Breakout G3 How Should a Plan Sponsor Best Manage the Expenses Related to its Nonqualified Deferred Compensation Plans?**

*Cliff Eisler, Founder and CEO, Analect Benefit Finance*

*David Marshall, Principal, Analect Benefit Finance*

How do market-based NQDC plans create unbudgeted expenses for Plan Sponsors? Attend this session to hear about important financial drivers to be considered when comparing funding and hedging strategies. The presenters will deliver a quantitative and qualitative comparison of approaches for reducing costs for NQDC plans and provide considerations for best practices when designing and hedging your NQDC plan.

4:00 pm

**Conference Adjourns**