

# NAST Treasury Management Training Symposium

A series of issue-focused sessions in a multi-track format provides the essential tools and insight for you to do your job better every day.



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NATIONAL ASSOCIATION OF  
STATE TREASURERS

**May 13-16, 2014**  
**Buena Vista Palace Hotel**  
**Lake Buena Vista, Florida**

# ***NAST Treasury Management Training Symposium***

## **Buena Vista Palace Hotel Lake Buena Vista, Florida May 13-16, 2014**

### ***Symposium Information***

#### **Registration**

Your registration materials include your name badge, preliminary attendance list and official program. Name badges must be worn to all education sessions and social events.

#### **Who Can Attend**

Education sessions and social events are open to registered participants only. Registration hours are noted in the program. Any changes to the program are posted at the registration desk.

#### **Conference Attire**

Business casual is appropriate for all sessions and social events. A light jacket or sweater may be needed for air-conditioned rooms and evening events.

#### **Special Dietary Needs**

All meal functions that are buffet style offer multiple choices. For served meals, please ask your server for optional vegetarian plates.

#### **Green Initiative**

Help keep recyclables out of the waste stream! Please return your name badge to the registration desk at the end of the symposium so that it can be used again.

#### **Special Attention**

Please silence your cell phone during all education sessions to avoid distracting the speakers and other attendees. Personal calls may be made outside the meeting rooms.

#### **Hotel Information**

Buena Vista Palace Hotel  
1900 Buena Vista Drive  
Lake Buena Vista, Florida 32930  
Tel: (407) 827-2727  
Guest Fax: (407) 827-6034



# Symposium Agenda

Note: All meetings and education sessions will be held on the Convention Level unless otherwise noted.

## Tuesday, May 13, 2014

- 9:00 a.m.-7:00 p.m.  
*Convention Level*      **Registration**
- 9:30 a.m.-12:00 p.m.  
*Scotland A*      **NAST Long Range Planning Committee**
- 11:00 a.m.-12:00 p.m.  
*Great Hall East*      **A 529 Primer**  
Do you have a firm grasp of the basic requirements found in Section 529 of the Internal Revenue Code? This pre-conference session for new and regular attendees will cover the basic requirements of the statute; what is meant by the various terms and definitions found in Section 529; and an overview of gift and estate tax rules applicable to 529 accounts.  
*Speaker: James W.C. Canup*, Co-Chair, Business Tax Practice Group, Kaufman & Canoles, P.C.
- 12:00 p.m.-1:00 p.m.  
*Scotland A*      **NAST Finance Committee**
- 1:00-2:00 p.m.  
*Great Hall East*      **CSPN Legal & Regulatory Affairs Committee**
- Great Hall West*      **CSPN Strategic Partnerships Committee**
- 2:00-3:00 p.m.  
*Great Hall East*      **CSPN Communications Committee**
- Great Hall West*      **CSPN Operations Committee**
- 3:00-4:00 p.m.  
*Great Hall East*      **CSPN Executive Committee**
- 4:00-5:00 p.m.  
*Great Hall East*      **CSPN Corporate Affiliate Committee**
- Scotland A*      **NAST Banking & Cash Management Committee**
- 5:00-6:00 p.m.  
*Scotland A*      **NAST Corporate Affiliate Advisory Board**
- 6:00-8:00 p.m.  
*Great Hall*      **Opening Reception with Exposition**

## Wednesday, May 14, 2014

- 7:30 a.m.-5:00 p.m.  
*Convention Level*      **Registration**
- 7:30-8:30 a.m.  
*Great Hall*      **Conference Breakfast with Exposition**
- 8:00-8:30 a.m.  
*Great Hall*      **Conference Opening & Welcome**  
*Speaker:*  
• **Hon. Richard Ellis**, NAST President & Utah State Treasurer
- Legislative Update**  
*Moderator: Hon. Ron Estes*, NAST Legislative Committee Co-Chair & Kansas State Treasurer  
*Speakers:*  
• **Susan Hirschmann**, Partner, Williams & Jenson  
• **Matt Hoekstra**, Associate, Williams & Jenson  
• **Peter Barrett**, NAST Director of Federal Relations

<p style="text-align: center;"><b>College Savings</b> <i>Scotland B</i></p> <p><b>Work Hard. Stay Humble. Dream Big.</b> “Work hard, stay humble and dream big” were the words Super Bowl quarterback Russell Wilson used to describe his formula for personal and professional success. Add to these qualities attention to detail, a relentless focus on customer service and teamwork and we have the ingredients necessary to achieve success in the workplace. <b>Moderator:</b> <b>Betty Lochner</b>, CSPN Chair and Director, Guaranteed Education Tuition Program <b>Speaker:</b> • <b>Dr. Gene Sharratt</b>, Executive Director, Washington Student Achievement Council</p>	<p style="text-align: center;"><b>Debt Management</b> <i>Scotland A</i></p> <p style="text-align: center;"><i>Cloister – Lobby Level</i></p> <p><b>Basel III, Liquidity Coverage Ratio and Collateralized Deposits</b> As part of Basel III, federal banking regulators have issued a proposed rule to implement minimum quantitative liquidity requirements for large banks. The treatment of state and municipal deposits is more stringent than required under Basel III. Will banks have less appetite for these deposits and reduce the interest paid on them? Will banks be discouraged from holding state and municipal securities in their portfolios and potentially shrink the market and increase borrowing costs? <b>Moderator:</b> <b>Hon. Ron Estes</b>, Kansas State Treasurer <b>Speakers:</b> • <b>Luigi L. DeGhenghi</b>, Partner, Davis Polk • <b>Kenneth Lee</b>, Chief, Bureau of Collateral Management, Division of Treasury, State of Florida • <b>Ossie Spector</b>, Director, Senior Investment Solutions Officer, Liquidity Solutions, Bank of America • <b>Sarah A. Sullivan</b>, Director, Municipal Securities Division, Citi Global Markets, Inc.</p>	<p style="text-align: center;"><b>Banking, Cash Management &amp; Investments</b> <i>Cloister – Lobby Level</i></p> <p>Cash Positioning and Forecasting With the potential for a steepening yield curve, now is the time to refine cash forecasting techniques. The interest rates of the past few years have been a disincentive for managing bank balances. States need to prepare to take advantage of rising rates. How can we determine the optimal mix of bank fees and compensating balances? <b>Moderator:</b> <b>Steven Alexander</b>, Managing Director and Partner, PFM Group <b>Speakers:</b> • <b>Holger B. Ebert</b>, Senior Vice President and Division Manager, Wells Fargo Bank • <b>Misty L. Price</b>, Deputy Treasurer of Cash Management, West Virginia State Treasury • <b>Autumn Sanson</b>, Chief Investment Officer, Arkansas State Treasury • <b>Robert J. Schmitt</b>, Manager, Cash and Banking, Virginia Department of Treasury</p>	<p style="text-align: center;"><b>Unclaimed Property</b> <i>Great Hall East &amp; West</i></p> <p><b>Who Am I, Why Am I Here?</b> An introduction of each state administrator and staff member in attendance who will very briefly highlight new program initiatives, share insights and innovations. Attendees will submit topics they want to know more about during a session to be held later in the meeting. <b>Moderator:</b> <b>Walter Graham</b>, NAUPA President and Chief of Unclaimed Property, Florida Department of Financial Services <b>Welcome:</b> • <b>Hon. Don Stenberg</b>, NAUPA Senior President, Program Committee Chairman and Nebraska State Treasurer</p>
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10:00-10:15 a.m.  
**Great Hall**

**Break**

10:15-11:45 a.m.

Session 2

<p style="text-align: center;"><b>College Savings</b> <i>Scotland B</i></p> <p><b>State of the States</b> Get involved with this annual interactive session that allows each state represented to share marketing strategies, initiatives and ideas from their 529 program! Did you know that a few states are even exploring automatic establishment of college accounts for all children? Hear lots of ideas during this fun session. <b>Moderator:</b> <b>Mitch Seabaugh</b>, Director, Path2College 529 Plan</p>	<p style="text-align: center;"><b>Debt Management</b> <i>Scotland A</i></p> <p>The SEC’s Money Market Fund Reform &amp; Floating NAV Industry experts will discuss how this proposed reform could impact issuers on both sides of their balance sheets: on the short-term investing side and in the market demand for short-term debt instruments like BANs, RANs, TRANs, and VRDBs. <b>Speakers:</b> • <b>Deborah A. Cunningham</b>, Executive Vice President and Chief Investment Officer, Federated Investors • <b>Matt Steinaway</b>, CFA, State Street Global Advisors</p>	<p style="text-align: center;"><b>Banking, Cash Management &amp; Investments</b> <i>Cloister – Lobby Level</i></p> <p>Cash Positioning and Forecasting With the potential for a steepening yield curve, now is the time to refine cash forecasting techniques. The interest rates of the past few years have been a disincentive for managing bank balances. States need to prepare to take advantage of rising rates. How can we determine the optimal mix of bank fees and compensating balances? <b>Moderator:</b> <b>Steven Alexander</b>, Managing Director and Partner, PFM Group <b>Speakers:</b> • <b>Holger B. Ebert</b>, Senior Vice President and Division Manager, Wells Fargo Bank • <b>Misty L. Price</b>, Deputy Treasurer of Cash Management, West Virginia State Treasury • <b>Autumn Sanson</b>, Chief Investment Officer, Arkansas State Treasury • <b>Robert J. Schmitt</b>, Manager, Cash and Banking, Virginia Department of Treasury</p>	<p style="text-align: center;"><b>Unclaimed Property</b> <i>Great Hall East &amp; West</i></p> <p><b>Status and Issues on Revision of the Uniform Unclaimed Property Act</b> The current status and next steps of the revision of the Uniform Unclaimed Property Act will be discussed by the co-chairman and NAUPA leadership of the initiative. <b>Moderator:</b> <b>Hon. Don Stenberg</b>, Nebraska State Treasurer <b>Speakers:</b> • <b>Carolyn Atkinson</b>, Esq., Deputy Treasurer for Unclaimed Property, West Virginia Treasury • <b>Michael Houghton</b>, Esq., Co-Chairman, Revise the Unclaimed Property Act Committee, Uniform Law Commission • <b>Lynden Lyman</b>, Esq., NAUPA Special Counsel • <b>Hon. Beth Pearce</b>, Vermont State Treasurer</p>
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Noon-1:30 p.m.  
**Great Hall**

**Networking Lunch with Exposition**

Sit with your colleagues to discuss issues of mutual interest and be sure to visit the booths in the exposition. All the tables are color-coded by topic area as referenced below:

- Green = Banking, Cash Management & Investments*
- Red = College Savings*
- Yellow = Debt Management*
- Blue = Unclaimed Property*
- White = General Conversation*



<p style="text-align: center;"><b>College Savings</b> <i>Scotland B</i></p> <p><b>Capital Markets Update</b> Hear a sweeping and interesting overview of the state of the capital markets, including a global and domestic economic update to provide a near term view of the anticipated markets ahead. <b>Moderator:</b> <b>Robin Lott</b>, Executive Director Michigan Education Trust &amp; Michigan Education Savings Program <b>Speaker:</b></p> <ul style="list-style-type: none"> <li>• <b>Steve Sexhauer</b>, Chief Investment Officer, Allianz Global Investors</li> </ul>	<p style="text-align: center;"><b>Debt Management</b> <i>Scotland A</i></p> <p><b>2014 SEC Outlook for the Municipal Market</b> Key topics include the implementation of the Municipal Advisor Rule, potential updates to the 1994 Interpretive Guidance, efforts to improve price transparency for retail investors, interim disclosure enhancements, etc. This session will be interactive and debt managers will have an opportunity to share their experiences and outlooks on these and many more topics. <b>Speaker:</b></p> <ul style="list-style-type: none"> <li>• <b>Michael Decker</b>, Managing Director and Co-head of Municipal Securities, SIFMA</li> </ul>	<p style="text-align: center;"><b>Banking, Cash Management &amp; Investments</b> <i>Cloister – Lobby Level</i></p> <p><b>The Tri-Party Repo Market &amp; Collateralization</b> The panel will bring the audience up-to-date on the current state of the Federal Reserve’s tri-party repo reform. Speakers will also discuss the legal documents required to execute repo, the issues that municipalities face in using the standard documents and the complexities of liquidating collateral in the event of counter-party defaults. <b>Moderator:</b> <b>Hon. Steve McCoy</b>, Georgia State Treasurer <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>S. Joel Cartee</b>, Partner, Locke Lord LLP</li> <li>• <b>Jeff Kidwell</b>, Director, Head of Direct Repo, AVM, LP and III Associates</li> </ul>	<p style="text-align: center;"><b>Unclaimed Property</b> <i>Great Hall East &amp; West</i></p> <p><b>There is a Fourth ‘R’ When Governing!</b> People who work in government see their share of reduction, reformation and even reinvention. North Carolina’s Department of State Treasurer is undertaking a different approach - renovation - as it continues to implement recommendations from an independent study of its Unclaimed Property Program. The story of successfully implementing study recommendations by leading change, sustaining commitment and overcoming challenges will be revealed. <b>Moderator:</b> <b>Melissa Waller</b>, Chief of Staff, North Carolina Treasury <b>Speaker:</b></p> <ul style="list-style-type: none"> <li>• <b>Hon. Janet Cowell</b>, North Carolina State Treasurer</li> </ul>
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2:30-2:45 p.m.

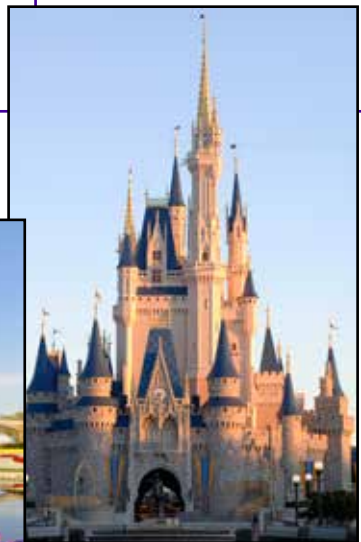
**Break**

**Great Hall**

2:45-4:15 p.m.

Session 4

<p style="text-align: center;"><b>College Savings</b> <i>Scotland B</i></p> <p style="text-align: center;"><i>Session will end at 4:00 p.m.</i></p> <p><b>Product Development Innovations and Trends</b> Let’s round-up the latest investment product development innovations across the 529 landscape and dig deep into the insight and fundamentals driving the trends. Based on the perspective of those developing, implementing, analyzing and overseeing the plans, topics will include trends in fees, new product offerings, share class enhancements, customized age-based strategies, mitigation of near-term age-based volatility risk and consumer survey data on developments still in demand. <b>Moderator:</b> <b>Andrea Feirstein</b>, Managing Director, AKF Consulting Group <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Kamal Bhatia</b>, Senior Vice President and Product Director, OppenheimerFunds</li> <li>• <b>Mark Mathers</b>, Senior Deputy Treasurer, State of Nevada</li> <li>• <b>Jeremy Thiessen</b>, Managing Director, Pension Consulting, Alliance, Inc.</li> </ul>	<p style="text-align: center;"><b>Debt Management</b> <i>Scotland A</i></p> <p><b>Municipal Advisor Rule – Investment Advisor Rules</b> This session will allow attendees to obtain a better understanding of the SEC’s new municipal advisor rule. A panel of experts from the Financial Advisory and Bond Counsel field will discuss the rule and facilitate an interactive discussion with attendees. <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Leo Karwejna</b>, Chief Compliance Office, PFM</li> <li>• <b>Peg Henry</b>, Jefferies &amp; Company</li> <li>• <b>Richard Sigal</b>, Partner, McKenna Long</li> </ul>	<p style="text-align: center;"><b>Banking, Cash Management &amp; Investments</b> <i>Cloister – Lobby Level</i></p> <p><b>The Future of LGIPs</b> Speakers will address the potential changes to SEC’s Rule 2a7 and its effects on LGIPs. Best practices for LGIPs will be discussed, including investments, accounting, reporting and safekeeping of LGIP assets. <b>Moderator:</b> <b>Hon. Richard Mourdock</b>, Indiana State Treasurer <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Deborah A. Cunningham</b>, Executive Vice President and Chief Investment Officer, Federated Investors</li> <li>• <b>Doug Extine</b>, Deputy State Treasurer, Washington Office of the State Treasurer</li> <li>• <b>Laura Glenn</b>, Portfolio Manager, Georgia Office of the State Treasurer</li> <li>• <b>Barry Weiss</b>, Director, Financial Institutions Ratings, Standard &amp; Poor’s Ratings Services</li> </ul>	<p style="text-align: center;"><b>Unclaimed Property</b> <i>Great Hall East &amp; West</i></p> <p><b>Administrators Choice Topics</b> This session focuses on exciting recent developments with unclaimed U.S. Savings Bonds. Current trends in compliance efforts and incentive pay for claims staff, among others. <b>Moderator:</b> <b>Lawrence Schantz</b>, Esq., Director of the Office of Unclaimed Funds, New York State Comptroller’s Office <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Hon. Ron Estes</b>, Kansas State Treasurer</li> <li>• <b>Mel Kurman</b>, Director of Audit Services, New York State Comptroller’s Office</li> <li>• <b>Kathy Janes</b>, Director of Unclaimed Property, Oklahoma Treasury</li> </ul>
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<p style="text-align: center;"><b>College Savings</b> <i>Scotland B</i></p> <p><b>Session will begin at 4:00 p.m. Where We've Been, Where We Want to Go, What We May Be Facing</b></p> <p>This panel will provide attendees with a brief history of Section 529, a succinct outline of the legislative and regulatory changes that shaped 529 Plans, legislative changes CSPN seeks to improve Section 529, and a look at what the future holds for 529 plans. Issues at hand include tax reform a push to harmonize and simplify tax-favored educational provisions, and demand for legislative and regulatory reform to make higher education affordable and available to more Americans.</p> <p><b>Moderator:</b> <b>Kathleen McGrath</b>, Director, PA 529 College Savings Program</p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Matt Hamill</b>, Vice President of External Affairs, National Association of College and University Business Officers</li> <li>• <b>Saliha Olgun</b>, Counsel, Municipal Securities Rulemaking Board</li> <li>• <b>Tamara Salmon</b>, Senior Associate Counsel, Investment Company Institute</li> </ul>	<p style="text-align: center;"><b>Debt Management</b> <i>Scotland A</i></p> <p><b>Regulatory Update for 2014, IRS Rule on Issue Pricing</b></p> <p>From the long-awaited release of the Securities and Exchange Commission's municipal advisor rules, to the Internal Revenue Service's proposed changes to the arbitrage regulations, to continued efforts from Congress to curtail tax-exemption, municipal bonds continue to face challenges on a number of fronts. This panel will discuss these and other regulatory topics of current interest.</p> <p><b>Speaker:</b></p> <ul style="list-style-type: none"> <li>• <b>Darrell Smelcer</b>, Internal Revenue Service</li> </ul>	<p style="text-align: center;"><b>Banking, Cash Management &amp; Investments</b> <i>Cloister – Lobby Level</i></p> <p><b>Economic Update</b></p> <p>A member of the Federal Reserve Bank of Atlanta will provide the Fed's thoughts on where our economy is headed in 2014 and the potential headwinds affecting both U.S. and global growth.</p> <p><b>Speaker:</b></p> <ul style="list-style-type: none"> <li>• <b>Thomas J. Cunningham</b>, Ph.D., Vice President, Senior Economist and Regional Executive, Federal Reserve Bank of Atlanta</li> </ul>	<p style="text-align: center;"><b>Unclaimed Property</b> <i>Great Hall East &amp; West</i></p> <p><b>NAUPA Annual Business Meeting</b></p> <p><b>Presiding:</b> <b>Walter Graham</b>, President and Chief of Unclaimed Property, Florida Department of Financial Services</p>
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5:45-6:15 p.m.

**Transportation departs from the Convention Level entrance.**

6:00-9:00 p.m.

**Conference Dinner at Bongos Cuban Café**

**Thursday, May 15, 2014**

7:30 a.m.-5:00 p.m.  
*Convention Level*

**Registration**

7:30-9:00 a.m.  
*Great Hall*

**Conference Breakfast with Exposition**

*Captain/Yeoman Lobby Level*

**Chief of Staff and Deputy Treasurers Breakfast**

9:00-10:00 a.m.

Session 6

<p style="text-align: center;"><b>College Savings</b> <i>Scotland B</i></p> <p><b>Engage, Enlighten and Empower: The 7 Wealthy Habits of Successful Savers</b></p> <p>How can organizations create effective financial literacy initiatives which target and successfully engage multi-cultural audiences? This presentation will cover the power of the story, the importance of inclusion, how to connect and enroll influencers, and why small steps lead to greater results. Author and financial expert Deborah Owens will share the insights she has gained through more than two decades as a financial services industry veteran and media personality.</p> <p><b>Moderator:</b> <b>Joan Marshall</b>, Executive Director, College Savings Plans of Maryland</p> <p><b>Speaker:</b></p> <ul style="list-style-type: none"> <li>• <b>Deborah Owens</b>, The Wealth Coach</li> </ul>	<p style="text-align: center;"><b>Debt Management</b> <i>Scotland A</i></p> <p><b>Improving Continuing Disclosure</b></p> <p>This roundtable will discuss evolving practices regarding disclosure by municipal issuers toward the goal of providing increased transparency. It will include a review of NASACT's 2013 Best Practices for Voluntary Interim Financial Reporting and will provide perspectives from the investor community.</p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Ernie Lanza</b>, Deputy Executive Director, Municipal Securities Rulemaking Board</li> <li>• <b>Ken Roberts</b>, Partner, Hawkins Delafield &amp; Wood, LLP</li> <li>• <b>Joseph Rosenblum</b>, Managing Director, AllianceBernstein</li> </ul>	<p style="text-align: center;"><b>Banking, Cash Management &amp; Investments</b> <i>Cloister – Lobby Level</i></p> <p><b>Pension Accounting According to GASB</b></p> <p>What do the new GASB Standards mean for public pension funds?</p> <p><b>Moderator:</b> <b>Hon. Richard Ellis</b>, Utah State Treasurer</p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Charles Millard</b>, Managing Director, Head of Pension Relations, Citigroup</li> <li>• <b>David A. Vaudt</b>, Chairman, Governmental Accounting Standards Board</li> </ul>	<p style="text-align: center;"><b>Unclaimed Property</b> <i>Great Hall East &amp; West</i></p> <p><b>Uniformity and Standardization Update - New Relationship Codes</b></p> <p>A discussion of final steps of implementation and where we will go next.</p> <p><b>Moderator:</b> <b>Jim McKeon</b>, Unclaimed Property Manager, Montana Department of Revenue</p>
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10:00-10:15 a.m.

Break

Great Hall

10:15-11:45 a.m.

Session 7

<p style="text-align: center;"><b>College Savings</b> <i>Scotland B</i></p> <p><b>The Early Bird Gets the Worm</b> “A college savings account in a child’s name not only gives parents hope for the future, it also results in improved social and emotional health for their children.” (Center for Social Development). Hear from one of the authors of this study and how Nevada’s College Kick Start initiative for every kindergarten student in the state and Indiana’s community based matching program are helping to change children’s futures based on their potential and not situational limitations. <b>Moderator:</b> <b>Linda English</b>, Deputy Treasurer, College Savings Plans, Nevada State Treasury <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Margaret Clancy</b>, Policy Director, Center for Social Development</li> <li>• <b>Clint Kugler</b>, CEO, Wabash County YMCA</li> </ul>	<p style="text-align: center;"><b>Debt Management</b> <i>Scotland A</i></p> <p><b>Recent Municipal Bankruptcies and Disclosure</b> In its recent white paper, the National Federation of Municipal Analysts recommends that an issuer clearly explain what it means by the “general obligation pledge” and “full faith and credit” in offering documents. Taking into consideration developments in recent municipal bankruptcies, how should an issuer approach disclosure of the pledge of general obligation securities? <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Natalie Cohen</b>, Managing Director and Head of Municipal Research, Wells Fargo Global Economics and Research Group</li> <li>• <b>John Hallacy</b>, Managing Director, Assured Guaranty</li> <li>• <b>Jim Pass</b>, Senior Managing Director, Municipal Sector Manager and Portfolio Manager, Guggenheim Partners</li> <li>• <b>James Spiotto</b>, Managing Director, Chapman Strategic Advisors</li> </ul>	<p style="text-align: center;"><b>Banking, Cash Management &amp; Investments</b> <i>Cloister – Lobby Level</i></p> <p><b>Risk/Reward of Adding Credit to the Portfolio</b> Adding corporate notes can enhance returns should interest rates rise. However, adding credit exposure also adds risks. The speakers will address the issues that investors need to consider when adding credit, including evaluating and monitoring credit risk. <b>Moderator:</b> <b>Hon. Steve McCoy</b>, Georgia State Treasurer <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Mark Jones</b>, Portfolio Manager, Georgia Office of the State Treasurer</li> <li>• <b>Michael S. Nguyen</b>, Managing Director, Liquidity Management, RBC Global Asset Management (U.S.) Inc.</li> <li>• <b>Kerry Pope</b>, CFA, Institutional Portfolio Manager, Fixed Income, Fidelity Management &amp; Research Co.</li> </ul>	<p style="text-align: center;"><b>Unclaimed Property</b> <i>Cloister – Lobby Level</i></p> <p><b>A Session With No Name</b> Presentations will be made about topics that received the most votes during the first session of the symposium. <b>Moderator:</b> <b>Joshua Joyce</b>, Esq., Administrator, Unclaimed Property, Arizona Department of Revenue</p>
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Noon-1:30 p.m.

Great Hall

**Networking Lunch with Exposition**

Roundtable discussions by topic area continue. Look for your color!

*Green = Banking, Cash Management & Investments*

*Red = College Savings*

*Yellow = Debt Management*

*Blue = Unclaimed Property*

*White = General Conversation*

1:30-2:30 p.m.

Session 8

<p style="text-align: center;"><b>College Savings</b> <i>Scotland B</i></p> <p><b>Sharing Success: Recent Approaches That Have Worked Well for States and Their Partners</b> States and their private sector partners periodically come up with innovative ways to service clients and to increase interest and enrollment in their programs. Learn about several recent developments and leave with some actionable ideas of how you might consider incorporating a variation of them into your own program(s). Also, hear from an industry analyst about what research reveals regarding consumer preferences and what timely suggestions he has for all plans. <b>Moderator:</b> <b>Patricia Roberts</b>, Managing Director, AllianceBernstein Investments <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Paul Curley</b>, Director of College Savings Research, Strategic Insight</li> <li>• <b>Jim DiUlio</b>, Director, Wisconsin 529 College Savings Program, Department of Administration</li> <li>• <b>Gail Mance-Rios</b>, Acting Executive Director, Rhode Island Higher Education Assistance Authority</li> <li>• <b>LaKesha Page</b>, Director of College Savings, Tennessee Treasury Department</li> </ul>	<p style="text-align: center;"><b>Debt Management</b> <i>Scotland A</i></p> <p><b>Federal Legislation</b> This session features a discussion of legislative proposals to reintroduce tax credit securities. What will it take to bring issuers back to the BABs market? At what price will issuers or investors assume the risk of further cuts in subsidy payments? This session provides updates on legislative direction regarding funding for the Federal Highway Trust Fund and implications for project financings and for the GARVEE market. <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Matt B. Hoekstra</b>, Associate, Williams &amp; Jensen</li> <li>• <b>Peter Barrett</b>, Federal Relations Director, NAST</li> </ul>	<p style="text-align: center;"><b>Banking, Cash Management &amp; Investments</b> <i>Cloister – Lobby Level</i></p> <p><b>Preparing for a Rising Rate Environment</b> The Federal Reserve has kept short-term interest rates at historic lows for over five years now. Signs of life in the economy have moved the Fed to begin tapering in monthly asset purchases. As rates rise, what steps can a portfolio manager take to add yield while protecting principal? <b>Moderator:</b> <b>Hon. Richard Mourdock</b>, Indiana State Treasurer <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Matt Marra</b>, Managing Director, BlackRock</li> <li>• <b>Bill O’Malley</b>, CFA, Managing Principal, Income Research+Management</li> </ul>	<p style="text-align: center;"><b>Unclaimed Property</b> <i>Great Hall East &amp; West</i></p> <p><b>Legislation Activity, Legal Overview &amp; National Trends</b> Foremost unclaimed property authorities will present a comprehensive overview and analysis of the most compelling issues and emerging trends impacting unclaimed property. <b>Moderator:</b> <b>Robert Commodore</b>, Senior Director, Consumer &amp; Industry Services for the Minnesota Department of Commerce <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Michelle Colbert</b>, Senior Vice President, Xerox</li> <li>• <b>Suzanne Darling</b>, Vice President, Xerox</li> <li>• <b>Lynden Lyman</b>, Executive Consultant, Xerox</li> </ul>
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2:30-2:45 p.m.  
Great Hall Foyer

Break

2:45-4:15 p.m.

Session 9

<p style="text-align: center;"><b>College Savings</b> <i>Scotland B</i></p> <p><b>Why Did the HR Director Cross the Road? Hopefully Not to Avoid the 529 Plan Marketing Rep!</b> Ever wondered what catches an HR Director's eye? Having trouble cracking the HR code? This dynamic panel will help de-mystify the elusive employer channel. HR professionals will give insights into best practices for connecting with employers and 529 plan representatives will share their success stories in this market.</p> <p><b>Moderator:</b> <b>Mary Anne Busse</b>, Managing Director, Great Disclosure LLC</p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Shawn Ball</b>, Owner, L&amp;S Toyota</li> <li>• <b>Bruce Elliott</b>, Manager, Compensation and Benefits, Society for Human Resource Management</li> <li>• <b>Garry P. Kohn</b>, CFP, President/CEO, Kohn Wealth Management Advisors, LLC</li> <li>• <b>George Makras</b>, Director, Institutional Relationship Mgmt., Upromise Investments, Inc.</li> <li>• <b>Randall Welsh</b>, Director of College Savings, Illinois State Treasury</li> </ul>	<p style="text-align: center;"><b>Debt Management</b> <i>Scotland A</i></p> <p><b>What Are Investors Looking for in Municipal Securities?</b> This panel will explore the different types of municipal investors from institutional, professional retail, trust and trading and their individuals focus on coupons, call features and term. The question of who is getting the best deal -- the investor or the issuer -- will also be explored. Also, what are the investors' thoughts on credit (GO vs dedicated security) in the post-Detroit and Stockton bankruptcy environment?</p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Rob Amodeo</b>, Portfolio Manager, Western Asset Management</li> <li>• <b>Todd Fraizer</b>, Managing Director, PFM</li> <li>• <b>Rick Kolman</b>, Managing Director, Head of U.S. Bancorp Municipal Securities Group, US Bank</li> <li>• <b>Colin MacNaught</b> – invited, Massachusetts State Treasury</li> </ul>	<p style="text-align: center;"><b>Banking, Cash Management &amp; Investments</b> <i>Cloister – Lobby Level</i></p> <p><b>The Economic Outlook for the States</b> After four years of a fragile economy, the speakers will discuss the financial health of states. What does revenue growth look like for the states? What other factors affect states' financial recovery?</p> <p><b>Moderator:</b> <b>Hon. Ron Crane</b>, Idaho State Treasurer</p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Nick Samuels</b>, Vice President/ Senior Credit Officer, State Ratings Team, Moody's Investors Service</li> <li>• <b>Peter J. Specca</b>, Senior Vice President, Government Banking Division, U.S. Bank</li> <li>• <b>John Sugden</b>, Senior Director – Analytical Manager, Standard &amp; Poor's Ratings Services</li> </ul>	<p style="text-align: center;"><b>Unclaimed Property</b> <i>Great Hall East &amp; West</i></p> <p><b>National Holder Workshop &amp; Forum begins</b> <b>The Essentials of Reporting &amp; Compliance Part 1</b> Unclaimed property administrators will guide you step-by-step through what you need to know to file an unclaimed property report. Best practices included.</p> <p><b>Moderator:</b> <b>Phillip Carlton</b>, Assistant Chief of Unclaimed Property, Florida Department of Financial Services</p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Jennifer Brown</b>, Manager, Holder Education and Research Unit, N.Y. State Comptroller's Office</li> <li>• <b>Kathy Janes</b>, Director of Unclaimed Property, Oklahoma Treasury</li> <li>• <b>Kathleen Lobell</b>, Director of Unclaimed Property, Louisiana Treasury</li> <li>• <b>Sara Withrow</b>, Receipts Manager, West Virginia Treasury</li> </ul>
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4:15-5:15 p.m.

Session 10

<p style="text-align: center;"><b>College Savings</b> <i>Scotland B</i></p> <p><b>Champagne Tastes and Caviar Dreams on a Shoestring Budget? Tips and trends in social media marketing for limited time, talent and treasure.</b> Are you rocking your social media? Do you have a Facebook page that's gathering dust? Did you forget to post your tweets last week? This super-sized social media session is just for you! From the most effective ways to use your current or planned presence to the future of social media, you'll hear from professionals that will discuss tips for using your limited budget, how to improve your footprint and trends moving forward.</p> <p><b>Moderator:</b> <b>Jodi Golden</b>, Executive Director, Indiana Education Savings Authority</p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Nate Long</b>, Social, Mobile, PR and Content Consultant, Nate Long Marketing</li> <li>• <b>Luke Minor</b>, Marketing &amp; Communications Manager, Guaranteed Education Tuition</li> </ul>	<p style="text-align: center;"><b>Debt Management</b> <i>Scotland A</i></p> <p><b>SDMN Annual Business Meeting</b> <b>Presiding:</b> <b>Robert Coalter</b>, SDMN Chair &amp; Executive Director, New Mexico Finance Authority</p>	<p style="text-align: center;"><b>Banking, Cash Management &amp; Investments</b> <i>Cloister – Lobby Level</i></p> <p><b>GSEs and Supra Sovereigns</b> The U.S. Treasury is requiring the GSEs to reduce their investment portfolios by an annual rate of 15 percent. These reforms will shrink the GSE's balance sheets and reduce the amount of GSE debt available for purchase. As debt issuance declines, state and local governments are looking to alternatives such as supra sovereigns.</p> <p><b>Moderator:</b> <b>Hon. Richard Ellis</b>, Utah State Treasurer</p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>George Richardson</b>, Head of Capital Markets, World Bank Treasury</li> <li>• <b>Jim Zucco</b>, Director of Funding, Fannie Mae</li> </ul>	<p style="text-align: center;"><b>Unclaimed Property</b> <i>Great Hall East &amp; West</i></p> <p><b>Industry Specific Roundtables</b> Attendees will break out into like-minded groups to discuss unique reporting issues. Each group will elect a facilitator and have an administrator as a resource. Facilitators will then report out any questions or recommendations.</p> <p><b>Roundtables:</b> Securities/Mutual Funds Banks and Credit Unions Financial Services Insurance Healthcare Energy/Oil &amp; Gas Government/Universities Manufacturing, Technology, Transportation</p> <p><b>Moderator:</b> <b>John Gabriel</b>, Director of Unclaimed Property, Tennessee Treasury</p>
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7:00-7:30 p.m.

Transportation departs from the Convention Level entrance.

7:15-10:00 p.m.

Conference Dinner at Discovery Cove

## Friday, May 16, 2014

7:30 a.m.-10:00 a.m.

Registration

Convention Level

7:30-8:30 a.m.

Conference Breakfast

Great Hall Center



<p style="text-align: center;"><b>College Savings A</b> <i>Scotland A</i></p> <p><b>Media Training Boot Camp</b> An interview can make or break your brand's image. Why leave such an important opportunity to chance? During this interactive session, The Rosen Group will give you the tools you need to take control of your next media opportunity, including tips on creating an effective interview agenda, a critique of sample videos, techniques for "bridging" in response to tough questions and the importance of body language and appearance. <b>Moderators:</b> <b>Abby Berman</b>, Vice President, The Rosen Group <b>Molly Battles</b>, Senior Account Executive, The Rosen Group</p>	<p style="text-align: center;"><b>College Savings B</b> <i>Scotland B</i></p> <p><b>Operations Roundtable</b> Operations are a common thread that binds all 529 programs. This session provides an opportunity for plans in an open discussion format to tackle several key operational issues including the following: electronic payments to schools; consistent rollover policy; gifting sites; record and account retention; matching grant programs; and dormant accounts/unclaimed property changes. <b>Moderators:</b> <b>Deborah Goodkin</b>, Managing Director, College Savings, First National Bank of Omaha <b>LaKesha Page</b>, Director of College Savings, Tennessee Treasury Department</p>	<p style="text-align: center;"><b>Banking, Cash Management &amp; Investments</b> <i>Cloister – Lobby Level</i></p> <p><b>Portfolio Managers Workshop</b> State investment officers will gather to discuss topics such as best practices for LGIPs, portfolio accounting and risk analytic systems, developing and evaluating investment RFPs, the tri-party repo market and the municipal advisor rule.</p>	<p style="text-align: center;"><b>Unclaimed Property</b> <i>Great Hall East &amp; West</i></p> <p><b>The Essentials of Reporting &amp; Compliance Part 2</b> More advanced topics will be discussed. <b>Moderator:</b> <b>Phillip Carlton</b>, Assistant Chief of Unclaimed Property, Florida Department of Financial Services <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Jennifer Brown</b>, Manager, Holder Education and Research Unit, N.Y. State Comptroller's Office</li> <li>• <b>Kathy Janes</b>, Director of Unclaimed Property, Oklahoma Treasury</li> <li>• <b>Kathleen Lobell</b>, Director of Unclaimed Property, Louisiana Treasury</li> <li>• <b>Barry Williams</b>, Financial Examiner/Analyst Supervisor, Florida Department of Financial Services</li> <li>• <b>Sara Withrow</b>, Receipts Manager, West Virginia Treasury</li> </ul> <p><b>Legislative Update</b> <b>Speaker:</b></p> <ul style="list-style-type: none"> <li>• <b>Cherish Simmons</b>, Vice President, Xerox</li> </ul>
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10:00-10:15 a.m.

**Break**

**Great Hall Foyer**

10:15 a.m.-12:15 p.m.

Session 12

<p style="text-align: center;"><b>College Savings A</b> <i>Scotland A</i></p> <p><b>Social Media 101</b> Did you Tweet that? Post it on Facebook? Whatever your experience or inexperience, this session gets back to the basics to offer a step-by-step guide to social networks like Facebook and Twitter, which serve as a great tool to connect and engage with families looking to invest in 529 plans. <b>Moderators:</b> <b>Abby Berman</b>, Vice President, The Rosen Group <b>Molly Battles</b>, Senior Account Executive, The Rosen Group</p>	<p style="text-align: center;"><b>College Savings B</b> <i>Scotland B</i></p> <p><b>Operations Roundtable Cont.</b> Operations are a common thread that binds all 529 programs. This session provides an opportunity for plans in an open discussion format to tackle several key operational issues including the following: electronic payments to schools; consistent rollover policy; gifting sites; record and account retention; matching grant programs; and dormant accounts/unclaimed property changes. <b>Moderators:</b> <b>Deborah Goodkin</b>, Managing Director, College Savings, First National Bank of Omaha <b>LaKesha Page</b>, Director of College Savings, Tennessee Treasury Department</p>	<p style="text-align: center;"><b>Banking, Cash Management &amp; Investments</b> <i>Cloister – Lobby Level</i></p> <p><b>Portfolio's Manager Workshop continues</b></p>	<p style="text-align: center;"><b>Unclaimed Property</b> <i>Great Hall East &amp; West</i></p> <p><b>Unclaimed Property Reporting Forum</b> Discussion initiated by questions and issues submitted by moderators of Industry-Specific Roundtables <b>Moderator:</b> <b>Walter Graham</b>, NAUPA President and Chief of Unclaimed Property, Florida Department of Financial Services <b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• <b>Jennifer Brown</b>, Manager, Holder Education and Research Unit, N.Y. State Comptroller's Office</li> <li>• <b>Phillip Carlton</b>, Assistant Chief of Unclaimed Property, Florida Department of Financial Services</li> <li>• <b>Sara Withrow</b>, Receipts Manager, West Virginia Treasury</li> <li>• <b>Kathy Janes</b>, Director of Unclaimed Property, Oklahoma Treasury</li> <li>• <b>Kathleen Lobell</b>, Director of Unclaimed Property, Louisiana Treasury</li> </ul>
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12:15 p.m.

**NAUPA Holders Box Lunch**

**Great Hall Center**

Eat on the go or in for additional networking.



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# NAST Treasury Management Annual Exposition



## **Association for Financial Professionals (AFP)**

Headquartered outside Washington, D.C., the Association for Financial Professionals (AFP) is the professional society that represents finance executives globally. AFP established and administers the Certified Treasury Professional and Certified Corporate FP&A Professional credentials, which set standards of excellence in finance. The quarterly AFP Corporate Cash Indicators serve as a bellwether of economic growth. The AFP Annual Conference is the largest networking event for corporate finance professionals in the world.



## **Chesapeake System Solutions, Inc.**

Chesapeake System Solutions is a leading provider of financial and treasury management software solutions that are utilized by today's forward thinking financial professionals across the country and around the world. Chesapeake's integrated suite of software brings visibility and control to numerous financial and treasury processes, including reconciliation and financial close automation, treasury and liquidity management, bank fee analysis and relationship management, unclaimed property compliance, and bank data aggregation. For nearly 20 years, Chesapeake has provided state-of-the-art software solutions that allow for increased productivity, lower costs, and documented regulatory compliance. For more information, visit [www.chessys.com](http://www.chessys.com) or call 410-356-6805.



## **Federated Investors**

Federated Investors is an institutional investment manager with \$376 billion in assets under management as of December 31, 2013. Treasurers at every level in the public sector rely on Federated to pursue optimal results on their behalf within conservative statutory and investment policy constraints. Noteworthy among Federated's products are a vast array of money market funds; targeted fixed-income portfolios; and customized money management across asset classes and maturity ranges, including full capabilities for local government investment pools.



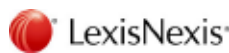
## **Fidelity Investments**

Fidelity Investments is one of the country's leading money market and fixed income providers. Since 1974, Fidelity has been an industry innovator, providing a variety of liquidity products for the unique needs of public sector clients. Fidelity's clients benefit from dedicated relationship management, as well as, unparalleled customer service support ensuring ease of doing business. For more information on how you can benefit from Fidelity's liquidity management solutions, please contact Steve Johnson at [steve.johnson@fmr.com](mailto:steve.johnson@fmr.com) or (617) 771-4686, or visit your dedicated website, [advisor.fidelity.com/pfs](http://advisor.fidelity.com/pfs).



## **Kelmar**

Kelmar is a national company dedicated to providing unclaimed property solutions to governments. Whether implementing a new unclaimed property management system, managing processes and procedures, or consulting on best practices and legislative initiatives; Kelmar offers services and support to assist with the administration of unclaimed property program operations. With Kelmar's comprehensive depth of knowledge, trusted business model, and reputation for reliability and proven results; governments can return more unclaimed property to rightful owners. Kelmar – Your Partner in Unclaimed Property Resources.



## **LexisNexis**

LexisNexis, a leader in providing essential information and insight, helps agencies enhance their overall operational efficiencies and effectiveness within the tax and revenue space. LexisNexis Revenue Recovery and Discovery Solutions can help your agency verify and authenticate entities claiming unclaimed property, identify owners of multiple unclaimed properties, and locate and contact owners to assist in distributing funds. Leverage the value of billions of public records and industry-leading identity data analytics to boost revenue by improving tax discovery and collect more revenue that is owed by enhancing the government's ability to prioritize accounts, locate hard-to-find, delinquent debtors, and monitor caseloads. For more information, visit [www.lexisnexis.com/government](http://www.lexisnexis.com/government) or call 866-528-0778.



## **Standard & Poor's Rating**

Standard & Poor's Ratings Services, part of McGraw Hill Financial (NYSE: MHFI), is the world's leading provider of independent credit risk research and benchmarks. We publish more than a million credit ratings on debt issued by sovereign, municipal, corporate and financial sector entities. With over 1,400 credit analysts in 23 countries, and more than 150 years' experience of assessing credit risk, we offer a unique combination of global coverage and local insight. Our research and opinions about relative credit risk provide market participants with information and independent benchmarks that help to support the growth of transparent, liquid debt markets worldwide.



## **Xerox State & Local Solutions**

Xerox is the world's leading enterprise for business process and document management. We serve as an operations partner to more than 1,700 federal, state and local government agencies, and we touch millions of people's lives every day. By working with us, government agencies transform the way they serve individuals and their communities.

Celebrating our 30<sup>th</sup> anniversary, the Xerox Unclaimed Property Clearinghouse (UPCH), provides solutions that simplify the management of unclaimed property. From the identification and collection of unclaimed property, IT solutions, administration of unclaimed securities to owner location and payment, we assist states with all aspects of managing their unclaimed property program.

## *NAST Corporate Affiliate Members as of April 24, 2014*

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Legg Mason  
LexisNexis Risk Solutions  
Lynden Lyman, Unclaimed Property Advisor  
Marathon Asset Management  
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McKenna Long & Aldridge  
Meeder Investment Management  
Millberg LLP  
Mintz Levin  
Moody's Investors Service  
Morgan Stanley  
NAREIT  
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Nationwide Retirement Solutions  
NCH Capital Inc.  
NEPC, LLC  
Northern Trust  
Nottingham Investment Administration  
OFI Global Asset Management  
Pegasus Capital Advisors  
Pension Consulting Alliance, Inc.  
Pharos Capital Group, LLC  
Pomerantz Grossman Hufford  
Dahlstrom and Gross LLP  
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QED Financial Systems, Inc.  
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State Street Corporation  
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Stifel Nicolaus  
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The Capital Group  
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Thomas & Thomas LLP  
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TIG Advisors, LLC  
Timberland Investment Resources, LLC  
Top Tier Capital Partners  
Treasury Services Group  
U.S. Bancorp Asset Management  
U.S. Bank  
UBS Global Asset Management  
Unclaimed Property Recovery & Reporting (UPRR)  
Union Bank & Trust Company  
Upromise Investments, Inc.  
Verus Financial, LLC  
Vining-Sparks IBG, LP.  
Visa USA  
W.F.S. Corporation  
Wellington Management Company, LLP  
Wells Fargo Bank, N.A.  
Weston Patrick, P.A.  
WhiteStar Advisors, LLC  
Wilshire  
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# National Association of State Treasurers

## Calendar of Events

The latest conference information is found online at [www.nast.org](http://www.nast.org) or call NAST at (859) 244-8175.

**2014**

*September 7-10*

### **Annual Conference**

Grand Hotel - Mackinac Island, Michigan

*December 2-4*

### **Issues Conference**

Conrad Hotel - New York, New York

**2015**

*March 23-25*

### **Legislative Conference**

Mandarin Oriental Hotel - Washington, D.C.

*May 12-15*

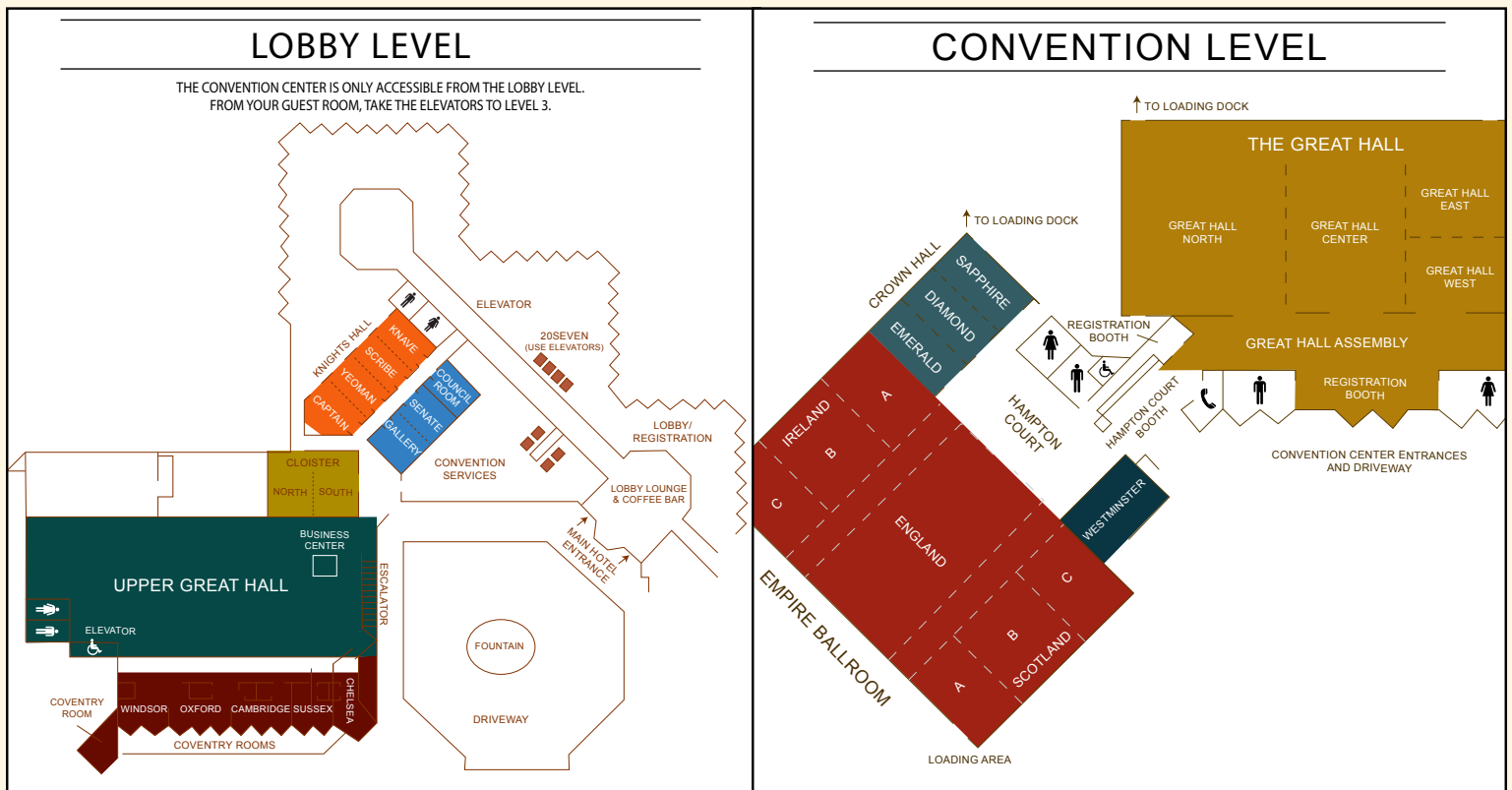
### **Treasury Management Training Symposium**

Westin Crown Center - Kansas City, Missouri

*October 18-21*

### **Annual Conference**

Omni Hotel - Nashville, Tennessee



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[www.nast.org](http://www.nast.org) - Email: [nast@csg.org](mailto:nast@csg.org)