



Corporate Issuer and Institutional Investor Forum

Tuesday, March 3, 2020

Executive Dining Room

Miami Herbert Business School, University of Miami

5250 University Drive, Coral Gables, FL 33146

Agenda

8:30 AM – 9:00 AM	Registration & Continental Breakfast
9:00 AM– 9:15 AM	<p>Welcome and Introductions</p> <ul style="list-style-type: none"> • Professor John Quelch, Vice Provost of Executive Education and Dean of the Business Administration, Miami Herbert Business School, University of Miami • Maryellen Andersen, Corporate Governance Officer, Vice President of Corporate and Institutional Investor Relations, Broadridge Financial Solutions
9:15 AM – 10:30 AM	<p>2020 Proxy Season Preview & Proxy Process Developments</p> <ul style="list-style-type: none"> • 2020 Proxy Season Updates & Trends • Environmental, Social and Governance (ESG) Trends • Regulatory Updates • Updates on the five SEC volunteer proxy working groups <p>Moderator: Maryellen Andersen, Corporate Governance Officer, Vice President of Corporate and Institutional Investor Relations, Broadridge Financial Solutions</p> <p>Panelists</p> <ul style="list-style-type: none"> • Patrick McGurn, Special Counsel and the Head of Strategic Research and Analysis, ISS • Chad Spittle, President, Third Economy; Former Head of Stewardship, Blackrock • Eileen Cohen, Senior Counselor, Abernathy MacGregor
10:30 AM – 11:00 AM	Coffee Break
11:00 AM – 12:15 PM	<p>Investing in an age of Changing Expectations: Corporate disclosure is premised fundamentally on issuers’ understanding of what is or should be decision useful to investors. In recent years, investor requests for information has expanded into environmental and social issues not previously considered. This shift leads some issuers to wonder about investor focus while some investors wish for greater responsiveness. This panel explores how changing investor expectations are expanding the universe of information considered to be decision useful and the implications for issuers and courts.</p> <p>Moderator: Samantha Ross, Founder, AssuranceMark, the Investors’ Consortium for Assurance</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Robert H. Herz, Executive in Residence, Columbia Business School; Director Sustainability Accounting Standards Board Foundation; Former Chairman of the Financial Accounting Standards Board (FASB) • Hope Mehlman, Executive Vice President, Chief Governance Officer & Assistant

	<p>Corporate Secretary, Regions Financial</p> <ul style="list-style-type: none"> • Tracy Stewart, Manager of Corporate Governance Research, State Board of Administration (SBA) of Florida
12:15 PM – 1:45 PM	<p>Lunch & Fireside Chat on Climate Change & ESG</p> <ul style="list-style-type: none"> • Introduction: Heidi DuBois, ESG Director, Society for Corporate Governance • Dennis Olle, Partner, Carlton Fields • Dr. Galen Treuer, Resilience Coordinator for Strategic Outcomes, Miami-Dade
1:45 PM – 3:00 PM	<p>Future of the Corporation: Issuer, Board & Investor Perspectives Business Roundtable’s “Statement on the Purpose of the Corporation,” Larry Fink’s 2019 ‘Letter to CEOs: Purpose and Profit’: debate whether Milton Friedman’s shareholder primacy corporate model accommodates the views of stakeholders or whether a more stakeholder-centric corporate model is needed for public companies to prosper in an increasingly fraught world.</p> <p>Moderator: Granville Martin, Senior Vice President & General Counsel, Society for Corporate Governance</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Amy Borrus, Deputy Director, Council of Institutional Investors • Dr. David L. Kelly, Professor of Economics; Co-Chair of the Sustainable Business Research Cluster, and Academic Director of the Master of Science in Sustainable Business, Miami Herbert Business School, University of Miami • Mary A. Francis, Corporate Secretary and Chief Governance Officer, Chevron Corporation • Tom Quaadman, Executive Director, Financial Reporting & EVP, Center for Capital Market Competitiveness, U.S. Chamber of Commerce
3:00 PM – 3:30 PM	Coffee Break
3:30 PM – 4:45 PM	<p>Board Composition, Refreshment and Diversity Best Practices & Trends, Progress of the 20/20 Campaign (or 30/30), and taking a deeper dive into the roles that new or diverse board candidates take on.</p> <p>Moderator: Fabrizio Ferri, Director, PhD Programs and Associate Professor, Miami Herbert Business School, University of Miami</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Maura Markus, Board of Directors, Broadridge Financial Solutions and member of the audit and compensation Committees; Director, Stifel Financial and member of the audit committee; Former President & COO, Bank of the West & Citibank • Lauren E. Smith, Managing Director, Diversified Search • Susan C. Stautberg, Governance Advisor, Atlantic Street Capital; Co-Founder, WomenCorporateDirectors
4:45 PM -5:00 PM	<p>Q&A: Wrap-up & Take-Aways</p> <ul style="list-style-type: none"> • Mila Brogan, Corporate Governance Consultant, Corporate Issuer and Institutional Investor Relations, Broadridge Financial Solutions, Inc.
5:00 PM – 6:00 PM	Cocktail Reception
6:00 PM – 8:00 PM	<p>Dinner and keynote speech on SEC and Regulatory Updates</p> <p>Introduction: Fabrizio Ferri, Director, PhD Programs and Associate Professor, Miami Herbert Business School, University of Miami</p> <p>Keynote Speaker: Robert Jackson, Former Commissioner, Securities Exchange Commission and Professor at New York University, School of Law</p>