



Broadridge®



MIAMI
BUSINESS SCHOOL

**Third Annual
Corporate Issuer & Institutional Investor Forum
Broadridge and Herbert Business School,
University of Miami**

Wednesday February 24, 2021 from Noon – 4:00 PM

Thursday February 25, 2021 from 1:00 PM – 4:30 PM

Agenda

Registration	On24 Registration Opens February 1, 2021
Day 1 - February 24	
12:00 pm EST	<p>Welcome Remarks</p> <ul style="list-style-type: none"> • Maryellen Andersen, Vice President, Corporate & Institutional Relations and Corporate Governance Officer, Broadridge Financial Solutions • Professor John Quelch, Vice Provost of Executive Education & Dean of the Business Administration, Herbert Business School, University of Miami
12:10pm-1:10pm EST	<p>2021 Proxy Season Preview</p> <ul style="list-style-type: none"> • Regulatory Updates, Guidance & Proposed Rules • Proxy Advisory Updates, Shareholder Engagement & Proposals • Environmental, Social and Governance Trends & Statistics • Impact of COVID-19 on Proxy Statement Disclosures • Other Topics: CD&A, Pay Ratio Disclosure, Say-on-Pay, etc. <p>Moderator: Sabastian V. Niles, Partner, Wachtell, Lipton, Rosen & Katz</p> <ul style="list-style-type: none"> • Danielle Fugere, President, As You Sow • Courteney Keatinge, Senior Director, Environmental, Social & Governance Research, Glass Lewis & Co. • Bob McCormick, Managing Director, PJT Camberview • Dannette Smith, Secretary to the Board & Senior Deputy General Counsel, UnitedHealth Group; Board Chair, Equiniti

1:40pm - 2:40pm EST	<p>Virtual Shareholder Meetings: Best Practices & Future Expectations</p> <ul style="list-style-type: none"> • 2020 Season Statistics & Metrics & 2021 Expectations • Principles, Best Practices & Recommendations • Engagement (Q&A, Proposals, Presentations, Contested Meetings, etc.) • Technology Challenges, Enhancements, and Outlook • State Restrictions & Future Regulation • Technology & enhancements for 2021: API/authentication, video integration (live vs pre-recorded) and user interface <p>Moderator: Doug Chia, President Soundboard Governance & Fellow, Center for Corporate Law and Governance, Rutgers Law School</p> <p>VSM Research Spotlight (Doug Chia & Fabrizio Ferri – 10 mins)</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Dorothy Flynn, President, Issuer Solutions, Broadridge • Keir Gumbs, Associate General Counsel, Global Corporate, M&A and Securities and Deputy Corporate Secretary, Uber Technologies • David B.H. Martin, Senior Counsel, Covington & Burling LLP • Yumi Narita, Executive Director of Corporate Governance, Comptroller's Office of New York City
3:00pm - 4:00pm EST	<p>Updates on Proxy Process & SEC Proxy Working Groups</p> <ul style="list-style-type: none"> • History, Challenges, Breaks in Process, Empty Voting, • Obstacles, Recommendations & Solutions & Timeline • Universal Proxy: Proposed Rules • End-to-End Confirmation: VSM Sub-committee Updates • NOBO/OBO: Diverging views, beneficial shareholder designation <p>Moderator: Anne Sheehan, Senior Advisor, PJT Camberview and Board Member at L Brands</p> <p>Panelists:</p> <ul style="list-style-type: none"> • <i>Broadridge SME Guests:</i> Chip Pasfield, Vice President, Client Services; and Jill Whitney, Vice President, Client Services • Amy Borrus, Executive Director, Council of Institutional Investors • Lawrence Conover, VP Corporate Actions, Fidelity Investments • Brandon Rees, Deputy Director, AFL-CIO • Darla Stuckey, President & CEO, Society for Corporate Governance & Chair, SEC End-to-End Working Group
Day 2 - February 25	

1:00pm EST	Welcome Remarks
1:10pm - 2:20pm EST	<p>The S in ESG: Board & Workplace Diversity, Equity & Inclusion</p> <p>Potential Discussion Topics:</p> <ul style="list-style-type: none"> • Impact of quotas (e.g. SB 826 & AB 979) or rules (e.g. NASDAQ listing rule) versus Shareholder or other Activism • Resilience Planning for DEI/Inclusion after COVID (Board Diversity, Committee Structure, DEI Oversight, Measurement & Disclosure) • Impact of Stakeholder Governance, Corporate Purpose, etc. • Other topics could include: Changes in Executive Search or Recruitment Processes, Pay Equity and Supply Chain <p>Moderator: Professor John Quelch, Vice Provost of Executive Administration & Dean of the Herbert Business School, University of Miami</p> <p>Spotlight: Chad Spittler, Founder & CEO, Third Economy and Joseph Vicari, Vice President, Consulting Services, Corporate Issuer Practice Lead, Broadridge</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Stephen Brown, Senior Advisor - Board Leadership Center, KPMG LLP • David Chun, CEO & Founder, Equilar & Equilar Diversity Network • Heidi DuBois, Executive Vice President & Head of ESG, Edelman • John Galloway, Global head of Investment Stewardship, Vanguard Group
2:45pm - 4:20pm EST	<p>Measurement and Disclosure for Sustainable Business: Practice, Research & Policy</p> <p>Moderator: Fabrizio Ferri</p> <p>Keynote Speaker: George Serafeim, Charles M. Williams Professor of Business Administration, Harvard Business School</p> <ul style="list-style-type: none"> • The Impact-Weighted Accounts Project <p>Research Spotlight: Khrystina Bochkay, Assistant Professor, University of Miami, SASB voluntary disclosure standards and capital markets</p> <ul style="list-style-type: none"> • SASB Voluntary Disclosure Standards and Capital Markets <p>Keynote Speaker: Jeffrey Hales, SASB Standard Board Chair; Charles T. Zlatkovich Centennial Professor, University of Texas at Austin; and Catherine W. and Edwin A. Wahlen, Jr., Professor, Georgia Institute of Technology</p> <ul style="list-style-type: none"> • Update on SASB Activities
4:20pm - 4:30pm EST	Closing Remarks