



INSIGHTS

Speaker Biography

Tom Schrandt

Tom Schrandt is the Managing Partner of Professional Liability Consulting Group, LLC (PLCG). Since 2004 Tom and his team have been providing Professional Liability Insurance solutions to the accounting and financial industries as well as attorneys and a variety of other consultants.

PLCG is a national independent brokerage firm with clients in all 50 states and is the broker of record for more than 5,000 professionals nationwide.

Tom has over a decade of experience within the commercial insurance industry and has led PLCG to become one of the top Independent brokerage firms in the nation.





JASON C. ROBERTS, ESQ., AIFA®

Chief Executive Officer

Pension Resource Institute, LLC

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Jason C. Roberts is the Founder and CEO of the Pension Resource Institute (PRI) providing strategic consulting, education and technology-based solutions for retirement plan service providers and plan sponsors.

Prior to founding PRI, Jason was a partner and co-chair of the Financial Services Group at a leading ERISA law firm, where his practice focused on employee benefits and securities regulation. He continues to provide legal counsel on ERISA- and investment-related matters through the law firm of Roberts Elliott, LLP and is frequently retained as an expert on fiduciary claims.

Jason was recently named as one of the “100 Most Influential in Defined Contribution” by the 401(k) Wire and a “Rising Star” by SuperLawyers Magazine. He currently serves on the membership committee for the National Association of Plan Advisers (NAPA) and conducts the Regulatory Compliance forum on NAPA Net.

Jason received his B.S.B.A. in Finance & Banking from the University of Missouri and his J.D. from the University of California, Los Angeles (UCLA) School of Law. He is also a graduate of FINRA’s Compliance Bootcamp and has obtained the designation of Accredited Investment Fiduciary Analyst™ from the Center for Fiduciary Studies.



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Speaker Biography

Gary Sutherland

Gary Sutherland is the Chief Executive Officer of North American Professional Liability Insurance Agency, LLC (NAPLIA). Mr. Sutherland founded NAPLIA in 1998 and has grown it to be a national. He oversees all operation and management activities of the company.

NAPLIA is a boutique Insurance Agency that specializes in providing professional liability insurance, and related products, to the accounting and financial industries. NAPLIA is a founding member of the National Association of Plan Advisors (NAPA). Since 2008, NAPLIA has been an Inc. 5000 company, representing the fastest growing private companies in America.

Mr. Sutherland is a regular presenter on risk management and insurance for Investment Advisors and other Financial Professionals. He speaks annually at conferences for fi360 and The Center for Due Diligence, both nationally recognized associations for Investment professionals. He has further served on several national panel discussions regarding best practices, claim mitigation and understanding E & O insurance for Investment professionals.





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Kimberly Shaw Elliott is an ERISA investment lawyer, engaging in a multi-disciplinary practice helping clients successfully navigate the complex intersection of rules founded in ERISA/employee benefits, securities law, broker dealer regulation and tax.

She brings the business leader's perspective to the practice of law, having served as an insurance executive responsible for building and distributing investment products, both domestically and offshore, as well as chief ERISA counsel for major distributors. As general counsel of a broker dealer/ investment advisor, Kim led those firms through extensive claims litigation, nation-wide regulatory actions, E&O coverage disputes and negotiated an innovative new policy. She has advised retirement plan trustee committees, for defined benefit and defined contribution plans, with plan assets exceeding \$2 billion.

As General Counsel of Pension Resource Institute, LLC, ("PRI"), Kim provides legal and regulatory guidance to PRI in connection with the development and distribution of its products and services. Jason C. Roberts, Kim's partner in Roberts Elliott, founded and is CEO of PRI.

Licensed as an attorney in Illinois and Missouri, Kim is a three-time graduate of Washington University in St. Louis, having earned her JD, LLM, and executive MBA there. She was a FINRA licensed principal and investment advisor representative while in-house and holds the Fellow, Life Management Institute designation. Kim was named President Emeritus of the Association of Corporate Counsel (St. Louis), chaired the Employee Benefits Committee of the Missouri Bar and is a frequent speaker on employee benefits and securities-related topics.