

## **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.

## Katie A. Umile



Katie is the Founder and Chief Executive Officer of iCapital, LLC. Katie began her career at John Hancock in 1996. While at John Hancock, she realized that creating her own registered investment advisory firm was the best way to satisfy the needs and interests of her clients. iCapital has provided the vehicle for her to develop and deliver an independent, innovative approach to retirement plan services that is otherwise restrictive in traditional product platforms.

Through iCapital's inventive platform, Katie provides critical assistance and the tools necessary to help plan sponsors navigate through the often complex landscape of fiduciary management and compliance. With a holistic approach to participant education, she continues to help countless retirement plan participants achieve their vision of retirement. Katie has managed and consulted on plans ranging from startup to over a billion dollars in plan assets. She has been a featured speaker on fiduciary compliance for many organizations and has been conducting education workshops in Boston for plan sponsors on various topics for more than five years.

Katie holds one of only nine Accredited Investment Fiduciary Analyst® designations in the state of Massachusetts. The AIFA® is issued through the University of Pittsburgh in conjunction with fi360. Katie recently conducted the first CEFEX certification for a public foundation in the United States.

### Other affiliations and organizations:

- Centre for Fiduciary Studies Marketing Committee
- Member of American Society of Pension Providers and Actuaries
- Independent Analyst - CEFEX
- Series 65 Investment Adviser Representative

## Jason C. Roberts



Jason is the founder and CEO of the Pension Resource Institute (PRI) providing strategic consulting and training to retirement plan service providers (broker-dealers, RIAs, investment managers, recordkeepers, TPAs, etc.) and fiduciary education to plan sponsors. He is primarily responsible for tactical planning and business development at PRI, and he actively leads many of PRI's consulting projects.

Prior to founding PRI, Jason Roberts was a partner and co-chair of the Financial Services Group at Reish & Reicher - a leading ERISA law firm – where his practice focused on employee benefits and securities regulation. He counseled broker-dealers, registered investment advisers (RIAs), hedge funds, private equity funds, retirement plan sponsors and plan providers in ERISA and investment-related matters. Jason was frequently retained as an expert witness on fiduciary claims and represented clients in federal and state court at the trial and appellate level (including the U.S. Supreme Court) and in arbitrations before FINRA. He also counseled clients involved in government enforcement proceedings.

Jason serves on the steering committee for the American Society of Pension Professionals and Actuaries (ASPPA) 401(k) Summit and was recently named as one of the “100 Most Influential in Defined Contribution” by the 401(k) Wire.

Jason has published numerous articles on ERISA compliance and securities regulation and is a nationally-recognized speaker on issues such as fiduciary status, service provider due diligence and disclosure requirements. He is frequently quoted and interviewed by both professional and public publications.

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 and is a graduate of FINRA's Compliance Boot Camp.

