

SHARPEN YOUR FOCUS

UPPO ANNUAL CONFERENCE

■ Basic ■ Intermediate ■ Advanced ■ Special Focus

Specialized knowledge codes:

A – Audit/enforcement
 C – Compliance
 L – Legal
 N – Networking
 PD – Personal Development
 R – Asset Recovery.

Note: A does not indicate a CPE audit category.

SUNDAY, MARCH 29, 2020

12:00 - 6:30 PM	Registration Opens		
1:15 - 2:15 PM	Unclaimed Property 101 Kick-start the conference by learning about UPPO and the foundations of unclaimed property, terms, definitions and compliance basics, as well as the roles and responsibilities of various stakeholders. (C)		
2:30 - 3:30 PM Concurrent Sessions (choose one)	Priority Rules Learn about which states' rules apply to unclaimed property, what exactly constitutes an address for reporting, and exceptions and additions to the rules set forth in state and federal laws. (Basic Certificate Program Session) (C)	Estimation Under Audits and VDAs Holders under examination or participating in a VDA may be subject to estimated liabilities. Explore methodologies and considerations, and learn how states differ in their approaches. (Intermediate Certificate Program Session) (A)	Contact and Activity Standards Explore the ways companies interact with owners, the importance of properly recording activity and the effects on compliance. Discuss modes of electronic activity, returned mail standards and the ability to link owner activity between accounts and property types. (C)
3:45 - 4:45 PM Concurrent Sessions (choose one)	Why Unclaimed Property Matters to Management Take a trip down the road to unclaimed property compliance. Learn how to identify key stakeholders, communicate the importance of unclaimed property to your company's financial statements and SOX compliance, and gain management buy-in and continued support. (Basic Certificate Program Session) (C, PD)	Exemptions and Deductions Exemptions provide holders with the ability to reduce their unclaimed property liability. Learn how to identify and correctly apply exemptions and deductions, and understand the role of FASB standards. (Intermediate Certificate Program Session) (C)	Effective Communication Strategies Having conversations with staff, management, third parties and states can be challenging. Examine real-life conversations encountered by unclaimed property professionals. (PD)
4:45 - 5:30 PM	First-Time Attendee Reception Join other first-time conference attendees, UPPO leaders and committee chairs as your UPPO annual conference journey begins. (N)		
5:30 - 6:30 PM	Welcome Reception (N)		

MONDAY, MARCH 30, 2020

6:00 - 7:00 AM	Scholarship Program Event			
7:45 - 8:30 AM	Breakfast (N)			
8:15 - 9:00 AM	The UPPO Today Show			
9:15 - 10:15 AM	Industry Breakouts Banking/FinTech, Securities/Mutual Funds/Broker Dealers/Transfer Agents, Life Insurance, P&C Insurance, Manufacturing, Retail/Hospitality, Oil & Gas/Energy, Telecommunications & Technology, Healthcare Providers and Insurers, Non-industry-Specific, and State Representatives. (A, C, L, N, PD, R)			
10:15 - 10:45 AM	Morning Break (N)			
10:45 - 11:45 AM Concurrent Sessions (choose one)	Audit 101 Get an introduction to audit concepts, timelines and expectations with a focus on audit scope and methodology for audits conducted by states and third parties. (A)	Reporting Changes and NAUPA 3 Compliance changes are on the way with the pending implementation of NAUPA 3. Examine possible unclaimed property holder process changes necessary to comply with the new reporting format. (C)	Preemptions Primer Federal laws may affect your unclaimed property compliance program. Explore the concept of preemption and its impact on unclaimed property through examples involving bankruptcies, transportation companies and employee benefit plans. (C, L)	Claimant's Representative/Asset Recovery Industry Breakout Network, discuss industry issues, benchmark and collaborate with your peers on topics of interest in this facilitator led session. (R)
11:45 AM - 1:00 PM	Lunch & Association Meeting (N)			
1:15 - 2:15 PM Concurrent Sessions (choose one)	Setting Up Your Compliance Shop Learn to develop and enhance written policies and procedures to minimize risk and ensure compliance. Hear tips and real-world examples for building teams across departments and implementing proper controls. (C, PD)	Legal issues for Non-Lawyers Learn about legal concepts common in unclaimed property, such as private escheat, derivative rights and anti-limitations clauses, to gain an understanding of key issues frequently at the heart of litigation and enforcement disputes. (L)	Data Privacy and Fraud Explore issues and approaches for handling personal identifying information in unclaimed property compliance and enforcement. Learn best practices for internal fraud detection and prevention. (C, L)	Industry Focus: Oil and Gas Discuss audit trends and compliance changes affecting the oil and gas industry. Take a deep dive into mineral interest reporting issues, including production/last activity dates, JIB, suspense codes and current-to-pay. (A, C, L)
2:30 - 3:30 PM Concurrent Sessions (choose one)	Due Diligence on Dormant Property Due diligence is required in all jurisdictions. Gain insight into calculating dormancy, increasing response rates, notifying owners efficiently, locating hard-to-find owners, structuring the due diligence letter, and identifying exceptions to the general due diligence requirements. (C)	Mergers and Acquisitions Learn how to assemble your unclaimed property due diligence team, analyze and quantify the potential unclaimed property liabilities to be inherited. (C, L)	Cross-Border Considerations Global companies face unique unclaimed property issues. Examine issues affecting holders with an international presence, including working with foreign shared services centers, compliance and enforcement considerations with overseas affiliates, and consequences on non-U.S. employees and shareholders. (C)	Industry Focus: Securities Discuss audit trends and compliance changes affecting the securities industry. Take a deep dive into triggers, regulatory considerations, liquidation concerns, and reporting and delivery of securities and mutual funds. (A, C, L)
3:30 - 4:15 PM	Afternoon Break (N)			
4:15 - 5:15 PM	Audit Perspectives Getting through an unclaimed property audit can take a team that includes holders, lawyers and consultants. Hear our moderated panel discuss their recent audit experiences, significant issues and resolutions, and suggested tips and tricks. Come with questions and leave with insights on how to survive your unclaimed property audit. (Closed to state representatives) (A, L)			
5:20 - 5:40 PM	Tequila Toast on Salud Patio (N)			

TUESDAY, MARCH 31, 2020

7:00 - 7:45 AM	Breakfast (N)			
8:00 - 9:00 AM	According to the States Participate in an interactive state panel with real-time discussion on hot topics from both the states and holders. (A, C, L, PD, R)			
9:15 - 10:15 AM	Mock Trial Witness a mock experience using recent unclaimed property cases as the backdrop. (L)			
10:15 - 10:45 AM	Morning Break (N)			
11:15 AM - 12:15 PM Concurrent Sessions (choose one)	Reporting and Remitting Basics Walk through the reporting process, including data management issues, state-required formats, suggested practices, and tips for successful reporting and remitting. (C)	VDA or Wait? After completing a voluntary compliance review, the decision about how to resolve past-due liabilities looms large for many companies. Discuss how gaps in compliance can be resolved, including through state voluntary disclosure programs (VDAs), and the pros and cons of different approaches. (A, L)	Accounting for Unclaimed Property Reporting changes, non-compliance and audit assessments can have major impacts on a company's financial statements. Learn how to account for unclaimed property through a discussion of common standards and practices, materiality issues and examples of financial reporting effects. (C)	Industry Focus: Banking and Finance Learn about audit trends and compliance changes affecting the banking and finance industry. Take a deep dive into topics affecting tax advantaged and tax deferred accounts (IRAs, HSAs, FSAs and pensions), and tangible property. (A, C, L)
12:15 - 1:15 PM	Lunch (N)			
1:30 - 2:30 PM Concurrent Sessions (choose one)	Asset Recovery Gain insight into methods and processes for requesting funds from states in both asset recovery and holder reimbursement contexts. Learn what data is needed to efficiently process a claim and the best approaches to take with the states. (R)	Into the Future: Technology Topics New technologies present unique opportunities to drive improvements in a company's unclaimed property processes. Learn about ways that automation, robotics and other forms of data enablement can be used to reduce risks and develop the unclaimed property department of the future. (A, C)	Enforcement Beyond the Audit States are developing new ways to enforce compliance. This discussion will address new "compliance reviews," legislative changes affecting enforcement powers, penalty and interest provisions, and other ways states now monitor for non-compliance. (A, C, L)	Industry Focus: Retail Learn about audit trends and compliance changes affecting the retail industry. Take a deep dive into topics impacting digital wallets, layaways, and loyalty and gift card programs. (A, C, L)
2:45 - 3:45 PM Concurrent Sessions (choose one)	No Longer a Novice Oh, the places you'll go! After learning the fundamentals of unclaimed property, discuss how to put your new knowledge to work growing your career. Unclaimed property professionals share their experiences going from beginner to veteran and share advice and insights learned along the way. (PD)	Due Diligence: More Than a Letter Generating owner contact is vital for reducing unclaimed property exposures. Learn best practices to build a proactive owner outreach program, including ways to leverage electronic communication and drive response rates. (C)	Effective Remediation Strategies How do you know when an item is not unclaimed property? Learn how to detect and remediate potential unclaimed property to prevent over-reporting and mitigate unclaimed property exposures. Presenters will share their experience identifying accounting errors, reverse transactions, offsets and documenting when items are not reportable in audit and compliance applications. (Closed to state representatives) (A, C)	Industry Focus: Healthcare Learn about audit trends and compliance changes affecting the healthcare industry. Take a deep dive into topics including self-pay, contractual adjustments, double billing, HIPAA, insurance recoupment and small balance write-offs. (A, C, L)
3:45 - 4:15 PM	Afternoon Break (N)			
4:15 - 5:15 PM	Legislative and Litigation Updates Review the year's most important legislative changes with insights and potential operational effects. (A, C, L, R)			
5:20 - 5:40 PM	Tequila Toast on Salud Patio (N)			
6:00 - 10:00 PM	Conference Event (N)			

WEDNESDAY, APRIL 1, 2020

7:45 AM	Continental Breakfast Get breakfast and join your industry peers. (N)		
8:00 - 9:00 AM	Industry Breakouts Banking/FinTech, Securities/Mutual Funds/Broker Dealers/Transfer Agents, Life Insurance, P&C Insurance, Manufacturing, Retail/Hospitality, Oil & Gas/Energy, Telecommunications & Technology, Healthcare Providers and Insurers, Non-industry-Specific, and State Government. (A, C, L, N, PD, R)		
9:15 - 10:15 AM Concurrent Sessions (choose one)	Record Retention & Data Governance Implementing best practices for record retention can minimize company resources in the event of an audit and helps ensure compliance with statutory requirements. Examine the importance of data integrity and maintaining complete records, and the types of records and timeframes to consider when developing a record retention policy. (A, C, L)	Audits: The Beginning & The End While a lot happens in between, actions taken at the beginning and end of an audit can have significant impacts to the outcome of the exam. Participate in this in-depth discussion on NDAs, audit kick-offs, scoping, settlement agreements and closing discussions. (A, L)	Virtual Currencies and Fintech Expanding use of cryptocurrencies and fintech products are creating emerging unclaimed property issues for an entire industry. Discuss compliance considerations related to cryptocurrencies and blockchain technologies, as well as new payment, lending and money storage products. (C)