MEMO# 10401

October 28, 1998

ICI'S 1999 RETIREMENT PLANS CONFERENCE -- CONFERENCE CALL TO DISCUSS PROGRAM

[10401] VIA FAX October 28, 1998 TO: PENSION COMMITTEE No. 73-98 PENSION OPERATIONS ADVISORY COMMITTEE No. 55-98 RE: ICI's 1999 RETIREMENT PLANS CONFERENCE -- CONFERENCE CALL TO DISCUSS PROGRAM ____ The Institute's 1999 Retirement Plans Conference will be held March 3-5 in New Orleans. We have scheduled a conference call on Monday, November 2 at 4 p.m. EST to discuss the conference program. A draft program is attached for your review. If you would like to participate in the call, please fax this response sheet to Theresa Brice at (202) 326-5841. If you are unable to participate in the call, please feel free to call me (202) 326-5835 or Kathryn Ricard (202) 218-3563 with your suggestions and comments. Russell G. Galer Senior Counsel Attachment ATTENDANCE RESPONSE FORM FOR CONFERENCE CALL ON 1999 Retirement Plans Conference Monday, November 2, 1998 - 4:00 p.m. EST Please fax this form by Friday, October 30, 1998 to Theresa Brice at 202-326-5841. Yes, I will participate in the Conference Call regarding the 1999 Retirement Plans Conference on Monday, November 2, 1998 at 4:00 p.m. EST. To participate in the call, dial 1-800-523-5415 and ask for the "Retirement Plans Conference" call. COMMITTEE MEMBER - COMPANY DRAFT DRAFT DRAFT Retirement Plans Conference March 3-5, 1999 New Orleans, Louisiana DAY ONE - Wednesday, March 3, 1999 (Registration) DAY TWO - Thursday, March 4, 1999 I. Introductory Remarks 8:30-8:45 II. Keynote Speaker 8:45-9:30 III. Participant Asset Allocation Behavior In 401(k) Plans 9:30-10:45 Topics: + ICI-EBRI Participant Data Project: Initial Findings + Lessons For Plan Design + New Directions For Educational Programs? BREAK: 10:45-11:00 IV. Delivering Investment Advice to Participants: Legal Issues 11-12:15 Topics: + Structuring Relationships With Intermediaries + Recent DOL Exemptions + Information, Education and Investment Advice: What Do Participants Need? What Are Employers Willing To Deliver? LUNCH: 12:15-1:15 Possible Speaker Topics: Public Plan Developments Retirement Plan Trends Social Security Reform V. Concurrent Sessions 1:30-2:15 403(b) and 457 Plans: Basics Topics: +The Basics Of 403(b)s and 457s + MEAs and Other Contribution Rules + Distribution Rules + Hold Harmless Agreements 401(k) Plan Issues Topics: + Automatic Deferrals + Loan Processing via Voice Response Systems + + VI. Retirement Plans On the Intranet and Web 2:30-3:45 Topics: + Capabilities and Limitations + IRS and DOL Guidance + Conducting Transactions + Delivering Retirement Plan Education + The Dos and Don'ts of Retirement Plan Website Design DAY THREE – Friday, March 5, 1999 I. Informal Breakfast Discussion Groups (Institute Members Only) 7:30-8:30 Topics: + Roth IRAs + Education IRAs + IRA Distributions + Using the Web for 401(k) Plan Administration + II. Legislative and Regulatory Update 8:40-9:55 Topics: +

Prospects For 1999 + DOL Update + IRS Update BREAK- 9:55-10:10 III. Concurrent Sessions 10:10-11:25 Small Employer Plans Topics: + Administrative Issues + SIMPLE Plans + Addressing Obstacles To Plan Formation Electronic Transfer of Retirement Assets: NSCC Platforms Topics: + Transferring IRA Assets + Transferring 401(k) Assets + Recent Systems Enhancements IV. The Roth IRA Program – One Year Later 11:30-12:45 Topics: + Roth IRA Program Demographics + Conversion Roth IRAs + IRS Guidance LUNCH 12:45
