



# NAST Southern State Treasurers & NAUPA Annual Conference

## NAST Calendar

### **May 22-25, 2005**

NAST Legislative Conference  
*Willard InterContinental Hotel*  
Washington, DC

### **June 19-22, 2005**

Midwestern & Western State  
Treasurers Conference  
*Rushmore Plaza Holiday Inn*  
Rapid City, South Dakota

### **July 24-28, 2005**

Northeast State Treasurers &  
CSPN Annual Conference  
*Renaissance Harborplace Hotel*  
Baltimore, Maryland

### **August 7-11, 2005**

National Institute for Public Finance  
*Northwestern University Kellogg Graduate*  
*School of Management*  
Evanston, Illinois

### **September 18-22, 2005**

NAST & SDMN Annual Conference  
*Hyatt Regency Lake Tahoe*  
*Incline, Nevada*

### **November 16-18, 2005**

NAST Issues Conference  
*Waldorf Astoria Hotel*  
New York, New York

**National Association of State Treasurers**  
c/o The Council of State Governments  
2760 Research Park Drive • P.O. Box 11910 • Lexington, KY 40578-1910  
(859) 244-8175 Phone • (859) 244-8053 Fax  
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**NAUPA**  
National Association of  
Unclaimed Property Administrators

**Grand Hotel Marriott**  
**Point Clear, Alabama**  
**May 1-5, 2005**

# NAST SOUTHERN STATE TREASURERS & NAUPA ANNUAL CONFERENCE

*May 1-5, 2005  
Point Clear, Alabama*

## CONFERENCE INFORMATION

### Registration

Your registration materials include your name badge, preliminary attendance list and official meeting program. Name badges must be worn to all sessions and social events.

### Who Can Attend

Conference sessions and social events are open to registered participants only. Registration hours are noted in the program. Any changes to the program will be posted at the registration desk.

### Conference Attire

Resort casual is appropriate for all business and social functions. Sporty casual attire may be worn to the Tuesday and Wednesday evening social events held at the hotel.

### Special Attention

Please silence your cell phone and beeper during all conference sessions to avoid distracting the speakers and other conference attendees.

### Hotel Information

Grand Hotel Marriott  
Point Clear, AL 36564  
Tel: (251) 928-9201  
Guest Fax: (251) 928-1149



#### **Keane**

Keane is the leading provider of lost investor management and unclaimed property compliance solutions to the world's largest corporations and financial institutions. Beyond compliance, we're committed to your long-term success, offering services that allow you to define, comply with, and minimize unclaimed property obligations in a manner that maximizes value. We apply a best practices business model that focuses our people, technology, and communications expertise on protecting your shareholders and improving your bottom line.



#### **LexisNexis/Matthew Bender**

LexisNexis™ is a global leader in comprehensive and authoritative legal, news and business information and tailored applications. A member of Reed Elsevier Group plc, the company does business in 100 countries with 13,000

employees worldwide. In the US, LexisNexis Total Research System offers an extensive range of online and print legal and regulatory information products, tools, customized Web applications and critical filing services that help legal professionals reach confident decisions and comply with the law.



#### **Xcitek**

Xcitek is the leading provider of global corporate actions and dividend data with over 2,000 clients worldwide. Unclaimed Property Administrators access our user-friendly web product for affordable and comprehensive source of market data information to improve operational efficiency and expedite the processing of unclaimed funds. Our full suite of securities information resources includes Income Audit, designed to calculate earned and paid income for any specified period, as well as a cost allocation calculator to adjust cost basis.

Notes:

# National Association of Unclaimed Property Administrators Annual Exposition



## ACS State & Local Solutions

ACS State & Local

Solutions, through its Unclaimed Property Clearinghouse, provides customized support services to the unclaimed property programs of 50 states, the District of Columbia, and The Commonwealth of Puerto Rico. The Clearinghouse began in 1984 by offering states a records-examination solution to achieve and maintain compliance with their unclaimed property reporting requirements. Today, the Clearinghouse also acts as custodian for the unclaimed securities portfolios of 18 states; provides claims processing support for multiple programs; and develops and implements a variety of IT systems solutions. While the Clearinghouse has evolved to meet the needs of the states, the underlying mission remains unchanged: through coordinating multi-state compliance efforts, significant amounts of overlooked property can be reported to the states and ultimately returned to the rightful owners.

solutions for managing unclaimed property, and the easiest to implement. UPS2000, our Client / Server-based product, provides a complete and secure solution for unclaimed property departments of any size, and utilizes the most up-to-date technology. UPMS, our system for smaller states, also provides a complete solution for states that manage a smaller processing volume. Our Holder Reporting System, HRS Pro, provides states and holders with a perfect solution for reporting unclaimed property reports electronically using the NAUPA approved electronic reporting standard. Over 10,000 holders in the last year have successfully used HRS to submit their annual reports.



## Fiserv

The FREEDOM Group, is currently doing

business as Fiserv, and is a leading provider of regulatory systems and services. TRACKER is the most widely used automated system for managing and reporting unclaimed property. State-specific reporting requirements are included in the software package, and updated as changes occur. With TRACKER or our outsourcing services, you can take the confusion out of compliance by consolidating your records from various departments, generate personalized search letters, track dormancy, create state-approved reports, forecast liability, and much more. Over 4,000+ organizations have partnered with Fiserv and are utilizing TRACKER or our outsourcing services to stay in compliance with this time consuming task.

## ACS Wagers & Associates, Inc.

ACS Wagers &

Associates, Inc. provides state-of-the-art Unclaimed Property Management Systems for 33 unclaimed property departments. For over fifteen years, we have provided states with exactly what they need to manage their departments—without the need for large internal projects or additional staffing to keep systems running. Our comprehensive, state-of-the-art systems are designed to be the best possible

# PROGRAM AGENDA

## Sunday, May 1, 2005

1:00-5:30 p.m.

Grand Ballroom Foyer

Registration

4:00-5:30 p.m.

Jubilee Room

NAUPA Executive Committee

5:30-7:00 p.m.

Julep Point

Conference Opening Reception

Dinner on Your Own

## Monday, May 2, 2005

8:00 a.m.-5:00 p.m.

Grand Ballroom Foyer

Registration

7:00-8:45 a.m.

Grand Dining Room

from NAST staff at the entrance of the main dining room.

Conference Breakfast

Breakfast coupons will be available for conference participants

8:45-9:00 a.m.

Magnolia 4

Speakers:

- **Hon. Tate Reeves**, Southern Region President and Mississippi State Treasurer
- **Hon. Jeb Spaulding**, NAUPA President and Vermont State Treasurer
- **Hon. John D. Perdue**, NAST President and West Virginia State Treasurer
- **Hon. Kay Ivey**, Conference Host and Alabama State Treasurer

Conference Opening and Welcome

9:00-10:00 a.m.

Magnolia 4

**Retirement Systems of Alabama**  
The Retirement Systems of Alabama (RSA) is the 14th largest internally managed pension fund in America and the 42nd largest public pension fund in the world. Its CEO will discuss how some of his investment strategies and financial market decisions lead to the RSA being named "Plan Sponsor of the Year" in 2003 by PlanSponsor Magazine.

**Retirement Systems of Alabama**

The Retirement Systems of Alabama (RSA) is the 14th largest internally managed pension fund in America and the 42nd largest public pension fund in the world. Its CEO will discuss how some of his investment strategies and financial market decisions lead to the RSA being named "Plan Sponsor of the Year" in 2003 by PlanSponsor Magazine.

Moderator: **Hon. Kay Ivey**, Alabama State Treasurer

Speaker:

- **Dr. David G. Bronner**, Chief Executive Officer, Retirement System of Alabama

10:00 a.m.-12:30 p.m.

Magnolia 4

**Disaster Recovery Issues**  
Lessons learned from natural disasters and terrorists attacks indicate that the more personnel who have been trained in business continuity and disaster prevention, the better an organization's response and recovery capabilities. This in-depth session will provide valuable information on how to develop or improve emergency response and business continuity plans.

**Disaster Recovery Issues**

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Moderator: **Hon. John Kennedy**, Louisiana State Treasurer

Speaker:

- **Lloyd R. Smith, Jr.**, President, Business and Government Continuity Services Inc.

12:30-2:00 p.m.

Grand Ballroom North

Conference Luncheon with Speaker

Introduction: **Hon. Tate Reeves**, Mississippi State Treasurer

Speaker:

- **Hon. Haley Barbour**, Governor of Mississippi

**2:00-3:00 p.m.**

*Magnolia 4*

session will include motivation, communication, leadership styles, improving productivity and managing yourself.

### **Managing in the New Millennium**

Principles of effective management and leadership. This

session will include motivation, communication, leadership styles, improving productivity and

managing yourself.

*Moderator:* **Hon. Tate Reeves**, Mississippi  
State Treasurer

*Speaker:*

- **George A. Schloegel**, Vice Chairman and Chief Executive Officer, Hancock Holding Company, President and Chief Executive Officer, Hancock Bank

**3:00-4:00 p.m.**

*Magnolia 4*

officials must prudently manage their investment managers. This session will provide tools for investment officials to evaluate investment manager RFPs, select an investment manager, and measure ongoing investment performance.

### **Selecting and Monitoring Investment Managers**

In the complex arena of corporate governance, fiduciary

officials must prudently manage their investment managers. This session will provide tools for

investment officials to evaluate investment manager RFPs, select an investment manager, and

measure ongoing investment performance.

*Moderator:* **Hon. Jody M. Wagner**, Virginia  
State Treasurer

*Speakers:*

- **Laura B. Glenn**, CFA, Portfolio Manager, Georgia Office of Treasury & Fiscal Services
- **Chris Ellis**, CFA, Director of Portfolio Analytics, FactSet Research Systems, Inc.

**3:00-4:30 p.m.**

*Azalea A-B*

functions and issues to new administrators and staff. Time will be allowed for dialogue to include general reporting requirements, relations with holders, auditing issues and resources available from NAUPA. A great refresher session for veteran staff as well!

### **NAUPA Technical Issues Roundtable – Part I**

Experienced administrators will present basic program

functions and issues to new administrators and staff. Time will be allowed for dialogue to

include general reporting requirements, relations with holders, auditing issues and resources

available from NAUPA. A great refresher session for veteran staff as well!

*Moderator:* **Lawrence Schantz**, Director, Office of  
Unclaimed Funds, New York  
State Comptroller

*Speakers:*

- **Ralph Ainsworth**, Unclaimed Property Director, Alabama Treasury
- **Barbara Rice**, Assistant State Treasurer, South Carolina Treasury
- **Benny Spann**, Unclaimed Property Director, Louisiana Treasury

**4:00-5:00 p.m.**

*Jubilee Room*

### **Southern State Treasurers Meeting**

*Presiding:* **Hon. Tate Reeves**, Southern Region  
President and Mississippi State Treasurer

**4:00-6:15 p.m.**

*Porte Cohere*

*Shuttle transportation will depart every 15 minutes to  
Fairhope for shopping and dinner.*

**6:00-9:00 p.m.**

*Fairhope Inn*

*63 South Church Street*

### **Conference Reception and Dinner**

**Tuesday, May 3, 2005**

**8:00 a.m.-5:00 p.m.**

*Grand Ballroom Foyer*

### **Registration**

**8:00-9:00 a.m.**

*Grand Ballroom North*

### **Conference Breakfast with NAUPA Exposition**

# **NAUPA Executive Committee**

*President*

**Hon. Jeb Spaulding**

Vermont State Treasurer

*Immediate Past President*

**Beth Chapman**

Tennessee Treasury

*Vice President*

**George Tamayo**

Office of Texas Comptroller of Public Accounts

**Hon. Michael L. Fitzgerald**

Iowa State Treasurer

*Secretary-Treasurer*

**John Fisher**

West Virginia Treasury

**Hon. David Lemoine**

Maine State Treasurer

**Rob Huarte**

California State Controller's Office

*Eastern Regional Vice President*

**Lawrence Schantz**

New York State Comptroller's Office

**Hon. John N. Kennedy**

Louisiana State Treasurer

*Midwestern Regional Vice President*

**Michael Mehlhaff**

South Dakota Treasury

**Hon. John D. Perdue**

West Virginia State Treasurer

*Southern Regional Vice President*

**Kenneth Wilkins**

North Carolina Treasury

**David Sullivan**

Delaware Division of Revenue

*Western Regional Vice President*

**Hon. Brian K. Krolicki**

Nevada State Treasurer

**Cynthia Wickham**

Oregon Department of State Lands

## **In Appreciation**

*Special thanks to the following firms for the generous contributions to the  
NAUPA Southern State Treasurers & NAUPA Annual Conference.*

ACS State & Local Solutions

AmSouth Bank

Citigroup Global Markets, Inc.

Mellon Financial Corporation

Morgan Keegan & Company, Inc.

Morgan Stanley & Co., Inc.

Regions Bank

State Street Corporation

Sterne Agee Asset Management, Inc.

The Bank of New York

Wachovia Bank

## **Host State Treasurer**

Hon. Kay Ivey, Alabama State Treasurer

# Southern State Treasurers



*Alabama*  
Hon. Kay Ivey



*Arkansas*  
Hon. Gus Wingfield



*Florida*  
Hon. Tom Gallagher



*Georgia*  
Hon. W. Daniel Ebersole



*Kentucky*  
Hon. Jonathan Miller



*Louisiana*  
Hon. John Kennedy



*Virginia*  
Hon. Jody M. Wagner



*Mississippi*  
Hon. Tate Reeves



*North Carolina*  
Hon. Richard H. Moore



*Oklahoma*  
Hon. Robert Butkin



*South Carolina*  
Hon. Grady L. Patterson Jr.



*Tennessee*  
Hon. Dale Sims



*Texas*  
Hon. Carole Keeton Strayhorn

## 9:00-10:00 a.m.

*Magnolia 4*

safe, and proven procedures for

## Collateralization of Public Deposits

Discover the challenges of ensuring state bank deposits are running a successful collateralization pool.

*Moderator:* **Hon. Dale Sims**, Tennessee State Treasurer

*Speakers:*

- **Nat Toulon**, Bureau Chief, Collateral Management, Florida Department of Financial Services
- **Zach Wasson**, Chief Financial Officer, Trustmark National Bank and Chairman, Mississippi Public Funds Guaranty Pool Board

## 10:00-11:00 a.m.

*Magnolia 4*

This session will include a case study analyzing the pros and cons of paying for bank charges with compensating balances (soft dollars) or actual expenses (hard dollars) – and the tools to perform this analysis to bring the maximum value to your Treasury.

*Moderator:* **Hon. Gus Wingfield**, Arkansas State Treasurer

*Speaker:*

- **Mara Holley**, Regional Director, Wachovia Bank, N.A.

## 10:00 a.m.-12:00 p.m. NAUPA Technical Issues Roundtable – Part II

*Azalea A-B*

An open forum for discussions with a panel of experienced administrators on topics such as 1099s, pre-need funeral plans, capital gains, notary requirements, publication costs, confiscated certificates and other administrative issues of mutual interest.

*Moderator:* **Kenneth Wilkins**, Deputy Treasurer, North Carolina Department of State Treasurer

*Speakers:*

- **Beth Chapman**, Director of Unclaimed Property, Tennessee Treasury
- **Scott Harper**, Assistant Deputy Treasurer, Missouri Treasury
- **Rob Huarte**, Chief, Division of Collections, California Controller's Office

## 11:00-11:30 a.m.

*Magnolia 4*

This session will provide an overview of the disclosure requirements addressing common risks of deposits and investments of state and local governments and discuss recent GASB pronouncements relating to post-employment benefits and derivative investments.

*Moderator:* **Hon. W. Daniel Ebersole**, Director, Georgia Office of Treasury and Fiscal Services

*Speaker:*

- **Randy Finden**, Project Manager, Governmental Accounting Standards Board

## 12:00-2:00 p.m.

*Grand Ballroom North*

Listen to discussion on the regulatory requirements placed on broker/dealers who distribute 529 plans.

*Introduction:* **Hon. Kay Ivey**, Alabama State Treasurer

*Speaker:*

- **Mike Kolen**, Former Linebacker Miami Dolphins, President, Kolen Financial Team

## 2:00-3:00 p.m.

*Magnolia 4*

The session will focus on current NAST federal initiatives, including college savings plans and unclaimed property. Treasurers will also discuss state actions relating to unclaimed United States savings bonds.

*Moderator:* **Hon. John D. Perdue**, NAST President and West Virginia State Treasurer

*Speakers:*

- **Hon. W. Daniel Ebersole**, Director, Georgia Office of Treasury & Fiscal Services
- **Hon. Jeb Spaulding**, NAUPA President and Vermont State Treasurer
- **Randy Berger**, Kirby McInerney & Squire, LLP

**3:00-4:30 p.m.**

*Magnolia 4*

The pressures on organizations to operate better, faster and cheaper are enormous. Consequently every organization is undergoing some type of change initiative. The presenter shares his humorous and insightful wisdom on how to lead a successful transformation effort – and why most organizations don't.

*Moderator:* **Hon. Ron Ross**, Nebraska State Treasurer

*Speaker:*

- **Ken Miller**, Founder, Change and Innovation Agency

**4:30-5:30 p.m.**

*Azalea B-F*

### **NAUPA Business Meeting**

*Presiding:* **Hon. Jeb Spaulding**, NAUPA President and Vermont State Treasurer

**6:00-9:00 p.m.**

*Fishing Pier*

### **Conference Reception and Dinner**

## **Wednesday, May 4, 2005**

**8:00 a.m.-5:00 p.m.**

*Grand Ballroom Foyer*

### **Registration**

**8:00-9:00 a.m.**

*Grand Ballroom North*

### **Conference Breakfast with NAUPA Exposition**

**9:00-10:00 a.m.**

*Magnolia 4*

### **Unclaimed Pensions, Retirement Accounts and ERISA – when is it Unclaimed Property**

Industry specialists will discuss recent issues and directives surrounding the acceptability of dormant retirement accounts as unclaimed property.

*Moderator:* **Beth Chapman**, Director of Unclaimed Property, Tennessee Treasury

*Speakers:*

- **Stephen Larson**, Deputy Treasurer, Iowa Treasury
- **Lynden Lyman**, Managing Director, ACS Unclaimed Property Clearinghouse

**10:00-11:00 a.m.**

*Magnolia 4*

### **Accessing Technology**

Available and easily affordable technology continues to provide us with more opportunities to efficiently communicate to larger audiences how important unclaimed property is as consumer protection program. This session will discuss suggestions for utilizing some of these technologies and information systems in areas such as outreach, training and claims processing.

*Moderator:* **Michael J. Mehlhaff**, Deputy Treasurer, South Dakota Treasury

*Speakers:*

- **Lynn E. Hall**, Unclaimed Property Manager, Comptroller of Maryland
- **Kathleen Lobell**, Accountant Supervisor, Louisiana Treasury
- **Ken Wagers**, President, ACS Wagers & Associates, Inc.

**11:00 a.m.-12:00 p.m.** **Unclaimed Property Reporting From the Holders Perspective**

*Magnolia 4*

Holders need to contend with an ever increasing range of state reporting requirements. More consistency in this area would facilitate reporting efforts and help enhance compliance. This session will focus on the differences and similarities in state reporting requirements as well as the limitations faced by states in this area.

*Moderator:* **George Tamayo**, Division Manager, Texas Office of Comptroller of Public Accounts

*Speakers:*

- **Valerie M. Jundt**, Senior Manager, Deloitte Tax LLP
- **Beth A. Stein**, Director, Unclaimed Property, MarketSphere Consulting, LLC
- **Sandy Willard**, Compliance Manager, Wachovia Bank, N.A.

**12:00-2:00 p.m.**

*Grand Ballroom North*

### **Conference Luncheon with NAUPA Exposition**

**2:00-3:00 p.m.**

*Magnolia 4*

### **Innovative and Cost Effective Compliance Techniques**

Experts will share tips on leveraging available resources to increase compliance through desk audits, education, voluntary disclosure agreements and compliance programs.

*Moderator:* **David Sullivan**, Deputy Director, Delaware Division of Revenue

*Speakers:*

- **Shirley Fowler**, Administrator, Escheat & Unclaimed Property, North Carolina Department of State Treasurer
- **Rick Sweet**, Assistant Unclaimed Property Bureau Chief, Florida Department of Financial Services
- **Cynthia Wickham**, Trust Property Manager, Oregon Department of State Lands

**3:00-4:00 p.m.**

*Magnolia 4*

### **Enhanced Claims Processing**

Continuing media attention, increased compliance with state statutes, and the effects of demutualization have driven the inventory of pending claims to record highs in some states. This session will discuss ideas for managing this ever increasing workload.

*Moderator:* **John Fisher**, Director of Unclaimed Property, West Virginia Treasury

*Speakers:*

- **Vicki Bridgeman**, Director of Unclaimed Property, Virginia Treasury
- **Kelly Hans**, Assistant Director, New York State Comptroller
- **Kathy Janes**, Unclaimed Property Director, Oklahoma Treasury

**4:00-5:00 p.m.**

*Magnolia 4*

### **Gift Certificates, Prepaid and Value-Added Cards**

Industry specialists will discuss recent issues and directives surrounding the acceptability of dormant retirement accounts as unclaimed property.

*Moderator:* **Hon. Jeb Spaulding**, NAUPA President and Vermont State Treasurer

*Speakers:*

- **Suzanne Darling**, Vice President of Strategic Initiatives, ACS Unclaimed Property Clearinghouse
- **Ron Schubert**, Director, Holder Education & Research, New York State Comptroller

**6:00-9:00 p.m.**

*Bay House Lawn*

### **Conference Reception and Dinner**

**Thursday, May 5, 2005**

**7:00-9:00 a.m.**

*Grand Ballroom Patio*

### **Conference Breakfast**