



## 2014 GENERAL MEMBERSHIP MEETING

### PROGRAM

#### TUESDAY, MAY 20

1:00–7:00 p.m.

##### Conference Registration

*Washington Hilton Foyer: Concourse Level*

1:00–3:00 p.m.

##### Exhibit Hall Open

*Exhibit Hall*

Refreshments will be available.

3:00–3:30 p.m.

##### Welcome and Opening Remarks

*International Ballroom*

###### **Marie A. Chandoha**

Chair

GMM Planning Committee

President and CEO

Charles Schwab Investment Management, Inc.

##### President's Address

###### **Paul Schott Stevens**

President and CEO

Investment Company Institute

3:30–4:45 p.m.

## **GMM Policy Forum**

*International Ballroom*

Laurence D. Fink, BlackRock’s Chairman and CEO, will engage in a far-reaching discussion about global financial markets and key public policy issues with Paul Schott Stevens, ICI President and CEO.

**Laurence D. Fink**  
Chairman and CEO  
BlackRock

**Paul Schott Stevens**  
President and CEO  
Investment Company Institute

5:00–7:00 p.m.

## **Welcome Reception and Legal Forum**

*Exhibit Hall*

**Featuring GMM’s Fourth Annual *Capital Chef Classic***

Sponsored by:



At this fun event, three critically acclaimed chefs will compete in a cook-off. After the competition, the chefs will participate in a book signing, and the following books will be available for sale.

- » *Baby Love: Healthy, Easy, Delicious Meals for Your Baby and Toddler* by Geoff Tracy
- » *Crazy Good Italian: Big Flavors, Small Plates* by Mike Isabella
- » *Pati’s Mexican Table: The Secrets of Mexican Home Cooking* by Pati Jinich

More information about the Capital Chef Classic, including brief biographies of our three chefs, is available.

### **Legal Forum Presentations**

The welcome reception will also feature the following Legal Forum presentations.

- » Regulatory Initiatives and Enforcement Cases  
Cipperman & Company
- » Building Your Gateway to Latin American Investors  
BNP Paribas

## WEDNESDAY, MAY 21

6:00 a.m.

### Mutual Fund Walk and Jog

Back by popular demand! For a fun and healthy start to your morning, please assemble in the Terrace Lobby.

7:00 a.m.–6:30 p.m.

### Conference Registration

*Washington Hilton Foyer: Concourse Level*

7:30–8:45 a.m.

### Buffet Breakfast with Exhibitors

*Exhibit Hall*

7:30–8:45 a.m.

### Interactive Breakfast Discussion Sessions

*Closed to the media*

Buffet breakfast will be available.

Please note that the GMM and Operations and Technology Conference breakfast discussion sessions are expected to fill early and admission will be on a first-come, first-served basis. You may not receive your first choice of sessions.

#### 1. Closed-End Funds

*Fairchild East Room (Terrace Level)*

**Cecilia L. Gondor**, Discussion Leader  
Executive Vice President and Chief Investment Officer  
Thomas J. Herzfeld Advisors, Inc.

#### 2. Exchange-Traded Funds

*Embassy Room (Terrace Level)*

**Eric M. Pollackov**, Discussion Leader  
Managing Director, ETFs  
Client Portfolio Strategist  
Charles Schwab Investment Management, Inc.

#### 3. ICI Global: Opportunities and Challenges in the Asia-Pacific Region

*Fairchild West Room (Terrace Level)*

**Dan Waters**, Discussion Co-Leader  
Managing Director  
ICI Global

**Qiumei Yang**, Discussion Co-Leader  
Executive Vice President, Head of Asia Pacific  
ICI Global

9:00–10:15 a.m.

## **GMM Leadership Panel: Serving Investors in an Evolving World**

*International Ballroom*

A cross section of industry leaders will explore various strategies and factors influencing the fund business and how we serve our shareholders.

**Edward Bernard**, Moderator  
Vice Chairman  
T. Rowe Price Group

**Dana M. Emery**  
President and CEO  
Dodge and Cox

**Martin L. Flanagan**  
President and CEO  
Invesco Ltd.

**Daria L. Foster**  
Managing Partner  
Lord, Abbett & Co. LLC

**William F. “Bill” Glavin**  
Chairman and CEO  
OppenheimerFunds

10:30–11:45 a.m.

## **How Is Investment Management Changing to Meet Shareholder Preferences?**

*International Ballroom*

Experienced investment managers will engage in a lively discussion about influences—including shareholder preferences—affecting investment management strategies today.

**John F. Casey**, Moderator  
Chairman  
Casey, Quirk & Associates

**Mortimer J. “Tim” Buckley**  
Chief Investment Officer  
Vanguard

**Colin Moore**  
Global Chief Investment Officer  
Columbia Management Investment Advisers, LLC

**William Yun**  
Executive Vice President, Alternative Strategies  
Franklin Templeton Investments

11:45 a.m.–12:45 p.m.

## Reception

*Exhibit Hall*

12:45–2:15 p.m.

## Luncheon with Keynote Speaker

*International Ballroom*

The 2014 GMM luncheon will feature an address by a world-renowned senior statesman, who will then engage in a dynamic conversation about global political and leadership challenges with ICI Chairman William McNabb.

Luncheon sponsored by:

**J.P.Morgan** **Deloitte.**

2:30–3:45 p.m.

## The Art of Good Corporate Governance

*International Ballroom*

Companies face many challenges in developing and administering appropriate and effective governance regimes. This panel will explore key board director issues, such as board configuration, levels of engagement, and constituencies.

**John “Jack” Brennan**, Moderator  
Chairman Emeritus  
Vanguard

**Carol Anthony “John” Davidson**  
Vice Chairman, Board of Trustees  
Financial Accounting Foundation

**Brackett B. Denniston III**  
Senior Vice President and General Counsel  
General Electric Company

**Anne Marie Whitemore**  
Partner  
McGuireWoods

4:00–5:15 p.m.

## The World View: What It Takes to Lead a Global Investment Manager

*International Ballroom*

Demands related to managing a global business can differ from country to country and region to region. Industry leaders responsible for tackling the challenges of global business will discuss the opportunities in today's global markets and how funds can address the difficulties on the road to success.

**George Gatch**, Moderator  
CEO, Global Funds Management  
JP Morgan Asset Management

**Peng Wah Choy**  
CEO  
Harvest Global Investments Limited

**Martin Gilbert**  
CEO  
Aberdeen Asset Management PLC

**Gregory E. Johnson**  
President and CEO  
Franklin Resources, Inc.

5:15–7:00 p.m.

## Reception and Legal Forum

*Exhibit Hall*

Specialty bar sponsored by:



### Legal Forum Presentations

The following Legal Forum presentations will take place during the reception:

- » Board Oversight of Alternative Investment Strategies for Mutual Funds  
Drinker Biddle & Reath
- » Cybersecurity: What to Do Once There Has Been an Attack  
Dechert
- » Are You Prepared for the Inevitable Cyberattack?  
eSentire, Inc.

7:00 p.m.

## 56th Annual GMM Dinner with Entertainment

*International Ballroom*

Featuring entertainment by Million Dollar Quartet

Million Dollar Quartet is the Tony Award–winning Broadway musical inspired by the true story of the famed recording session that brought together rock 'n' roll icons Elvis Presley, Johnny Cash, Jerry Lee Lewis, and Carl Perkins for the first and only time. Enjoy a great selection of classic hits including “Blue Suede Shoes,” “Great Balls of Fire,” and “Walk the Line.”

Evening event sponsored by:



## THURSDAY, MAY 22

7:00–11:00 a.m.

### Conference Registration

*Washington Hilton Foyer: Concourse Level*

7:30–8:45 a.m.

### Breakfast Session: A Conversation with SEC Chair Mary Jo White

*International Ballroom*

Breakfast will be served until 8:00 a.m.

#### **Mary Jo White**

Chair

U.S. Securities and Exchange Commission

#### **Paul Schott Stevens**

President and CEO

Investment Company Institute

Breakfast sponsored by:



**ColumbiaManagement**<sup>®</sup>

9:00–10:15 a.m.

## How Does Investor Advice Affect Fund Distribution?

*International Ballroom*

Today's investors have many alternatives to acquire investment advice. Join industry executives in a conversation about how advice is delivered and how such delivery channels impact the products and services offered to fund shareholders.

**Robert M. Keith**, Moderator  
Executive Managing Director  
Head of Global Client Group  
AllianceBernstein

**Bernard J. Clark**  
Executive Vice President, Advisor Services  
Charles Schwab & Co.

**Andrew Sieg**  
Managing Director and Head of Global Wealth and Retirement Solutions  
Bank of America Merrill Lynch

**Bob Vorlop**  
Head of Products and Advice  
Wells Fargo Advisors, LLC

10:30–11:30 a.m.

## Moving U.S. Policy and Fiscal Objectives Forward

*International Ballroom*

Former U.S. Senator Olympia Snowe (R-ME) strongly supports bipartisan compromise to achieve policy and fiscal goals beneficial to the United States. In this GMM closing session, Snowe will be interviewed by Marie Chandoha, President and CEO of Charles Schwab Investment Management, about her views on how to end partisan obstructions and move policy and fiscal objectives forward.

**Olympia Snowe**  
Former member of U.S. Senate and House of Representatives

**Marie Chandoha**  
Chair, GMM Planning Committee  
President and CEO  
Charles Schwab Investment Management, Inc.

11:30 a.m.–2:00 p.m.

## Brunch

*International Terrace*

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