



## 2014 MUTUAL FUND COMPLIANCE PROGRAMS CONFERENCE

### PROGRAM

*The Compliance Programs Conference is closed to the media.*

#### 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*

8:45–9:00 a.m.

##### **Opening Remarks**

9:00–10:15 a.m.

##### **Current Events: Keeping Up with New and Evolving Compliance Issues**

*Jefferson and Lincoln Rooms*

The opening panel of the conference will feature the current regulatory topics that may be of interest to fund and adviser chief compliance officers (CCOs). These hot topics include OCIE's cybersecurity and securities lending reviews; alternative strategies in '40 Act funds; the SEC's recent fixed-income guidance; and issues relating to Russian securities, high-frequency trading, and best execution.

**Robert P. Scales**, Moderator  
Chief Compliance Officer  
Columbia Acorn Funds

**Jane Jarcho**  
National Associate Director, Investment Adviser/Investment Company Examination Program  
Office of Compliance Inspections and Examinations (OCIE)  
U.S. Securities and Exchange Commission

**Katherine M. Primas**  
Chief Compliance Officer  
Dodge & Cox

**Janet Squitieri**  
Global Head of Compliance  
Van Eck

**Nicole Trudeau**  
Associate  
K&L Gates LLP

10:30–11:30 a.m.

### **The Evolving Cybersecurity Landscape Part I: Overview of Cybersecurity Threats and Attacks**

*Jefferson and Lincoln Rooms*

In part I of our two-part session, a cybersecurity expert will provide an overview of cybersecurity concerns and threats, discuss the community of attackers, walk through the anatomy of an attack, and discuss ways to mitigate attacks.

**Ben Smith**  
RSA, the Security Division of EMC

11:30 a.m.–12:30 p.m.

### **The Evolving Cybersecurity Landscape Part II: The Intersection of CCOs and Cybersecurity Concerns**

*Jefferson and Lincoln Rooms*

In part II of our two-part session, a panel will discuss the involvement of CCOs in overseeing cybersecurity concerns, as well as issues to consider to help protect their organizations from attacks.

**Charles C. S. Park, Moderator**  
Chief Compliance Officer and Managing Director  
BlackRock Fund Advisors

**Breda Beckerle**  
Chief Compliance Officer  
Franklin Templeton Investments

**John H. Walsh**  
Partner  
Sutherland Asbill

**Michael H. Whitaker**  
Senior Vice President and Chief Compliance Officer, Fixed Income and Asset Allocation Funds  
Fidelity Investments

12:30–2:15 p.m.

## **Reception and 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 Impact of Evolving Intermediary Relationships on Oversight and Board Reporting**

*Jefferson and Lincoln Rooms*

This panel, jointly sponsored with the Operations and Technology Conference, will focus on the continuing challenges associated with intermediary oversight. The panel's discussion will include board reporting as well as insights from the SEC's ongoing "distribution in guise" review.

**Richard J. Gorman, Moderator**

Chief Compliance Officer  
Oakmark Funds

**Robert J. Adams**

Executive Vice President  
National Financial Services

**Renee Esfandiary**

Assistant Director, National Examination Program  
Office of Compliance Inspections and Examinations  
U.S. Securities and Exchange Commission

**Basil Fox**

President  
Franklin Templeton Investor Services

**Kelly B. Whetstone**

Counsel and Senior Director of Compliance  
Homestead Funds

4:00–5:15 p.m.

## **Staying Ahead of the Curve: Anticipating What's to Come**

*Jefferson and Lincoln Rooms*

This panel, jointly sponsored with the Independent Directors Council, will discuss practices for looking beyond day-to-day compliance program responsibilities to identifying trends and developments that will affect compliance processes in the future.

**Robert M. Zakem**, Moderator  
General Counsel and Chief Compliance Officer  
RidgeWorth Investments

**Vanessa C. L. Chang**  
Independent Director  
American Funds

**Gazala Khan**  
Chief Compliance Officer  
Goldman Sachs & Co.

**Steven Miyao**  
CEO  
kasina, LLC

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®

9:00–10:15 a.m.

## **Advisers and Compliance: New Issues and New Approaches to Old Issues for Advisers and Subadvisers**

*Jefferson and Lincoln Rooms*

This panel will focus on issues relating to fund advisers, including the use of subadvisers, and the CCO's role in overseeing advisory issues. In addition to current issues impacting advisers, the panel will discuss conflicts of interest, risk, valuation, and board interaction.

**Nancy Morris**, Moderator  
Chief Compliance Officer  
Wellington Management Company, LLP

**Gerald “Jerry” Dillenburg**  
Chief Compliance Officer  
Aston Asset Management, LP

**Robert R. Leveille**  
Chief Compliance Officer  
Putnam Investments and Putnam Funds

**Monica L. Parry**  
Of Counsel  
Bingham McCutchen LLP

10:30–11:30 a.m.

## **Lightning Round**

*Jefferson and Lincoln Rooms*

Back by popular demand! This panel of compliance experts will answer questions submitted by attendees, providing them with an opportunity to have their burning questions answered by a bevy of compliance experts. Conference attendees are encouraged to submit a question for the panel at the time of registration, though questions also may be submitted throughout the conference.

**Tom Mistele**, Moderator  
Chief Operating Officer, Senior Counsel, and Director  
Dodge & Cox

**Richard J. Gorman**  
Chief Compliance Officer  
Oakmark Funds

**Nancy Morris**  
Chief Compliance Officer  
Wellington Management Company, LLP

**Charles C. S. Park**  
Chief Compliance Officer and Managing Director  
BlackRock Fund Advisors

**Monica L. Parry**  
Of Counsel  
Bingham McCutchen LLP

**Robert P. Scales**  
Chief Compliance Officer  
Columbia Acorn Funds

**Nicole Trudeau**  
Associate  
K&L Gates LLP

**John H. Walsh**  
Partner  
Sutherland Asbill

**Robert M. Zakem**  
Chief Compliance Officer and General Counsel  
RidgeWorth Investments

11:30 a.m.–12:30 p.m.

### **Breakout Discussion Sessions**

The breakout discussion sessions, another popular feature of the conference, have returned this year. These sessions provide an opportunity for conference attendees to discuss compliance challenges in an informal setting with their colleagues at similarly sized companies. While the discussion is facilitated by a compliance professional, it will focus on topics of interest to, or raised by, those participating in the session. Attendees may select whether to attend the session for small, medium, or large fund complexes.

#### **Small Fund Complexes**

*Cardozo Room*

**Nicole Trudeau**, Discussion Facilitator  
Associate  
K&L Gates LLP

#### **Medium Fund Complexes**

*Fairchild Room*

**Monica L. Parry**, Discussion Facilitator  
Of Counsel  
Bingham McCutchen LLP

#### **Large Fund Complexes**

*Gunston Room*

**John H. Walsh**, Discussion Facilitator  
Partner  
Sutherland Asbill

12:30–2:00 p.m.

**Brunch**

*International Terrace*

Additional sponsors:

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