



2014 OPERATIONS AND TECHNOLOGY CONFERENCE

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.

Intermediary Oversight and the Role of the Financial Intermediary Controls and Compliance Assessment (FICCA)

Cardozo Room (Terrace Level)

Stuart Bateman, Discussion Co-Leader
Senior Vice President
Franklin Templeton Investments

Timothy O'Sullivan, Discussion Co-Leader
Director, Regulatory and Capital Markets
Deloitte & Touche

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.

Welcoming Remarks

Georgetown Room

Kathleen C. Joaquin
Chief Industry Operations Officer
Investment Company Institute

Operations and Technology Leadership Roundtable

Georgetown Room

Fund industry operations and technology leaders will explore current challenges and look ahead to what the future may hold. Topics will include:

- » Working with distribution partners
- » Managing customer data
- » Overcoming legacy system complications
- » Risks related to cybersecurity and mobile technologies
- » Information as a competitive advantage

Barry Benjamin, Moderator
U.S. and Global Asset Management Leader
PricewaterhouseCoopers LLP

Maureen Leary-Jago
President
MFS Service Center

Christopher “Chris” Perretta
Executive Vice President and Chief Information Officer
State Street Corporation

Matthew Walker
Principal
Operations and Technology Group
Vanguard Financial Advisor Services

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 Impact of Evolving Intermediary Relationships on Oversight and Board Reporting

Closed to the media

Lincoln and Jefferson Rooms

This panel, jointly sponsored with the Compliance Programs Conference, will focus on the 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.

Fund Distribution: Evolving Opportunities and Challenges

Georgetown Room

This panel, featuring fund industry distribution leaders, will explore:

- » Role of data in transforming distribution
- » Technology and compliance: implementation challenges and business impacts
- » Professional buyer platforms
- » Product developments
- » The evolution of advisers

T. Neil Bathon, Moderator
Managing Partner
FUSE Research Network

William Connolly
Head of Global Distribution
Putnam Investments

George D. Riedel
Head of Financial Institutions
T. Rowe Price Associates

Matthew J. Witkos
President
Eaton Vance Distributors

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.

The Evolving Cybersecurity Environment: An Operations and Technology Perspective

Georgetown Room

This panel will explore the information security landscape, including threats, vulnerabilities, and mitigation strategies. Panelists also will discuss the importance of incident response and the critical role that staff play in preventing cyberattacks.

Jason M. Weinstein, Moderator

Partner

Step toe & Johnson

Mark Clancy

Managing Director of Technology Risk Management

Corporate Information Security Officer

DTCC

Carl W. Herberger

Vice President, Security Solutions

Radware

Brandon Hines

Manager, Information Risk and Security

Dimensional Fund Advisors

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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