2016 COMPLIANCE

Mutual Fund Compliance Programs Conference—Are We Having Fun Yet?

MAY 19–20, 2016 • WASHINGTON HILTON • WASHINGTON, DC

Program

The Mutual Fund Compliance Programs Conference is closed to the media.

Thursday, May 19

7:30 a.m.–6:30 p.m.

Conference Registration
CONCOURSE FOYER

7:30–8:45 a.m.

Buffet Breakfast with Exhibitors
EXHIBITION:COLUMBIA HALL

8:45–9:00 a.m.

Opening Remarks
INTERNATIONAL BALLROOM WEST

David W. Blass
General Counsel
Investment Company Institute

9:00–10:15 a.m.

There's Always Something New: The Year in Review
INTERNATIONAL BALLROOM WEST

The opening panel of the conference will review regulatory initiatives over the previous year and the coming year affecting CCOs. The panel also will discuss the focus of the SEC's inspection and enforcement staffs and what this means for funds and their advisers.

Nancy Morris, Moderator
Chief Compliance Officer
Wellington Management Company LLP

Brian W. Dvorak
Principal
The Vanguard Group, Inc.

Renee Esfandiary
Assistant Director
Office of Compliance Inspections and Examinations
U.S. Securities and Exchange Commission

Christy Sears
Chief Compliance Officer
American Beacon Advisors

Nicole Trudeau
Partner
Stradley Ronon Stevens & Young, LLP

10:30–11:45 a.m.

Rolling Up Our Sleeves: An In-Depth Look at the SEC's 2015–2016 Rulemaking Initiatives

INTERNATIONAL BALLROOM WEST

Since last year's conference, the SEC has been pursuing an ambitious rulemaking agenda that may raise issues of concern to CCOs as these initiatives are adopted and implemented. This panel will look at the impact on CCOs of these initiatives in detail, including the N-PORT, liquidity, and derivatives proposals.

Alyssa Albertelli, Moderator
Chief Compliance Officer
State Street Global Advisors

Amy R. Doberman
Partner
Wilmer Cutler Pickering Hale and Dorr LLP

James J. Kearney
Principal, Fund Financial Services
The Vanguard Group

Russell C. Lemley
Chief Compliance Officer, American Funds
Capital Research and Management Company

Janet Squitieri
Global Head of Compliance
Van Eck Associates Corporation

11:45 a.m.–12:45 p.m.

Reception and Legal Forum

EXHIBITION:COLUMBIA HALL

The reception will feature the following Legal Forum presentation:

Nontraditional Approaches to Securities and Antitrust Litigation, Lieff Cabraser Heimann & Bernstein LLP
Speaker: Bruce W. Leppla (Noon–12:45 p.m.)

12:45–2:15 p.m.

Luncheon with Keynote Speaker Walter Isaacson

INTERNATIONAL BALLROOM

Noted author and best-selling biographer Walter Isaacson will engage in a lively dialogue with Columbia Threadneedle Investments CEO Ted Truscott about the people who created the computer and the Internet, and examine the talents that allowed certain inventors and entrepreneurs to turn their disruptive ideas into reality.

Walter Isaacson
Author, *The Innovators: How a Group of Hackers, Geniuses, and Geeks Created the Digital Revolution* and *Steve Jobs*
President and CEO
Aspen Institute

William F. "Ted" Truscott
CEO
Columbia Threadneedle Investments

Luncheon sponsored by:

NextShares Solutions LLC

2:30–3:45 p.m.

Where to Draw the Line: A CCO's Responsibility for Conflicts of Interest and Risk Issues

INTERNATIONAL BALLROOM WEST

This panel will explore the impact of the SEC's increasing focus on conflicts of interest and risk on the role of the CCO within a firm. The panel also will consider the SEC's tendency to continually increase the responsibilities imposed on CCOs and the appropriate role of the CCO in overseeing conflicts of interest and risk, particularly those involving service providers or specialized risk areas such as alternative investing, liquidity/stress testing, cybersecurity, and new technologies (e.g., cloud storage).

Walter M. Kelly, Moderator
Chief Compliance Officer
Nuveen Funds

Chad Earnst
Chief Compliance Officer
Prudential Investments LLC

Russell L. Kane
Chief Compliance Officer, Mutual Funds
Deputy General Counsel
Natixis Global Asset Management, L.P.

Karrie McMillan
Managing Director
Patomak Global Partners, LLC

Katherine Stoner
Chief Compliance Officer
SunAmerica Mutual Funds

4:00–5:00 p.m.

Blips on the CCO Radar: Noise or Substance?

INTERNATIONAL BALLROOM WEST

This panel will explore an assortment of issues (blips) on CCOs' radar over the past year including, among others: gifts and entertainment policies; pricing matters (after the NYSE suspension of trading and the Sungard issues); oversight of distributors; the SEC's increasing use of data analytics; the DOL fiduciary proposal; and responses to the SEC imposing greater responsibilities on CCOs.

Anita M. Zagrodnik, Moderator
Chief Compliance Officer
U.S. Bancorp Fund Services, LLC

Jerry Dillenburg
Chief Compliance Officer
Aston Asset Management, LLC

Cathy M. Stoner
Vice President
Schwartz Investment Counsel, Inc.

Nicole M. Tremblay
President and Chief Compliance Officer
New Century Portfolios

John H. Walsh
Partner
Sutherland, Asbill & Brennan LLP

5:00–7:15 p.m.

Reception and Legal Forum

EXHIBITION:COLUMBIA HALL

Boardwalk sponsored by:

The reception will feature the following Legal Forum presentations:

Current Developments Concerning Cybersecurity, Drinker Biddle & Reath LLP
Speakers: Mary Hansen and Jillian Bosmann (5:20–6:05 p.m.)

Hot Topics in SEC Enforcement and Examinations, Stradley Ronon Stevens & Young, LLP
Speakers: Gregory D. DiMeglio and Michael D. Mabry (6:10–6:55 p.m.)

7:15 p.m.

GMM Dinner Event

INTERNATIONAL BALLROOM

Featuring entertainment by the **Jill Gioia Band**.

Come hear your favorite songs performed by the Jill Gioia Band. This versatile, high-energy band blends music from all genres, including classic rock and roll, pop, disco, blues, and current hits of today.

In addition to musical entertainment, the 2016 GMM dinner party will feature excellent networking opportunities, cocktails, and specialty food stations.

Dinner event sponsored by:

pwc · Boston Financial Data Services · DST · State Street

Friday, May 20

7:00–11:00 a.m.

Conference Registration

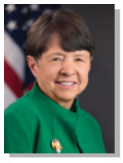
CONCOURSE FOYER

7:30–8:30 a.m.

Regulatory Address by 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

Breakfast sponsored by:

Deloitte.

8:45–10:00 a.m.

Advisers and Compliance: Hot Topics for Advisers and Subadvisers

INTERNATIONAL BALLROOM WEST

This panel will focus on "hot" topics facing fund advisers and subadvisers. Topics are likely to include the oversight of subadvisers, valuation issues, managing the RFP process, and compliance with regulatory requirements.

Frank Knox, Moderator
Chief Compliance Officer
John Hancock Financial Services, Inc.

Stuart Brunet
Chief Compliance Officer
TIAA-CREF Investment Management

Joanna Catalucci
Senior Managing Director and Chief Compliance Officer
Guggenheim Funds

Monica Parry
Of Counsel
Morgan, Lewis & Bockius LLP

Patrick J. Spellman
Senior Vice President and Chief Compliance Officer
AMG Funds

Christopher Stanley
Chief Compliance Officer
Loring Ward Group, Inc.

10:15–11:15 a.m.

Lightning Round

INTERNATIONAL BALLROOM WEST

It's back again by popular demand! This session will feature a panel of compliance experts answering questions submitted by attendees. It provides 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 may also be submitted throughout the conference.

Thomas M. Mistele, Moderator
Chief Operating Officer, Senior Counsel, and Director
Dodge & Cox

Alyssa Albertelli
Chief Compliance Officer
State Street Global Advisors

Walter M. Kelly
Chief Compliance Officer
Nuveen Funds

Frank Knox
Chief Compliance Officer
John Hancock Financial Services, Inc.

Nancy Morris
Chief Compliance Officer
Wellington Management Company LLP

Monica Parry
Of Counsel
Morgan, Lewis & Bockius LLP

Nicole Trudeau
Partner
Stradley Ronon Stevens & Young, LLP

Anita M. Zagrodnik
Chief Compliance Officer
U.S. Bancorp Fund Services, LLC

11:30 a.m.–12:30 p.m.

Breakout Discussion Sessions

Also back by popular demand and a perennial part of the conference are the breakout discussion sessions. These sessions provide an opportunity for conference attendees to discuss compliance challenges in an informal setting with their colleagues at similarly sized companies. The discussion is facilitated by a compliance professional, but 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. The breakout discussion sessions are open only to representatives of ICI member firms.

Small Fund Complexes

EMBASSY ROOM

Monica Parry, Facilitator
Of Counsel
Morgan, Lewis & Bockius LLP

Medium Fund Complexes

FAIRCHILD ROOM

Nicole Trudeau, Facilitator
Partner
Stradley Ronon Stevens & Young, LLP

Large Fund Complexes

GUNSTON ROOM

Karrie McMillan
Managing Director
Patomak Global Partners, LLC

12:30–2:00 p.m.

Brunch

LINCOLN ROOM

Additional conference sponsors include:

Delta Data stay ahead of the change™ FIS workiva MULTIFONDS® a Temenos Company