

# 2016 OPS & TECH

Operations and Technology Conference

MAY 18–20, 2016 • WASHINGTON HILTON • WASHINGTON, DC

## Program

### Wednesday, May 18

1:00–7:00 p.m.

#### Conference Registration

CONCOURSE FOYER

1:00–3:00 p.m.

#### Exhibit Hall Open

EXHIBITION: COLUMBIA HALL

*Refreshments will be available.*

3:00–3:30 p.m.

#### Welcome and Opening Remarks

INTERNATIONAL BALLROOM



**Thomas Faust**  
Chairman  
GMM Planning Committee  
Chairman and CEO  
Eaton Vance Corp.

#### Chairman's Address



**F. William McNabb III**  
Chairman  
Investment Company Institute  
Chairman and CEO  
Vanguard

3:30–4:45 p.m.

#### GMM Policy Forum

INTERNATIONAL BALLROOM



**Michael R. Bloomberg**  
Founder, Bloomberg LP  
Philanthropist  
UN Secretary-General's Special Envoy for Cities and Climate Change  
Three-Term Mayor of New York City



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

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4:45–7:00 p.m.

## Welcome Reception and Legal Forum

EXHIBITION: COLUMBIA HALL

Ice Cream Lab sponsored by:



The welcome reception will feature the following Legal Forum presentations:

**Securities Lending: Today's Realities, Risks, and Opportunities**, eSecLending

Speakers: Craig Starble and Peter Bassler (5:10–5:55 p.m.)

**The MetLife Impact on FSOC and SIFI Designations of Asset Managers**, Dechert LLP

Speakers: Robert H. Ledig and Thomas P. Vartanian (6:00–6:45 p.m.)

## 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

7:30–8:45 a.m.

### Interactive Breakfast Discussion Session: Predicting the Future: Key Technology Developments and Their Likely Impacts on the Fund Industry

JEFFERSON ROOM

Closed to the media

Buffet breakfast will be available.



**Joseph Boerio**, Discussion Co-Leader  
Senior Vice President and Chief Technology Officer  
Franklin Templeton Investments



**Dan Greller**, Discussion Co-Leader  
Chief Information Officer  
Artisan Partners

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9:00-10:15 a.m.

## **Facing the Future: Fresh Perspectives**

INTERNATIONAL BALLROOM

Fund leaders will discuss industry priorities and concerns and share their thoughts on what the future may hold for investors.



**Brian Langstraat**, Moderator  
CEO  
Parametric



**Andrea L. Lisher**  
Managing Director  
JPMorgan Asset Management



**Shundrawn A. Thomas**  
Executive Vice President, Head of Funds and Managed Accounts Group  
Northern Trust Asset Management



**Leslie Walstrom**  
Head of U.S. Marketing  
Columbia Threadneedle Investments

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10:30–11:45 a.m.

## Welcoming Remarks

JEFFERSON ROOM



**Marty Burns**  
Chief Industry Operations Officer  
Investment Company Institute

## Big Data Initiatives and the Power of the Cloud

JEFFERSON ROOM

Fund industry executives will explore the following topics:

- Common practices and realistic expectations: big data analytics
- The role of data governance professionals and the recruiting of data scientists
- Working with third-party cloud service providers



**Julien Courbe**, Moderator  
Partner and U.S. Asset Management Advisory Leader  
PwC



**Kyle Mallot**  
Vice President  
DST Systems, Inc.



**Sumedh Mehta**  
Chief Technology Officer  
Putnam Investments



**Wendy L. Walasek**  
Executive Director, Asset Management  
JP Morgan Investment Management

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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

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2:30–3:45 p.m.

### Operations and Technology Leadership Roundtable

JEFFERSON ROOM

Senior operations professionals will explore current challenges and opportunities for the fund industry. Topics will include:

- Regulatory initiatives, including the DOL's fiduciary rule proposal, the SEC's liquidity risk management proposal, and the SEC's proposed new requirements for transfer agents
- Intermediary and vendor oversight
- Cybersecurity concerns and priorities
- Business continuity challenges



**Tammy Virnig**, Moderator  
Principal  
The Vanguard Group, Inc.



**Cary Fuchs**  
Senior Vice President  
Principal Funds



**Lisa Shea**  
Senior Vice President  
Northern Trust



**Michael Woodall**  
Head of Mutual Fund Shareholder Services  
Putnam Investments

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4:00–5:00 p.m.

## The Changing Workforce

JEFFERSON ROOM

Senior operations and human resources executives will explore top-of-mind workforce challenges in the asset management industry. Topics will include:

- Organizational cultures and employee development
- Work-life balance
- Driving engagement and exploring generational differences in the workplace



**Renee Booth**, Moderator  
Founder  
Leadership Solutions



**Heidi Croel**  
Senior Vice President  
Head of the U.S. Transfer Agent  
Franklin Templeton Investments



**Scott Duncan**  
Senior Vice President, General Manager  
American Funds



**Stacy Roode**  
Senior Vice President  
Head of Transfer Agent  
OppenheimerFunds

5:00–7:15 p.m.

## Reception and Legal Forum

EXHIBITION: COLUMBIA HALL

Boardwalk sponsored by:



**NORTHERN  
TRUST**

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.)

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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:*



## 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:*





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8:45–10:00 a.m.

## Meeting the Evolving Needs of Investors and Financial Advisers

JEFFERSON ROOM

Representatives from fund firms and intermediaries will explore how assets are being gathered and serviced, including:

- How the different generations of investors are working with financial advisers, fund firms, and transfer agents
- Financial adviser demographics
- The tools and capabilities relating to service, operations, communications, and execution that financial advisers and their clients are requesting
- Challenges to successful client management



**John Moninger**, Moderator  
Managing Director, Retail Sales  
Eaton Vance Distributors



**Lisa Klassen**  
Principal  
Edward Jones Investments



**Steve Samuels**  
Managing Director  
Bank of America Merrill Lynch

**Jim Waters**  
Vice President  
Goldman Sachs Asset Management

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10:15–11:15 a.m.

## U.S. Election Insights and Predictions

INTERNATIONAL BALLROOM

Charlie Cook and Stuart Rothenberg, well-known authorities on U.S. elections, will provide insights about current political developments and a provocative look ahead to the 2016 presidential election.



**Charlie Cook**  
Editor and Publisher  
*The Cook Political Report*  
Political Analyst  
*National Journal*



**Stuart Rothenberg**  
Founder  
*The Rothenberg & Gonzales Political Report*

11:15–2:00 p.m.

## Brunch

LINCOLN ROOM

*Additional conference sponsors include:*

