



# 2017 OPS & TECH

Operations and Technology Conference

MAY 3-5 • MARRIOTT WARDMAN PARK HOTEL • WASHINGTON, DC

## Program

### WEDNESDAY, MAY 3

1:00-7:00 p.m.

#### Conference Registration

MARRIOTT BALLROOM FOYER

1:00-3:00 p.m.

#### Exhibit Hall Open

EXHIBIT HALL C

*Refreshments will be available.*

3:00-3:30 p.m.

#### Welcome and Opening Remarks

MARRIOTT BALLROOM



#### James McNamara

Chairman, GMM Planning Committee  
President and CEO, Goldman Sachs Mutual Funds

#### Chairman's Address



#### William F. "Ted" Truscott

Chairman, Investment Company Institute  
CEO, Columbia Threadneedle Investments

3:30-4:30 p.m.

#### GMM Policy Forum

MARRIOTT BALLROOM

Stanley McChrystal, in conversation with Paul Schott Stevens, will explore national security concerns, counterterrorism, crisis management, and leadership lessons.



#### Stanley A. McChrystal

General (Ret.), United States Army  
Cofounder and Partner, The McChrystal Group



#### Paul Schott Stevens

President and CEO, Investment Company Institute

4:30-7:00 p.m.

### Welcome Reception and Legal Forum

EXHIBIT HALL C

- » **Business Continuity: Planning and What to Consider**  
Drinker Biddle & Reath LLP  
*Speakers:* Joshua Deringer, Jillian Bosmann, and Mary Hansen (4:35-5:20 p.m.)
- » **On the ETF Radar: What's New and What's Next**  
Stradley Ronon Stevens & Young, LLP  
*Speakers:* Michael Mundt and J. Stephen Feinour Jr. (5:25-6:10 p.m.)
- » **Trends in SEC Examinations and Enforcement**  
Kirkland & Ellis LLP  
*Speakers:* Jamie Walter and Aaron Schlaphoff (6:15-7:00 p.m.)

Welcome reception sponsored by



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## THURSDAY, MAY 4

7:00 a.m.-6:30 p.m.

### Conference Registration

MARRIOTT BALLROOM FOYER

7:30-8:45 a.m.

### Buffet Breakfast with Exhibitors

EXHIBIT HALL C

7:30-8:45 a.m.

### INTERACTIVE BREAKFAST DISCUSSION SESSION

Closed to the media

*Buffet breakfast will be available.*

### Regulatory Hot Topics and Their Operational Implications

MARYLAND ROOM



**Stuart Bateman**, Discussion Leader  
Senior Vice President, Franklin Templeton Investments

9:00-9:50 a.m.

### Facing the Future: Fresh Perspectives

MARRIOTT BALLROOM

Fund leaders will share insights on where the asset management industry is headed, including:

- » The evolving product mix
- » The future of distribution
- » Industry innovation
- » Attracting and developing talent



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



**Thomas A. Jones**  
Head of Strategic Relations, Columbia Threadneedle Investments



**Heather Lord**  
Senior Vice President, Head of Strategy and Innovation, Capital Group



**Sean Tuffy**  
Senior Vice President, Investor Services, Brown Brothers Harriman

10:00-10:50 a.m.

### Operations and Technology Leadership Session

MARYLAND ROOM

Senior operations executives will explore the following challenges:

- » How to keep an effective workforce engaged and develop future leaders
- » How best to manage limited technology budgets and adjust strategic plans in an ever-changing business and regulatory environment
- » How to maintain a focus on achieving business efficiencies and improvements



**Peter Callahan**, Moderator  
Senior Vice President and Head of Global Transfer Agent Operations, AB Global



**Ann Bergin**  
Managing Director and General Manager, DTCC Wealth Management Services



**Eric Johnson**  
Executive Vice President, Co-Head, Investment Servicing and Reporting, PIMCO, LLC



**Rheeta Wise**  
President, MFS Service Center

11:00-11:45 a.m.

### Joint GMM and IDC Session: Diversity in the Asset Management Industry

MARRIOTT BALLROOM

Research studies show that diverse teams and organizations perform better than homogenous ones. Yet many firms in the asset management industry struggle to build truly diverse organizations. This panel will discuss practical steps managers can take to ensure their teams benefit from the power of diverse perspectives.



**Gregory Davis**

Principal, Global Head of Fixed Income, Vanguard



**Marie L. Knowles**

Independent Director, Fidelity Fixed Income & Asset Allocation Funds



**Sonia T. Shields**

Executive Director, Head of Diversity, J.P. Morgan Asset Management

11:45 a.m.-12:45 p.m.

### Reception and Legal Forum

EXHIBIT HALL C

The reception will feature the following Legal Forum presentation:

» **Where Are the Gatekeepers? The Need for Investment Firm Oversight of the Capital Markets**

Lieff Cabraser Heimann & Bernstein LLP

Speaker: Bruce W. Leppla (11:55 a.m.-12:40 p.m.)

12:45-2:30 p.m.

### Luncheon with Keynote Speaker Jeff Immelt

MARRIOTT BALLROOM



**Jeff Immelt**

Chairman and CEO, GE



**Paul Schott Stevens**

President and CEO, Investment Company Institute

*Luncheon sponsored by*

**NextShares**   
Solutions LLC

2:45-3:45 p.m.

## Reinventing Operations: The Role of Artificial Intelligence and Robotics

MARYLAND ROOM

Global asset management leaders will share their perspectives on regulatory developments, related business challenges, and client concerns worldwide.



**Dilip Krishna**, Moderator

Managing Director, Deloitte Advisory, Analytics and Advanced Automation, Deloitte & Touche LLP



**Moiz Kohari**

Senior Vice President, Chief Technology Architect, State Street Bank & Trust Company

**Asif Mohamed**

Executive Director, J.P. Morgan Corporate and Investment Bank (CIB)



**John Prouty**

Senior Vice President, The Northern Trust Company

4:00-5:00 p.m.

## Polar Obsession

MARRIOTT BALLROOM

As a photojournalist working in some of the world's most remote environments, Paul Nicklen faces incredible hardships and danger in pursuit of powerful images of iconic wildlife. At this inspiring session, Nicklen will share with GMM attendees many of his adventures and the award-winning photos that have brought attention to challenges facing species residing in some of the world's most isolated regions.



**Paul Nicklen**

Wildlife Photojournalist

5:00-7:30 p.m.

## Reception and Legal Forum

EXHIBIT HALL C

The reception will feature the following Legal Forum presentations:

- » **Selecting and Onboarding Directors: Preserving Board Culture and Integrating New Members**  
Goodwin Procter LLP  
*Speakers:* Marco Adelfio and Paul Delligatti (5:05-5:50 p.m.)
- » **SEC Enforcement and Civil Litigation: What Went Wrong and How You Can Avoid the Same Fate**  
Mayer Brown LLP  
*Speakers:* Amy Pershkov and Stephanie Monaco (5:55-6:40 p.m.)
- » **Securities Lending: An Evolving Tool for Shareholder Value Relating to Return, Financing, and Liquidity**  
eSecLending  
*Speakers:* Craig Starble and Peter Bassler (6:45-7:30 p.m.)

7:30 p.m.

### GMM Dinner Event

MARRIOTT BALLROOM

Featuring entertainment by Mike Flaherty's Dixieland Direct Jazz Band

Dinner event sponsored by



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## FRIDAY, MAY 5

7:00-11:00 a.m.

### Conference Registration

MARRIOTT BALLROOM FOYER

7:30-8:30 a.m.

### Washington Today: A Regulatory Update

MARRIOTT BALLROOM

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



**Paul Schott Stevens**

President and CEO, Investment Company Institute

Breakfast event sponsored by

**Deloitte.**

8:45-9:45 a.m.

### The Evolution of the Front, Middle, and Back Offices

MARYLAND ROOM

This panel of operations experts will explore why asset managers require ever-greater integration and coordination between their front, middle, and back offices. The roles played by data reporting, technology, cyberthreats, fee pressures, and changing products and strategies will be discussed. Panelists also will share insights about how this evolution is affecting employee skill set requirements.



**James Kearney**, Moderator

Principal, The Vanguard Group



**Jesse Cole**

Managing Director, Goldman Sachs & Co.



**Nancy Wiser**

Executive Vice President, Wells Fargo Asset Management



**Steven Wisneski**

Senior Vice President, Franklin Templeton Services

10:00-11:00 a.m.

**Managing Risk in an Unstable World**

MARRIOTT BALLROOM

Ian Bremmer, noted political scientist, author, and analyst of world markets, will discuss today's global political risks and how political developments move markets. Following his presentation, Bremmer will engage in a question-and-answer session with James McNamara, chairman of this year's GMM.



**Ian Bremmer**

President and Founder, Eurasia Group  
Author



**James McNamara**

Chairman, GMM Planning Committee  
President and CEO, Goldman Sachs Mutual Funds

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