



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



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



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

THANK YOU TO OUR CURRENT CONFERENCE SPONSORS

