

# 2018 COMPLIANCE

## MUTUAL FUND COMPLIANCE PROGRAMS CONFERENCE

May 23–24 | Washington Hilton Hotel | Washington, DC

### Program

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

#### WEDNESDAY, MAY 23

7:00 a.m.–6:30 p.m.

##### Conference Registration

CONCOURSE FOYER

7:45–8:45 a.m.

##### Buffet Breakfast with Exhibitors

COLUMBIA ROOM, TERRACE LEVEL

7:45–8:45 a.m.

##### Breakout Discussion Sessions

*Open only to ICI members who are registered for the Mutual Fund Compliance Programs Conference*

These sessions, which are a perennial part of the conference, provide attendees with an opportunity to discuss compliance challenges in an informal setting with their colleagues at similarly sized companies. The discussion will be facilitated by an outside counsel and will focus on those 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.

##### SMALL FUND COMPLEXES

HOLMEAD WEST, LOBBY LEVEL



**Molly Moynihan**, Facilitator  
Partner  
Perkins Coie LLP

##### MEDIUM FUND COMPLEXES

HOLMEAD EAST, LOBBY LEVEL



**Monica L. Parry**, Facilitator  
Of Counsel  
Morgan Lewis & Bockius LLP

##### LARGE FUND COMPLEXES

JAY, LOBBY LEVEL



**John H. Walsh**, Facilitator  
Partner  
Eversheds Sutherland

9:00–10:05 a.m.

## Happenings: The Regulatory Year in Review

INTERNATIONAL BALLROOM WEST, CONCOURSE LEVEL

Our kickoff panel for the conference will provide an overview of regulatory, rulemaking, OCIE, Enforcement, and legal issues affecting CCOs and senior compliance professionals over the past year.



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



**Paul Cellupica**  
Deputy Director  
Division of Investment Management  
US Securities and Exchange Commission



**Monica L. Parry**  
Of Counsel  
Morgan Lewis & Bockius LLP



**Janet Squitieri**  
Executive Director Compliance  
J.P. Morgan Asset Management

## Data Science: Adding Data Mining to the Compliance Tool Box

INTERNATIONAL BALLROOM WEST, CONCOURSE LEVEL

This panel will discuss the increasing importance of data to CCOs as the SEC continues to amass vast amounts of data on funds. The panel will discuss how mutual funds are exploring the use of data scientists, and data science as another tool available to CCOs. The panelists will share their experiences with the brave new world of data as a compliance tool and the lessons they have learned on their journey.



**Chad A. Earnst**, Moderator  
Global Head of Compliance  
PGIM



**Brian W. Dvorak**  
Chief Compliance Officer  
The Vanguard Group, Inc.



**Jim Fricano**  
Compliance Officer  
Wellington Management Company LLP



**Ellen McGlynn Koke**  
Vice President  
Corporate Compliance  
Prudential Financial

**Randy Randall**  
Chief Compliance Officer  
William Blair Investment Management, LLC

11:30 a.m.–12:15 p.m.

## Reception with Book Signing and Legal Forum

EXHIBIT HALL | COLUMBIA, TERRACE LEVEL

Come meet GMM keynote speaker Jon Meacham and Operations and Technology Conference speaker Amy E. Herman at the pre-lunch reception book signing. The speakers will be signing the following books:

- » *The Soul of America* by Jon Meacham
- » *Visual Intelligence* by Amy E. Herman

Registrants may purchase either or both of these books in advance of the conference, pick them up in the Exhibit Hall, and have them signed. A limited number of books also will be available for purchase onsite at the GMM.

### Legal Forum Presentation:

GUNSTON, ENTER THROUGH EXHIBIT HALL

#### How ESG Is Shaping the Future of New Fund Launches Globally

BNP Paribas

Speaker: Georg Lasch

12:15–2:00 p.m.

## Luncheon with Keynote Speaker Jon Meacham

INTERNATIONAL BALLROOM, CONCOURSE LEVEL

Pulitzer Prize–winning author Jon Meacham will discuss *The Soul of America*, his forthcoming book exploring key turning points in US history, apply lessons drawn from the country’s sometimes turbulent past to today’s partisan divisions, and explore what the future might hold for America.

Following Meacham’s remarks, he will engage in a question-and-answer session with ICI President and CEO Paul Schott Stevens.



**Jon Meacham**

Pulitzer Prize–Winning Author  
Presidential Historian



**Paul Schott Stevens**

President and CEO  
Investment Company Institute

*Luncheon sponsored by*



2:20–3:15 p.m.

## Symbiosis: Advisers and Subadvisers Working Together

INTERNATIONAL BALLROOM WEST, CONCOURSE LEVEL

This panel will focus on the interaction between advisers and subadvisers and the challenges these relationships present with respect to compliance issues. In part, the panel will discuss how advisers and subadvisers are working together to implement the SEC's liquidity rule and how they are allocating responsibilities associated with the rule for those funds that rely on subadvisers.



**Christy Sears**, Moderator  
Chief Compliance Officer  
American Beacon Funds



**Kevin Bopp**  
Chief Compliance Officer  
New York Life Investment Management LLC



**Molly Moynihan**  
Partner  
Perkins Coie LLP



**Katherine Stoner**  
Head of Compliance  
Great-West Capital Management, LLC

3:30–4:45 p.m.

## Superintendence: Overseeing Third-Party Vendors

INTERNATIONAL BALLROOM WEST, CONCOURSE LEVEL

This panel will discuss approaches funds can use to effectively and efficiently oversee their third-party service providers. In addition to providing the perspective of CCOs, the panel includes two risk officers who have been actively engaged in third-party oversight, as well as a representative of Santa Fe Group Shared Assessments, which works with ICI members and others on these issues. Topics are likely to include prioritizing service providers for review, the review process, and the frequency of reviews.



**Randall S. Fillmore**, Moderator  
Chief Compliance Officer  
Aquila Investment Management LLC



**Stephanie M. Beran**  
Managing Director, ERM  
Legg Mason



**Jeffrey A. Engelsman**  
Chief Compliance Officer  
TCW Group, Inc.



**Amy S. Gilfenbaum**  
Head of Operational Risk  
Neuberger Berman Investment Advisers LLC



**Charlie Miller**  
Senior Vice President  
Santa Fe Group Shared Assessments

4:45–6:30 p.m.

## Reception and Legal Forum

EXHIBIT HALL | COLUMBIA, TERRACE LEVEL

### Legal Forum Presentations:

GUNSTON, ENTER THROUGH EXHIBIT HALL

#### **The Annual Contract Review Process: Developments in Recent Fee Litigation, Takeaways for Fund Boards, and What's Next**

Goodwin Procter

Speakers: Paul Delligatti and Michael Isenman

#### **How the Global Asset Manager Conducts Asset Management Business in China Under the New Opening Up Policies**

Llinks Law Offices

Speaker: Sandra Lu, Partner of Llinks

*Reception sponsored by*

**J.P.Morgan**

7:00–10:00 p.m.

### GMM Dinner Reception

SMITHSONIAN INSTITUTION NATIONAL MUSEUM OF AFRICAN AMERICAN HISTORY AND CULTURE



Enjoy excellent networking, cocktails, and hors d'oeuvres while exploring the thought-provoking and important exhibition space at the Smithsonian National Museum of African American History and Culture.

Bus transportation from the Washington Hilton to the museum will begin at 6:30 p.m. Buses will be departing from the T Street entrance of the Washington Hilton.

You will be required to show your conference badge to enter the museum.

*Dinner sponsored by*



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## THURSDAY, MAY 24

7:00–11:00 a.m.

### Conference Registration

CONCOURSE FOYER

7:30–8:45 a.m.

### Regulatory Session: A Conversation with SEC Commissioner Michael S. Piwowar

INTERNATIONAL BALLROOM, CONCOURSE LEVEL

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



**Michael S. Piwowar**

Commissioner  
US Securities and Exchange Commission



**Paul Schott Stevens**

President and CEO  
Investment Company Institute

*Breakfast sponsored by*



9:00–9:50 a.m.

## Across the Pond: EU/UK Issues Affecting US Firms

INTERNATIONAL BALLROOM WEST, CONCOURSE LEVEL

This panel will provide an overview of EU/UK issues that may affect US funds, such as the requirements imposed by the EU's General Data Protection Requirement (GDPR) and the revised Markets in Financial Instruments Directive (MiFID II). It will also discuss how funds are integrating these requirements into their organizations.



**Alyssa Albertelli**, Moderator  
Deputy General Counsel  
State Street Global Advisors



**John R. Gilner**  
Chief Compliance Officer  
T. Rowe Price Associates, Inc.



**Andrew Henderson**  
Partner  
Eversheds Sutherland

10:00–10:10 a.m.

## Modern Compliance: Best Practices for Securities and Finance

INTERNATIONAL BALLROOM WEST, CONCOURSE LEVEL

David H. Lui and John H. Walsh, editors of *Modern Compliance: Best Practices for Securities and Finance*, will give attendees a brief overview of the book's contents and purpose. (The authors have graciously provided conference attendees a complimentary copy.)



**David H. Lui**  
Principal  
Galliard Capital Management, Inc.



**John H. Walsh**  
Partner  
Eversheds Sutherland



## Your Questions Answered: The Lightning Round

INTERNATIONAL BALLROOM WEST, CONCOURSE LEVEL



**Nancy M. Morris**, Moderator  
Managing Director and Chief Compliance Officer  
Wellington Management Company LLP



**Alyssa Albertelli**  
Deputy General Counsel  
State Street Global Advisors



**Chad A. Earnst**  
Global Head of Compliance  
PGIM



**Randall S. Fillmore**  
Chief Compliance Officer  
Aquila Investment Management LLC



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



**Christy Sears**  
Chief Compliance Officer  
American Beacon Funds



**John H. Walsh**  
Partner  
Eversheds Sutherland

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