

2018 OPS&TECH

OPERATIONS AND TECHNOLOGY CONFERENCE

May 22–24 | Washington Hilton Hotel | Washington, DC

Program

TUESDAY, MAY 22

1:00–7:00 p.m.

Conference Registration

CONCOURSE FOYER

1:00–3:00 p.m.

Exhibit Hall Open

COLUMBIA, TERRACE LEVEL

Refreshments will be available.

3:00–3:10 p.m.

Welcome and Opening Remarks

INTERNATIONAL BALLROOM, CONCOURSE LEVEL



Stuart Parker

Chairman, GMM Planning Committee
President and CEO, PGIM Investments

3:10–4:00 p.m.

James Gorman: An Address to the Fund Industry

INTERNATIONAL BALLROOM, CONCOURSE LEVEL



James Gorman

Chairman and CEO
Morgan Stanley

4:00–5:00 p.m.

David M. Rubenstein in Conversation with Paul Schott Stevens

INTERNATIONAL BALLROOM, CONCOURSE LEVEL



David M. Rubenstein

Cofounder and Co-Executive Chairman
The Carlyle Group



Paul Schott Stevens

President and CEO
Investment Company Institute

5:00–7:00 p.m.

Welcome Reception and Legal Forum

EXHIBIT HALL | COLUMBIA, TERRACE LEVEL

Legal Forum Presentations:

GUNSTON, ENTER THROUGH EXHIBIT HALL

The SEC, the DOL, and the States: A New Fiduciary World

Stradley Ronon

Speakers: David W. Grim, George Michael Gerstein, and Lawrence P. Stadulis

Securities Lending Back on the Radar: Volatility Is Up, Rates Are Up—It's a Good Time to Look at Securities Lending or to Reevaluate Your Strategy

eSecLending

Speakers: Craig Starble and Peter Bassler

Welcome reception sponsored by



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

EXHIBIT HALL | COLUMBIA, TERRACE LEVEL

7:45–8:45 a.m.

Interactive Breakfast Discussion Session: Protecting Fund Shareholders—Fraud Prevention Strategies

FAIRCHILD, TERRACE LEVEL

Closed to the media

Buffet breakfast will be available.



Cary Fuchs, Discussion Co-Leader
Director, Funds Services and Operations
Principal Funds



Joanne Kane, Discussion Co-Leader
Director, Operations and Transfer Agency
Investment Company Institute



David Thomas, Discussion Co-Leader
Senior Associate Counsel and Director of Cyber Risk Issues
ICI Mutual

9:00–10:05 a.m.

Executive Insights

JEFFERSON, CONCOURSE LEVEL

ICI's Marty Burns will engage Kensho Technologies President and Chief Operating Officer Adam Broun in an insightful discussion about how data analytics and machine learning enable humans to parse large amounts of financial information very quickly in order to make key decisions with greater conviction. Kensho Technologies has been named a technology pioneer by the World Economic Forum and one of the five most innovative fintech companies in the world by Fortune magazine.

Burns will then explore operations challenges and technology priorities with Tim Ney, who is responsible for operations at Edward Jones. Topics will include the tools and capabilities that financial advisers and their clients most value from Edward Jones; possible sources of industry disruption; and evolving workforce imperatives.



Adam Broun

President and Chief Operating Officer
Kensho Technologies



Marty Burns

Chief Industry Operations Officer
Investment Company Institute



Tim Ney

Principal, Operations
Edward Jones

10:15–11:15 a.m.

The Art of Perception: Seeing What Matters

JEFFERSON, CONCOURSE LEVEL

Attend this innovative session with art historian Amy E. Herman and learn how analyzing works of art can foster creative problem solving, encourage better decisionmaking, and enhance critical thinking. Based on her critically acclaimed seminar, The Art of Perception, this session will enhance your powers of perception and communication skills. Everyone from CEOs of Fortune 500 companies to law enforcement experts to healthcare professionals have attended and benefitted from her seminar and sessions.



Amy E. Herman

Founder and President
The Art of Perception, Inc.
Author, *Visual Intelligence: Sharpen Your Intelligence, Change Your Life*

11:05 a.m.–12:15 p.m.

Reception with Book Signing and Legal Forum

EXHIBIT HALL | COLUMBIA, TERRACE LEVELL

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.

Rethinking How We Approach the Business: Insights from Emerging Leaders

JEFFERSON, CONCOURSE LEVEL

A cross section of emerging asset management industry leaders will explore how the fund industry must evolve to meet the needs and expectations of younger investors; technology's impact on how business is conducted; and how best to recruit, educate, and motivate a workforce positioned to lead fund operations into the future.



Ahmed Elghazaly, Moderator
Director, Securities Operations
Investment Company Institute



Jamie Jones Ezefili
Vice President, Corporate Social Responsibility
Northern Trust



Mike Mastroianni
Executive Director
J.P. Morgan Asset Management



Kyle Schmiegel
Vice President, Operational Services
Charles Schwab & Co

3:30–4:30 p.m.

Cybersecurity Concerns: How to Protect Fund Shareholders

INTERNATIONAL BALLROOM, CONCOURSE LEVEL



Chad Renfro
Head of Enterprise Cybersecurity
Fidelity Investments

4:30–6:30 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 Institution 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



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. Piowar

INTERNATIONAL BALLROOM, CONCOURSE LEVEL

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



Michael S. Piowar

Commissioner
US Securities and Exchange Commission



Paul Schott Stevens

President and CEO
Investment Company Institute

Breakfast sponsored by



9:00–9:50 a.m.

Technology Disruptors

INTERNATIONAL BALLROOM, CONCOURSE LEVEL

Embracing Change: Artificial Intelligence and the Cloud



Tom Eck

Chief Technology Officer, Industry Platforms
IBM

The Future of Transportation



Adam Jonas

Managing Director
Morgan Stanley

10:00–11:00 a.m.

Challenges and Change: My 132 Days Off the Planet

INTERNATIONAL BALLROOM, CONCOURSE LEVEL

Captain Jerry Linenger, a NASA astronaut and retired US Navy flight surgeon, will share with the GMM audience the wonders of space exploration, including stories about the nearly five months he spent aboard the Russian space station Mir, where he survived repeated failure of critical life-support systems and an out-of-control fire.



Jerry Linenger

NASA Astronaut

United States Navy (Ret.) Flight Surgeon

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