



2015 Operations and Technology Conference

ICI at 75: Facing the Future

May 6–8, 2015 • Marriott Wardman Park Hotel • Washington, DC

PROGRAM

Wednesday, May 6

Noon–7:00 p.m.

Conference Registration

Marriott Ballroom Foyer

1:00–3:00 p.m.

Exhibit Hall Open

Exhibit Hall

Refreshments will be available.

3:00–3:30 p.m.

Welcome and Opening Remarks

Marriott Ballroom



George C. W. Gatch

Chairman

GMM Planning Committee

CEO, Global Funds Management

JP Morgan Asset Management

Chairman's Address



F. William McNabb III

Chairman

Investment Company Institute

Chairman and CEO

Vanguard



Follow @ICI on Twitter.
Use #ICIGMM to join
the conversation.

3:30–4:45 p.m.

GMM Policy Forum

Marriott Ballroom



Walter W. Bettinger II
President and CEO
Charles Schwab Corporation



Paul Schott Stevens
President and CEO
Investment Company Institute

4:45–7:00 p.m.

Welcome Reception and Legal Forum

Exhibit Hall

The Welcome Reception will feature the following Legal Forum presentations:

- » Money Market Fund Reforms and Shareholder Proxy Solicitation Implications, Dechert LLP and Okapi Partners LLC (5:10–5:55 p.m.)
- » Simfund Retirement, Strategic Insight (6:00–6:45 p.m.)

The industry's newest and most complete business intelligence tool provides DCIO professionals with access to critical, high-quality plan-level information on DC plans.

Thursday, May 7

6:00 a.m.

Mutual Fund Walk and Jog

Join us for a fun and healthy start to your morning. Participants will assemble on the lobby level near the 24th Street entrance at 6:00 a.m.

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

7:30–8:45 a.m.

Interactive Breakfast Discussion Session: Operational Implications of Money Market Fund Reform

Lincoln 5

Closed to the media

Buffet breakfast will be available.

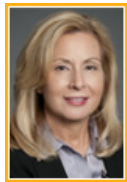


Mary Corcoran, Discussion Leader
Senior Vice President
Invesco Investment Services

9:00–10:15 a.m.

Welcoming Remarks

Maryland Room



Kathleen C. Joaquin
Chief Industry Operations Officer
Investment Company Institute

Operations and Technology Leadership Roundtable

Operations, distribution, and technology leaders will explore current challenges and opportunities for the fund industry. Topics will include:

- » Heightened areas of SEC concern, including the distribution sweep exams
- » Working with vendors and other third parties
- » Workplace and investor demographics



Basil Fox, Moderator
President
Franklin Templeton Investor Services



Peter Callahan
Senior Vice President
AllianceBernstein Investor Services, Inc.



George M. Pereira
Chief Operating Officer
Charles Schwab Investment Management



John Shea
Chief Information Officer
Eaton Vance Management

10:30–11:45 a.m.

Cybersecurity: Advanced Persistent Threats to Zero Day Exploits—What Are We to Do?

Maryland Room



Ellen Rinaldi, Moderator
Principal, Enterprise Security
Vanguard



David Joire
Senior Counsel
Division of Investment Management, Chief Counsel's Office
U.S. Securities and Exchange Commission



Mark Nicholson
Principal
Deloitte & Touche LLP

Ronald L. Rowe Jr.

Senior Advisor to the National Intelligence Officer for Cyber Issues
Office of the Director of the National Intelligence
National Intelligence Council



John P. Watters
Chairman and CEO
iSIGHT Partners

11:45 a.m.–12:45 p.m.

Reception and Legal Forum

Exhibit Hall

The reception will feature the following Legal Forum presentation:

- » Investment Funds as Litigation Plaintiffs, Lief Cabraser Heimann & Bernstein LLP (Noon–12:45 p.m.)

12:45–2:15 p.m.

Luncheon with Keynote Speaker: Indra Nooyi

Marriott Ballroom



Indra Nooyi
Chairman and CEO
PepsiCo



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

Luncheon sponsored by:



2:30–3:45 p.m.

Facing the Future: A Conversation with Former ICI Chairmen

Marriott Ballroom

Join three former ICI chairmen as they share lessons learned over their lengthy careers in the fund industry and look ahead to what the future may hold for investors and funds.



Paul Schott Stevens, Moderator
President and CEO
Investment Company Institute



John J. "Jack" Brennan
Chairman Emeritus
Vanguard



Paul G. Haaga
Former Chairman of the Board
Capital Research & Management Company



James Riepe
Senior Adviser and Retired Vice Chairman
T. Rowe Price Group

4:00–5:15 p.m.

Operations and Technology Conference and IDC Workshop Joint Panel: Operations and Technology Issues—Addressing Fund Board Questions

Maryland Room

Closed to the media

Panelists will discuss the types of information and reports management can provide to fund boards to facilitate their oversight of intermediary relationships, cybersecurity, and other operations matters.



Kathleen T. Ives, Moderator
Senior Vice President and Director of Internal Audit
OFI Global Asset Management, Inc.



William J. Galvin
Managing Director
Invesco Investment Services, Inc.



Maureen Leary-Jago
Senior Global Advisor
MFS Investment Management



Jan M. Lewis
Independent Director
American Century Funds

5:15–7:15 p.m.

Reception and Legal Forum

Exhibit Hall

The reception will feature the following Legal Forum presentations:

- » Are We There Yet? The Latest Developments in Less-Transparent Exchange-Traded Products, Stradley Ronon Stevens & Young, LLP (5:20–6:05 p.m.)
- » The SEC's Recent Focus on the 15(c) Process, Drinker Biddle & Reath LLP, (6:10–6:55 p.m.)

7:15 p.m.

Celebrating 75 Years: 2015 GMM Dinner Party

Marriott Ballroom

Featuring entertainment by the Zippers



Come hear your favorite songs performed by the Zippers, a high-energy dance band that got its start on the national TV show *Star Search*. In addition to musical entertainment, the 2015 GMM dinner party will feature cocktails, specialty food stations, and excellent networking opportunities.

Evening event sponsored by:



Friday, May 8

7:00–11:00 a.m.

Conference Registration

Marriott Ballroom Foyer

7:30–8:45 a.m.

A Regulatory Session Featuring Mary Jo White

Marriott Ballroom

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



Mary Jo White

Chair

U.S. Securities and Exchange Commission



Paul Schott Stevens, Moderator

President and CEO

Investment Company Institute

9:00–10:15 a.m.

The Evolution of the Mutual Fund Transfer Agent

Maryland Room

Senior fund industry operations and transfer agent executives will explore how the mutual fund transfer agent business model has evolved in response to significant shifts in distribution, regulatory requirements, and technology.



Barry Benjamin, Moderator
U.S. and Global Asset Management Leader
PricewaterhouseCoopers LLP



Robert J. Adams
Executive Vice President
National Financial Services



Jesse Cole
Managing Director
Goldman Sachs & Co.



Michael DeNofrio
Executive Vice President and Head of Enterprise Investor Services
Bank of New York Mellon



Terry Metzger
President and CEO
Boston Financial Data Services, Inc.

10:30–11:30 a.m.

Global Security Imperatives: The Perspective of a U.S. Navy Admiral

Marriott Ballroom



Admiral James Stavridis, USN (Retired)
Supreme Allied Commander Europe
Commander of the U.S. European Command
Dean of the Fletcher School of Law and Diplomacy
Tufts University

11:30 a.m.–2:00 p.m.

Brunch

Virginia Room

Additional conference sponsors include:



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the conversation.