**Program**

**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.

**Breakout Discussion Sessions**

These sessions, which are a perennial part of the conference, have been moved to the beginning of the agenda! They provide attendees an opportunity to discuss compliance challenges in an informal setting with their colleagues at similarly sized companies. The discussion is facilitated by a compliance professional, but it 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. The breakout discussion sessions are open only to representatives of ICI member firms.

**Small Fund Complexes**
ROOSEVELT 1 (EXHIBITION LEVEL)

Marguerite C. Bateman, Facilitator
Partner, Schiff Hardin LLP

**Medium Fund Complexes**
ROOSEVELT 2 (EXHIBITION LEVEL)

Trayne S. Wheeler, Facilitator
Partner, K&L Gates LLP

**Large Fund Complexes**
ROOSEVELT 3 (EXHIBITION LEVEL)

Todd L. Spillane, Facilitator
Compliance Consultant, Westwood Management Group
9:00–9:50 a.m.

**What a Year It’s Been: The Year in Review**

THURGOOD MARSHALL BALLROOM

Our kickoff panel for the conference will provide an overview of the compliance environment over the past year, including issues affecting CCOs and senior compliance professionals from regulatory, rulemaking, OCIE, Enforcement, and legal perspectives. Panel topics are likely to include distribution-in-guise, the DOL fiduciary rule, the rules adopted by the SEC in 2016, valuation considerations, and recent enforcement actions.

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

- **Marguerite C. Bateman**
  Partner, Schiff Hardin LLP

- **Philip L. Kirstein**
  Senior Officer and Independent Compliance Officer, AllianceBernstein

- **Robert P. Scales**
  Former CCO and General Counsel, Columbia Acorn Funds
  Principal, Robert P. Scales, LLC

10:00–10:50 a.m.

**New Rules of the Road: CCOs and the SEC’s Liquidity and N-Port Rules**

THURGOOD MARSHALL BALLROOM

This panel will do a deeper dive on the SEC’s new rules, including discussing their material components, how members are going about the implementation process, the role of compliance in this process, and related compliance challenges.

- **Natalie Bej**, Moderator
  Principal and Chief Compliance Officer, The Vanguard Group, Inc.

- **Brian Harris**
  Managing Director and Funds Chief Compliance Officer, State Street Global Advisors

- **Brian M. Moran**
  Executive Director and Chief Compliance Officer, Sterling Capital Management LLC

- **Sarah G. ten Siethoff**
  Deputy Associate Director, Rulemaking Office, Division of Investment Management, US Securities and Exchange Commission
11:00 a.m.–12:15 p.m.

Working in Harmony: Factoring Subadvisory Relationships into the Compliance Equation

THURGOOD MARSHALL BALLROOM

This panel will focus on the interaction between subadvisers and advisers and the challenges these relationships present with respect to compliance issues. It will follow the panel on the SEC's new rules, and will continue that discussion by focusing on how subadvisers are affected by the new rules and how they are coordinating their implementation of the rules with primary advisers to funds. The panel will also explore other issues unique to the subadvisory relationship including, for example, challenges associated with operating in a global environment.

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

Brooke J. Billick
Chief Compliance Officer, Artisan Partners Limited Partnership

Steven Hartstein
Chief Compliance Officer, Brighthouse Funds

Philip S. Wellman
Chief Compliance Officer, MassMutual Funds

Trayne S. Wheeler
Partner, K&L Gates LLP

12:15–12:45 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

[Image 45x659 to 85x711]

[Image 45x600 to 87x652]

[Image 44x372 to 84x424]

[Image 44x313 to 84x365]

[Image 44x254 to 84x306]

2:45–3:45 p.m.

**No Fund Is an Island: Overseeing Service Providers**

THURGOOD MARSHALL BALLROOM

This panel will focus on effective and efficient ways for funds and their advisers to oversee service providers to fund complexes. It will discuss prioritizing service providers for review; how funds and advisers go about the review process and the frequency of reviews; issues of focus; the documentation process; how to ensure a service provider promptly reports red flags; and how members are thinking about fourth-party service providers. The panel will also discuss redundancy issues in the event a service provider experiences an outage affecting a fund or its adviser.

Kevin M. Gleason, Moderator  
Chief Compliance Officer, Voya Funds

Rhonda K. R. Cook  
Director, Third-Party Risk Management, SEI

Christopher S. Crossan  
Global Chief Compliance Officer, Dimensional Funds Advisors LP

Robert R. Leveille  
Chief Compliance Officer, Invesco Advisers, Inc. and Invesco Funds
Joint Compliance Programs and IDC Session: Reporting Up: The CCO's Relationship with the Board

THURGOOD MARSHALL BALLROOM

This panel will discuss a variety of issues relating to a CCO's engagement with fund boards including, for example: how to make sure boards receive all necessary information without overwhelming them; managing the volume of information provided to boards; how to ensure boards are up to speed on new and emerging issues; and effective tips for engaging with fund boards. In addition, the panel will discuss how the compliance, risk, and audit functions within a complex coordinate their activities, particularly when engaging with the board, in order to avoid duplication.

Richard J. Gorman, Moderator
Chief Compliance Officer, Oakmark Funds

Kathleen T. Barr
Independent Director, William Blair Funds

Matt Chambers
Chief Compliance Officer, Horizon Funds

Marc S. Joseph
Independent Director, Thrivent Funds

Todd Kuehl
Managing Director and Chief Compliance Officer, Legg Mason

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 Pershkow 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*

![PwC](image1.png) ![DST](image2.png) ![State Street](image3.png)

---

**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](image4.png)

**Paul Schott Stevens**

President and CEO, Investment Company Institute

*Breakfast event sponsored by*

**Deloitte**

---

8:45–9:45 a.m.

**Getting Things Done: Additional Challenges Facing CCOs**

THURGOOD MARSHALL BALLROOM

This panel will explore a hodgepodge of issues affecting CCOs and their staff. The topics will likely include: how to keep one's head above water with the SEC’s aggressive agenda over the past year; engaging with OCIE; the aftermath of the SEC’s distribution-in-guise review; managing data; overseeing cyber issues; global considerations affecting the CCO; the proverbial doing more with less; the current political and regulatory environment; and what to expect over the coming year and how to prepare for it.

![Michael H. Whitaker](image5.png)

**Michael H. Whitaker**, Moderator

Chief Compliance Officer, Wells Fargo Funds Management, LLC

![Manoj Tito Pombra](image6.png)

**Manoj Tito Pombra**

Chief Compliance Officer, Matthews Asia Funds
10:00–11:00 a.m.

**Lightning Round**

**THURGOOD MARSHALL BALLROOM**

It's back again by popular demand! This session will feature a panel of compliance experts answering questions submitted by attendees. It will give you an opportunity to have your burning questions answered by a bevy of compliance experts. **Attendees are encouraged to submit a question for the panel at the time of registration**, though questions may also be submitted throughout the conference.

**Thomas M. Mistele**, Moderator  
Executive Vice President, Secretary, and Senior Counsel, Dodge & Cox

**Kevin M. Gleason**  
Chief Compliance Officer, Voya Funds

**Richard J. Gorman**  
Chief Compliance Officer, Oakmark Funds

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

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

**Robert P. Scales**  
Former CCO and General Counsel, Columbia Acorn Funds  
Principal, Robert P. Scales, LLC

**Michael H. Whitaker**  
Chief Compliance Officer, Wells Fargo Funds Management, LLC

THANK YOU TO OUR CURRENT CONFERENCE SPONSORS