

2018 GMM

GENERAL MEMBERSHIP MEETING

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

60
YEARS

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 Sessions

Closed to the media

Buffet breakfast will be available.

Seating for the breakfast discussion sessions is limited; arrive early to increase your chances of receiving your first session choice.

1. Closed-End Fund Matters

GEORGETOWN EAST, CONCOURSE LEVEL



David Lamb, Discussion Leader
Senior Vice President, Product and Market Analytics
Nuveen Securities

2. The ETF Marketplace

MONROE, CONCOURSE LEVEL



Gregory Barton, Discussion Leader
Chief Legal Officer
WisdomTree Investments, Inc.

3. Critical Decisions Facing Distribution Leaders

LINCOLN WEST, CONCOURSE LEVEL



Brian Moran, Discussion Leader
Managing Director, Head of National Accounts and Retirement
AMG Funds

4. Opportunities and Challenges Facing Global Fund Managers

LINCOLN EAST, CONCOURSE LEVEL



Dan Waters, Discussion Leader
Managing Director
ICI Global

9:00–9:15 a.m.

Chairman's Address

INTERNATIONAL BALLROOM, CONCOURSE LEVEL



William F. "Ted" Truscott
Chairman
Investment Company Institute
CEO
Columbia Threadneedle Investments

9:15–10:05 a.m.

Facing the Future: Fresh Perspectives

INTERNATIONAL BALLROOM, CONCOURSE LEVEL



Yie-Hsin Hung, Moderator
CEO
New York Life Investment Management



Jillian DeSignore
Head of ETF Distribution
J.P. Morgan



Kirk Moore
Head of Global Research
Columbia Threadneedle Investments



Matthew O'Connor
President, American Funds Distributors
Director, North American Distribution
Capital Group

10:15–11:05 a.m.

Investing Today: Insights, Risks, and More

INTERNATIONAL BALLROOM, CONCOURSE LEVEL



Marie Chandoha, Moderator
President and CEO
Charles Schwab Investment Management



Rupal Bhansali
Chief Investment Officer, International and Global Equities
Ariel Investments



Sarah Ketterer
CEO and Cofounder
Causeway Capital Management



Teresa Kong
Portfolio Manager
Matthews Asia

11:05 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.

Cross-Border Challenges and the Global Convergence of Regulatory Matters

INTERNATIONAL BALLROOM, CONCOURSE LEVEL



Martin Flanagan, Moderator
President and CEO
Invesco



David Hunt
President and CEO
PGIM



David J. Semaya
Executive Advisor
Sumitomo Mitsui Trust Asset Management
Former Chairman, Nikko Asset Management



Andreas Utermann
CEO
Allianz Global Investors

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.

Dinner sponsored by

Dechert
LLP



PGIM INVESTMENTS

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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