

# 2019 COMPLIANCE

MAY 2-3 • MARRIOTT WARDMAN PARK HOTEL • WASHINGTON, DC

## Program

### WEDNESDAY, MAY 1

10:00 a.m.–7:30 p.m. **Conference Registration**  
MARRIOTT BALLROOM FOYER

Noon–3:00 p.m. **Exhibit Hall Open**  
EXHIBIT HALL C  
*Lunch with exhibitors*

3:00–3:30 p.m. **Welcome and Opening Remarks**  
MARRIOTT BALLROOM



**Yie-Hsin Hung**  
Chair  
GMM Planning Committee  
CEO  
New York Life Investment Management

**Chairman's Address**  
MARRIOTT BALLROOM



**George C. W. Gatch**  
Chairman  
Investment Company Institute  
CEO, Global Funds Management  
JP Morgan Asset Management

3:30–4:30 p.m. **Joseph C. Tsai in Conversation with Paul Schott Stevens**  
MARRIOTT BALLROOM



**Joseph C. Tsai**  
Cofounder and Executive Vice Chairman  
Alibaba Group



**Paul Schott Stevens**  
President and CEO  
Investment Company Institute

4:30–7:30 p.m.

## Welcome Reception and Legal Forum

EXHIBIT HALL C

SPONSORED BY



### Legal Forum Presentations

#### Investing in the World: Sanctions, Custody, and Access to the World's Trickiest Markets

4:45–5:30 P.M. | **BAKER McKENZIE**

Speakers: John Conroy, Karl Egbert, Terence Gilroy, and Janet Kim

#### Securities Lending—Are You Leaving Shareholder Money on the Table?

5:35–6:25 P.M. | **eSecLENDING**

Speaker: Craig Starble

---

## THURSDAY, MAY 2

### 7:00 a.m.–6:30 p.m. Conference Registration

MARRIOTT BALLROOM FOYER

### 7:30–8:40 a.m. Regulatory Breakfast Session: A Conversation with SEC Chairman Jay Clayton

MARRIOTT BALLROOM

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



#### Jay Clayton

Chairman

US Securities and Exchange Commission



#### Paul Schott Stevens

President and CEO

Investment Company Institute

BREAKFAST SPONSORED BY



9:00–9:50 a.m.

## The Year in Review and Coming Attractions

THURGOOD MARSHALL BALLROOM

Our kickoff panel for the conference will provide an overview of regulatory issues affecting CCOs and senior compliance professionals over the past year, as well as issues that may be on the horizon.



**Philip Wellman**, Moderator  
Vice President and CCO  
MassMutual Funds

### Russell C. Lemley

CCO  
American Funds



**Paulita A. Pike**  
Partner  
Legg Mason



**Nicole Trudeau**  
Chief Legal Officer  
Saturna Capital Corporation

10:00–11:15 a.m.

## Oversight Challenges

THURGOOD MARSHALL BALLROOM

This panel will discuss the challenges that compliance professionals face with respect to their oversight obligations. In addition to discussing oversight of internal and external vendors, it will also discuss overseeing quant models in the wake of recent SEC enforcement actions.

**Anita Zagrodnik**, Moderator  
Senior Vice President, AML Officer, and CCO  
U.S. Bank Global Fund Services

**Janet D. Olsen**  
Independent Director  
PPM Funds

**Michael Shoemaker**  
CCO  
Driehaus Capital Management LLC



**Patrick J. Spellman**  
Senior Vice President and CCO  
AMG Funds



**Todd Spillane**  
Executive Director  
Morgan Stanley Investment Management Inc.

10:50-11:50 a.m.

## Reception and Legal Forum

EXHIBIT HALL C

### Legal Forum Presentation

#### How Are Institutional Investors Coping with the Growing Global Litigation Challenge?

11:05-11:50 A.M. | **KESSLER TOPAZ MELTZER & CHECK, LLP AND STRADLEY RONON STEVENS & YOUNG LLP**

Speakers: Stuart L. Berman, Darren Check, and Joe Kelleher

11:50 a.m.-1:30 p.m.

## Luncheon with Keynote Speaker Steven Pinker: Enlightenment Now

MARRIOTT BALLROOM

If you read the news today, you might conclude that the human race is doomed, that democracy is on the decline, and that authoritarianism and tribalism are on the rise. But is the world really falling apart? In a timely and hopeful keynote address, Steven Pinker, one of the world's most influential public intellectuals, makes the case for reason, science, and humanism: the ideals we need to confront our problems and continue our progress.



### Steven Pinker

Professor

Harvard University

Author, *Enlightenment Now: The Case for Reason, Science, Humanism, and Progress*

SPONSORED BY



1:50-2:40 p.m.

## Assessing and Addressing Conflicts of Interest

THURGOOD MARSHALL BALLROOM

In light of increasing regulatory focus on conflicts of interest and a recent enforcement action, this panel will discuss the process of identifying conflicts of interest and, once identified, how they are addressed. The panel will also explore the evolution of this process as the business and its relationships evolve.



**Kevin Gleason**, Moderator  
Senior Vice President and CCO  
Voya Funds



**Michael F. Hogan**  
CCO  
Charles Schwab Investment Management, Inc.



**Tito Pombra**  
Compliance Consultant



**Trevor E. Swanberg**  
Deputy CCO  
John Hancock Advisers, LLC

2:50-3:40 p.m.

## Fighting the Borg Collective: What a Relentless Cybersecurity Threat Means for the Enterprise

Thurgood Marshall Ballroom

Attend this joint session of the Operations and Technology and Compliance Programs Conferences to learn which strategies and tactics firms leverage to mitigate evolving and persistent threats. Explore key issues operational and compliance professionals should consider as they address cyber risks within their firms.



**Janine Comstock**, Moderator  
Chief Security Officer  
MFS Investment Management



**John Cembrook**  
Chief Information Security Officer  
Lord, Abbett & Co.



**Matthew J. DeSarno**  
Special Agent in Charge, Criminal Division  
Washington Field Office  
Federal Bureau of Investigation (FBI)

3:45-5:00 p.m.

## Compliance Hot Topics

THURGOOD MARSHALL BALLROOM

This panel will explore a variety of topics that compliance professionals are currently focused on. Topics expected to be discussed include: where members are in implementing the SEC's liquidity rule and any remaining challenges; lessons learned from recent SEC enforcement actions; the impact of OCIE on setting compliance priorities; and the increasingly complex global regulatory environment.



**Katherine M. Primas**, Moderator  
CCO  
Dodge & Cox



**Kevin F. Cahill**  
Partner  
Dechert LLP



**Matt Chambers**  
CCO  
Horizon Investments, LLC



**Wendy D. Fox**  
CCO  
Ariel Investments, LLC



**Kevin Meagher**  
Asset Management CCO  
Fidelity Management & Research Company

5:00–6:30 p.m.

## Reception with Book Signing and Legal Forum

EXHIBIT HALL C



Come meet GMM speaker Parag Khanna, who will be signing his latest book, *The Future Is Asian*. Registrants may purchase this book in advance of the conference, pick it up in the Exhibit Hall, and have it signed. A limited number of books also will be available for purchase onsite.

SPONSORED BY

**J.P.Morgan**

### Legal Forum Presentations

#### Developments in Recent Fee Litigation, Takeaways for Fund Boards, and What's Next

4:30–5:15 P.M. | **GOODWIN PROCTER**

Speakers: Paul Delligatti, Nicole Griffin, and Mike Isenman

#### The Further Opening of the Chinese Asset Management Sector

5:20–6:05 P.M. | **LINKS LAW OFFICES**

Speaker: Sandra Lu

7:00–10:00 p.m.

## 2019 GMM Dinner Reception

SMITHSONIAN NATIONAL AIR AND SPACE MUSEUM



Enjoy excellent networking, cocktails, and hors d'oeuvres while exploring the exhibition space at the Smithsonian National Air and Space Museum.

Bus transportation from the Marriott Wardman Park to the museum will begin at 6:30 p.m. Buses will be departing from the 24th Street lobby entrance of the hotel.

SPONSORED BY



---

## FRIDAY, MAY 3

7:00–11:00 a.m.

### Conference Registration

MARRIOTT BALLROOM FOYER

9:00–10:00 a.m.

### Engaging with Subadvisers

THURGOOD MARSHALL BALLROOM

This panel will focus on the interaction between subadvisers and advisers and the challenges these relationships present. Among other issues, the panel is likely to discuss how fund advisers and their subadvisers are coordinating their implementation of the SEC's liquidity rule, evolving communication protocols, oversight challenges, and challenges associated with operating in multiple jurisdictions across the globe.



**Brooke Billick**, Moderator  
CCO  
Artisan Partners Funds, Inc.



**Richard J. Gorman**  
Senior Vice President and CCO  
Jackson National Asset Management LLC



**Steven Hartstein**  
CCO  
Brighthouse Funds



**Cheryl B. Wichers**  
CCO  
Russell Investments



10:10–11:15 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.



**Frank Knox, Moderator**

CCO  
John Hancock



**Brooke J. Billick**

CCO  
Artisan Partners Funds, Inc.



**Kevin M. Gleason**

Senior Vice President and CCO  
Voya Funds



**Paulita A. Pike**

PartnerCO  
Ropes & Gray



**Katherine M. Primas**

CCO  
Dodge & Cox



**Phillip S. Wellman**

CCO  
MassMutual Funds



**Anita M. Zagrodnik**

CCO  
U.S. Bank Global Fund Services