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
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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

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pwc
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  

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![Citi Logo](https://www.citigroup.com/en/about.html)
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.

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**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 PROCTOR**  
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.

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**State Street**
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