



2019 GMM

MAY 1-3 • 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

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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**

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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.

Facing the Future: Leadership Perspectives

MARRIOTT BALLROOM

In a dynamic conversation, fund leaders will explore the following topics:

- » The challenges of running an asset management business
- » The power of transformation/turnarounds
- » Leadership transition and succession strategies
- » Firm culture and global talent challenges
- » Where to locate offices and staff, including portfolio management



Sarah Ketterer, Moderator
CEO and Cofounder
Causeway Capital Management



Martin Flanagan
President and CEO
Invesco



Joseph A. Sullivan
Chairman and CEO
Legg Mason

10:00–10:50 a.m.

The Evolving Distribution Landscape

MARRIOTT BALLROOM

This panel of fund distribution experts will explore varying paths for success of investment firms with regards to product mix, pricing, positioning, and service and support.



T. Neil Bathon, Moderator
Managing Partner
FUSE Research Network LLC



Sandy Bolton
Managing Director, Head of Managed Investments
Merrill



Scott Burns
Head of Data, Research and Index Products
Morningstar, Inc.

Kenneth Worthington

Equity Analyst–Brokers, Asset Managers, Exchanges
JP Morgan

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*

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1:50–2:40 p.m.

Adapting to Global Change: How Asia Will Shape the World

MARRIOTT BALLROOM

Global strategist Parag Khanna will address how Asia is rapidly returning to the centuries-old patterns of commerce, conflict, and cultural exchange that thrived long before European colonialism and American dominance. From investment portfolios and trade wars to Hollywood movies and university admissions, no aspect of life is immune from Asianization. With America's tech sector dependent on Asian talent and politicians praising Asia's glittering cities and efficient governments, Asia is permanently in our nation's consciousness. This session will provide an accurate picture of what the Asian century will look like.

Following Khanna's presentation, he and Allianz's Doug Eu will engage in a Q&A session.



Parag Khanna

Founder and Managing Partner

FutureMap

Author, *The Future Is Asian* and *Connectography: Mapping the Future of Global Civilization*



Douglas Eu

CEO

Allianz Global Investors US Holdings LLC

2:50–3:40 p.m.

Global Markets: Navigating Regulatory and Policy Developments

MARRIOTT BALLROOM

ICI's Paul Schott Stevens will engage global leaders in a timely discussion about key regulatory, policy, and political developments worldwide.



Paul Schott Stevens, Moderator
President and CEO
Investment Company Institute



Peter De Proft
Honorary Director General
European Fund and Asset Management Association (EFAMA)



David Wright
Partner
Flint
Secretary General (Retired)
International Organization of Securities Commissions

3:45–4:30 p.m.

50 Years of Apollo Missions: The Next Giant Leap

MARRIOTT BALLROOM

Ellen Stofan, director of the Smithsonian National Air and Space Museum, will recount the challenges of the Apollo Program and the remarkable technologies that made the moon landings possible. She will then share with the GMM audience what the future may hold for space exploration.



Ellen Stofan
Director
Smithsonian National Air and Space Museum
Former Chief Scientist
NASA



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

4:30–6:30 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 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.

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FRIDAY, MAY 3

7:00–11:00 a.m.

Conference Registration

MARRIOTT BALLROOM FOYER

7:45–8:45 a.m.

Interactive Breakfast Discussion Sessions

MARRIOTT BALLROOM

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

WASHINGTON ROOM 1



Jonathan Isaac, Discussion Leader
Director of Product Management
Eaton Vance

2. Diversity and Inclusion in the Asset Management Industry

WASHINGTON ROOM 4



Sue Toigo, Discussion Leader
Cofounder
Toigo Foundation

3. Exploring ETFs

WASHINGTON ROOM 2



Melissa S. Gainor, Discussion Leader
Senior Special Counsel
Division of Investment Management
US Securities and Exchange Commission

Kay-Mario Vobis, Discussion Leader
Senior Counsel
Division of Investment Management
US Securities and Exchange Commission

4. **Understanding Brexit's Impact on the Global Regulated Fund Industry**

WASHINGTON ROOM 3

The United Kingdom's June 2016 decision to leave the European Union has shaken the landscape for offering and managing funds in Europe, no matter when or how a UK exit actually transpires. Join us for a discussion about how Brexit has affected almost every aspect of the value chain for funds—from delegation of portfolio management, to cross-border distribution of funds, to trading issues—and how global fund managers are addressing these challenges.



Robert Grohowski

Vice President, Legislative and Regulatory Affairs
T. Rowe Price Associates



Sean Tuffy

Director
Citi Fund Services

9:00–9:50 a.m.

Marketing Innovations and Imperatives: Insights from Senior Executives

MARRIOTT BALLROOM

Senior marketing and innovation experts will share their thoughts on organizational transformation and the evolving role of marketing at asset management firms; purpose-driven marketing; the role of social media in building communities; and the importance of employing an agile, lean technology staff to ensure that the organization as a whole has real-time access to customer data.



Frank Cooper III, Moderator

Senior Managing Director and Global Chief Marketing Officer
BlackRock



Simon Mulcahy

Chief Innovation Officer
Salesforce



Martha "Marty" Willis

Chief Marketing Officer
Nuveen

10:00–10:50 a.m.

The Technology Horizon

MARRIOTT BALLROOM

Accenture's Kelley Conway will provide an overview of key fintech trends, including the impact of sentiment analysis and broader artificial intelligence tools on the asset management industry, and then moderate a panel of technologists, who will share their thoughts on what's coming in the technology pipeline.



Kelley Conway, Moderator
Managing Director
Accenture Financial Services Technology Advisory



Dave Hannibal
Global Head, Strategic Partnerships and Alliances
Duco

Additional panelists TBA