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

**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

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**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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[Image of PwC logo]
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

11:00–11:50 a.m.  **IDC Session: Effects of Industry Trends on Fund Boards**  
**VIRGINIA ROOM**

This panel will explore the impact in the boardroom of the distribution, investments, technology, and other trends discussed on the earlier GMM panels.

- **Keith F. Hartstein**, Moderator  
  Independent Director  
  PGIM Funds

- **T. Neil Bathon**  
  Managing Partner  
  FUSE Research Network LLC

- **Sarah Ketterer**  
  CEO and Cofounder  
  Causeway Capital Management

- **Ronald E. Toupin Jr.**  
  Independent Director  
  Guggenheim Funds and Western Asset Inflation-Linked Fund
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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1:50–2:40 p.m.  
**IDC Session: Views from CCOs and Their Directors on Effective Practices**

**VIRGINIA ROOM**

CCOs and directors will discuss practices for effective and productive engagement between the fund’s CCO and the board.

**Susan C. Coté, Moderator**  
Independent Director  
SEI Funds

**Stephen M. Alderman**  
Independent Director  
Brighthouse Funds

**Randall S. Fillmore**  
Chief Compliance Officer  
Aquila Investment Management LLC

**Steven Hartstein**  
Chief Compliance Officer  
Brighthouse Funds

**Glenn P. O’Flaherty**  
Independent Director  
Aquila Funds
2:50–3:40 p.m. **IDC Session: Exploring Fund Governance Trends**
**VIRGINIA ROOM**

Governance experts will examine trends in board composition, succession planning, and other practices, and offer insights on ways to enhance the effectiveness of a fund board.

**John Griffin**, Moderator  
Partner  
PricewaterhouseCoopers LLP

**Robert J. Chersi**  
Independent Director  
Thrivent Funds

**Cynthia R. Plouché**  
Independent Director  
Northern Funds and Baring Funds

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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**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.  | **LLINKS LAW OFFICES**
Speaker: Sandra Lu

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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

7:30–8:45 a.m.  IDC Directors Breakfast
DELAWARE ROOM
Directors will engage in roundtable discussions about current industry, regulatory, and governance topics.

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

**Chris Ackerson**  
Head of Product: Search and AI  
AlphaSense

**Dave Hannibal**  
Global Head, Strategic Partnerships and Alliances  
Duco