

# 2019 OPS&TECH

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

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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**

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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

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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

10:00–10:35 a.m.

## Changing Roles and Competencies: Preparing Your Workforce

MARYLAND ROOM

ICI Chief Industry Operations Officer Marty Burns will engage human capital expert Michele Porterfield in a discussion about the challenges of developing longer-term employees and moving them through the leadership pipeline, given changing skill requirements and business demands.



**Marty Burns**  
Chief Industry Operations Officer  
Investment Company Institute

**Michele Porterfield**  
Practice Leader  
Leadership Solutions, Inc.

10:35–11:10 a.m.

## The NextGen Workforce: Are You Ready?

MARYLAND ROOM

A panel of young professionals will share their thoughts on today's workforce, what motivates them, how they use technology, their impressions of the asset management industry, and their expectations for the future.



### Marty Burns

Chief Industry Operations Officer  
Investment Company Institute



### Elizabeth B. Scalf

Chief Compliance Officer  
Trust for Professional Managers  
Senior Vice President  
U.S. Bank Global Fund Services



### Kelsey Harris

Graduate student applicant



### Ryan Stahlin

Research Analyst  
National Security Analytics Group  
Battelle Memorial Institute

11:10–11:50 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.

## 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.



**Jason Fickett**  
Acting Special Agent in Charge  
Federal Bureau of Investigation (FBI)

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 Session: Timely Operations and Technology Challenges

MARYLAND ROOM

*Closed to the media*

Buffet breakfast will be available.

Seating for the breakfast discussion session is limited and will be filled on a first-come, first-served basis.

This interactive session will feature roundtable discussions on timely operations and technology topics. Session registrants will be provided a list of topics to be addressed at each table in advance of the conference.

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

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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



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