

U.S. Securities & Exchange Commission
Compliance Outreach Program *
(For Investment Adviser and Investment Company Senior Officers)

National Seminar Agenda
(Targeted Discussions For Larger Firms)

April 19, 2016

7:30 am Registration Opens

8:30 am Welcoming Remarks
to

8:45 am Speaker: Chair Mary Jo White

8:45 am Introductory Remarks
to

9:10 am Speakers

Andrew Ceresney, Director, Division of Enforcement

David Grim, Director, Division of Investment Management

Marc Wyatt, Director, Office of Compliance Inspections and Examinations (National Exam Program)

9:10 am Panel I: Program Priorities

to

- 10:20 am**
- Fiscal year 2016 priorities
 - Update on certain recently completed, on-going, and/or planned initiatives
 - Possible fiscal year 2017 priorities

Speakers

Diane Blizzard, Associate Director, Division of Investment Management

Jane Jarcho, Deputy Director, National Exam Program

Anthony Kelly, Co-Chief, Division of Enforcement, Asset Management Unit

* Sponsored by the SEC's Office of Compliance Inspections and Examinations, Division of Investment Management and Division of Enforcement

10:20 am
to **Question & Answer Session (Advisers with \$1 Billion or Less in Regulatory AUM)**

10:45 am
Speakers

Maureen Dempsey, Assistant Director, National Exam Program, Chicago Regional Office
Ahmed Abdul-Jaleel, Exam Manager, National Exam Program, Chicago Regional Office
Sarah Buescher, Branch Chief, Division of Investment Management
William J. Delmage, Assistant Director, National Exam Program, New York Regional Office
Benjamin Faulkner, Attorney-Adviser, National Exam Program, Los Angeles Regional Office
Brian Fitzpatrick, Industry Expert, Division of Enforcement, Asset Management Unit
Melissa Gainor, Senior Special Counsel, Division of Investment Management
Christopher Mulligan, Senior Counsel, National Exam Program, Office of Chief Counsel
Alpa Patel, Branch Chief, Private Funds, Division of Investment Management

10:45 am
to **Break (Q & A Session Continuation)**
11:00 am

11:00 am **Panel II: Private Fund Adviser Topics**

to

- Conflicts of interest
- Enforcement cases
- Examination findings

12:15 pm

Speakers

Jennifer Duggins, Senior Specialized Examiner, Co-Head of the Private Funds Unit, National Exam Program
Brendan McGlynn, Assistant Director, Division of Enforcement, Asset Management Unit
Michael Neus, Managing Partner and General Counsel, Perry Capital LLC
Alpa Patel, Branch Chief, Private Funds, Division of Investment Management
Adam Reback, Chief Compliance Officer, J Goldman & Co., L.P.
Igor Rozenblit, Senior Specialized Examiner, Co-Head of the Private Funds Unit, National Exam Program

12:15 pm
to **Lunch Break**
1:30 pm

1:30 pm Panel III: Registered Investment Company Topics

- to**
- Distribution in guise
- 2:45 pm**
- Derivatives rulemaking
 - Current hot issues

Speakers

Thoreau Bartmann, Branch Chief, Division of Investment Management

Mary Keefe, Managing Director and Director of Regulatory Affairs, Nuveen Investments Inc.

Anthony Kelly, Co-Chief, Division of Enforcement, Asset Management Unit

Thomas Kirk, Assistant Regional Director, National Exam Program, Chicago Regional Office

Nancy Morris, Chief Compliance Officer and Managing Director, Wellington Management Company

2:45 pm

to Question & Answer Session (Advisers with More Than \$1 Billion in Regulatory AUM)

3:15 pm

Speakers

Mark Dowdell, Assistant Director, National Exam Program, Philadelphia Regional Office

Thoreau Bartmann, Branch Chief, Division of Investment Management

Shane Cox, Attorney Adviser, Los Angeles Regional Office

Eric Elefante, Assistant Director, National Exam Program, Philadelphia Regional Office

Brian Fitzpatrick, Industry Expert, Division of Enforcement, Asset Management Unit

Alpa Patel, Branch Chief, Private Funds, Division of Investment Management

Jim Reese, Assistant Director, National Exam Program, Office of Risk Analysis and Surveillance

Doug Scheidt, Associate Director and Chief Counsel, Division of Investment Management

3:15 pm

to Break (Q & A Session Continuation)

3:30 pm

3:30 pm Panel IV: Compliance Panel

- to**
- Frequently cited deficiencies by type of registrant
- 4:30 pm**
- Enforcement referrals: key topics and lifecycle
 - Recent cases and impact of such cases on firms' compliance programs

Speakers

Adam Aderton, Assistant Director, Division of Enforcement, Asset Management Unit

Chad Earnst, Vice President and Chief Compliance Officer, Prudential Investments

Daniel Kahl, Assistant Director, Division of Investment Management

Bruce Karpati, Managing Director and Global Chief Compliance Officer, Kohlberg Kravis Roberts & Co. L.P.

Kristin Snyder, Associate Regional Director, National Exam Program, San Francisco Regional Office

4:30 pm Panel V: Hot Topics

to

5:25 pm

- Service provider reliance/outsourcing roles and responsibilities
- CCO liability
- Cybersecurity
- Proposed AML requirements

Speakers

Adam Aderton, Assistant Director, Division of Enforcement, Asset Management Unit

Michael Didiuk, Senior Counsel, Division of Investment Management

Wendy Fox, Vice President and Chief Compliance Officer, Ariel Investments LLC

Steven Levine, Associate Regional Director, National Exam Program, Chicago Regional Office

5:25 pm Closing Remarks

to

5:30 pm Speaker: *Marc Wyatt*, Director, National Exam Program
