



SEPTEMBER 29, 2015

- 9:15 a.m. – 9:30 a.m. **Opening Remarks by Chair Mary Jo White**
- 9:30 a.m. – 10:45 a.m. **Panel 1. Asset Management Industry Pioneers**
Moderator: Andrew J. Donohue, Chief of Staff
Panelists:
» John C. Bogle, Founder and Former Chairman, The Vanguard Group
» Don Phillips, Managing Director, Morningstar
» James S. Riepe, Senior Advisor and Retired Vice Chairman, T. Rowe Price Group, Inc.
- 10:45 a.m. – 11:00 a.m. **Break**
- 11:00 a.m. – 11:05 a.m. **Panel Introduction by Commissioner Daniel M. Gallagher**
- 11:05 a.m. – 12:15 p.m. **Panel 2. The Arc of History (Former SEC Chairmen)**
Moderator: Chair Mary Jo White
Panelists:
» The Hon. David S. Ruder (1987–1989)
» The Hon. Richard C. Breeden (1989–1993)
» The Hon. Harvey L. Pitt (2001–2003)
» The Hon. William H. Donaldson (2003–2005)
» The Hon. Elisse B. Walter (2012–2013)
- 12:15 p.m. – 1:15 p.m. **Lunch Break**
- 1:15 p.m. – 1:20 p.m. **Panel Introduction by Commissioner Kara M. Stein**
- 1:20 p.m. – 2:30 p.m. **Panel 3. Diverse Perspectives on the Asset Management Industry**
Moderator: David W. Grim, Director, Division of Investment Management
Panelists:
» Jameson A. Baxter, Chair of the Board of Trustees of the Putnam Mutual Funds
» Matthew P. Fink, Independent Director, Oppenheimer Mutual Funds and author of *The Rise of Mutual Funds: An Insider's View*
» Rick A. Fleming, SEC Investor Advocate
» Tamar Frankel, Professor of Law, Boston University School of Law
» Thomas P. Lemke, Independent Director; Former Executive Vice President, General Counsel, and Head of Governance, Legg Mason Inc.
- 2:30 p.m. – 2:45 p.m. **Break**
- 2:45 p.m. – 2:50 p.m. **Panel Introduction by Commissioner Michael S. Piwowar**
- 2:50 p.m. – 4:00 p.m. **Panel 4. The Regulators' View (Former Division Directors)**
Moderator: David W. Grim, Director, Division of Investment Management
Panelists:
» Allan S. Mostoff (1972–1975)
» Joel H. Goldberg (1981–1983)
» Kathryn B. McGrath (1983–1990)
» Marianne K. Smythe (1990–1993)
» Barry Barbash (1993–1998)
» Paul F. Roye (1998–2005)
» Andrew J. Donohue (2006–2010)
» Eileen Rominger (2011–2012)
» Norm Champ (2012–2015)
- 4:00 p.m. – 4:15 p.m. **Closing Remarks by Chief of Staff Andrew J. Donohue**