



CHICAGO
REGIONAL OFFICE

Compliance Outreach Program
For Investment Advisers and Investment Companies
Chicago Regional Office
June 13, 2017

Agenda

Registration (8:00 am – 8:45 am)

Welcome and Opening Remarks (8:45 am – 9:00 am)

David Glockner, *Regional Director, CHRO*

Panel 1: SEC's Changing Landscape (9:00 am – 10:00 am)

Kristin Snyder, *Associate Regional Director, SFRO and Co-National Associate over IAIC Examinations, OCIE*

Dabney O'Riordan, *National Co-Chief, Asset Management Unit (AMU), Enforcement*
Thoreau Bartmann, *Senior Special Counsel, Division of Investment Management, Rulemaking Office*

Wendy D. Fox, *Chief Compliance Officer, Ariel Investments*

Tina Diamantopoulos, *Counsel to the Director, CHRO (Moderator)*

Panel 2: Data Analytics and the National Examination Program (10:00 am – 10:45 am)

James R. Reese, *Acting Chief Risk Officer, OCIE*

Max J. Gillman, *Exam Manager, CHRO IAIC Examination Program*

Vanessa Horton, *Assistant Regional Director, CHRO IAIC Examination Program (Moderator)*

Refreshment Break (10:45 am – 11:00 am)

Panel 3: IAIC Examinations: Priorities, Initiatives, Exam Selection, Common Deficiencies, Interplay with Enforcement

(11:00 am – 11:45 am)

Steven Levine, *Associate Regional Director, CHRO IAIC Examination Program*

Alicia Tate, *Risk Management Strategist, CHRO IAIC Examination Program*

Paul Montoya, *Assistant Regional Director, CHRO Enforcement Division, AMU*

Andrea Seidt, *Commissioner, Ohio Division of Securities (Moderator)*

Panel 4: Cybersecurity (11:45 am – 12:30 pm)

Chris Hetner, *Senior Cybersecurity Advisor to the Chairman*

Rebekah Kohmescher, *Chief Operating Officer, Altair Advisers*

David Glockner, *Regional Director, CHRO*

Mavis Kelly, *Assistant Director, National Examination Program (Moderator)*

Lunch (12:30 pm – 1:30 pm)(note: lunch is not provided as part of this conference)

Breakout Session 1 – (1:30pm – 2:15pm)

(1) Retail Clients & Retirement Funds

Louis Gracia, *Deputy Associate Regional Director, CHRO IAIC Examination Program*

Ahmed Abdul-Jaleel, *Assistant Regional Director, CHRO IAIC Examination Program*

Belinda Hoskins, *Exam Manager, CHRO IAIC Examination Program*

(2) Private Fund Issues

Andrew Weilbacher, *Senior Specialized Examiner, Private Fund Unit*

Matthew Harris, *Exam Manager, Private Fund Unit*

Michael Collins, *Staff Accountant, Private Fund Unit*

Brad Kartholl, *Exam Manager, CHRO IAIC Examination Program*

(3) Investment Company Hot Topics

Susan Weis, *Senior Regulatory Counsel, CHRO IAIC Examination Program*

José Santillan, *Senior Specialist Examiner, CHRO IAIC Examination Program*

David Hershey, *Senior Specialist Examiner, CHRO IAIC Examination Program*

Charles McCain, *President and Chief Operating Officer, Harbor Capital Advisors*

Breakout Session 2 – (2:30pm– 3:15pm)

(1) Recent Decisions

Thu Ta, *Regulatory Counsel, CHRO IAIC Examination Program*

Andrew Shoenthal, *Senior Advisor, AMU, Enforcement Division*

Junaid A. Zubairi, *Chair, Government Enforcement & Special Investigations, Vedder Price*

(2) Robo Advisers

Kristin Snyder, *Associate Regional Director, SFRO and Co-National Associate over IAIC Examinations, OCIE*

Rochelle Plesset, *Senior Counsel, Division of Investment Management, Chief Counsel's Office*

Steven Levine, *Associate Regional Director, CHRO IAIC Examination Program (Moderator)*

(3) Newer Registrants: SEC Examination Processes and Tips

Maureen Dempsey, *Assistant Regional Director, CHRO IAIC Examination Program*

Max J. Gillman, *Exam Manager, CHRO IAIC Examination Program*

Gena Kusiak, *Exam Manager, CHRO IAIC Examination Program*