



**2013 Compliance Outreach Program
Boston Regional Office - May 16, 2013**

AGENDA*

Registration (8:00 am – 8:45 am)

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

- Michael Garrity, Associate Director, Boston Examination Program

Panel 1: Examination Priorities and Risk (9:00 am – 10:15 am)

- Moderator ~ Melissa Clough, Assistant Director, IA/IC Program
- James Reese, Assistant Director, OCIE, Office of Risk Analysis and Surveillance
- Stephen Latin, Exam Manager, IA/IC Program
- Joshua Grinspoon, Securities Compliance Examiner, IA/IC Program
- Daniel Kahl, Assistant Director, Division of Investment Management, Investment Adviser Regulation Office

Break (10:15 am – 10:30 am)

Panel 2: Current Topics in Money Management Regulation (10:30 am – 11:45 am)

- Moderator ~ Michael Garrity, Associate Director, Boston Examination Program
- Paula Drake, Associate Director/Chief Counsel/Chief Ethics Officer, OCIE
- Kevin Kelcourse, Assistant Director, Divisions of Enforcement, Asset Management Unit
- Scott Pomfret, Chief Compliance Officer, Highfields Capital Management
- Carolyn O'Brien, Exam Manager, IA/IC Program

Panel 3: Examination Process and Subject Topics (11:45 am – 1:00 pm)

- Moderator ~ Jason Lake, Exam Manager, IA/IC Program
- Mary Farrell, Staff Accountant, IA/IC Program
- Nicholas Leonard, Staff Accountant, IA/IC Program
- Albert Monsini, Staff Accountant, IA/IC Program

General Q&A (12:45 pm – 1:00 pm) with Jason Lake, Mary Farrell, Nicholas Leonard, Albert Monsini, Paula Drake, James Reese, Daniel Kahl, Michael Garrity

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