Compliance Outreach Program
For Investment Advisers and Investment Companies
Chicago Regional Office
June 25, 2019

Agenda

Registration (8:00 am – 8:30 am)

Welcome and Opening Remarks (8:30 am – 8:35 am)
Joel R. Levin, Regional Director, Chicago Regional Office (CHRO)

Panel 1: Director’s Perspectives (8:35 am – 9:35 am)
Dalia Blass, Director, Division of Investment Management
Steven Peikin, Co-Director, Division of Enforcement
Kristin Snyder, Deputy Director, Office of Compliance, Inspections and Examinations (OCIE)
Joel R. Levin, Regional Director, CHRO (Moderator)

Panel 2: IA/IC 2019 Program Overview, Priorities, Initiatives, Common Deficiencies, and Interactions with Enforcement (9:35 am – 10:30 am)
Steven J. Levine, Associate Regional Director, CHRO IA/IC Examination Program
Paul Montoya, Assistant Director, Asset Management Unit (AMU), Enforcement, CHRO
Alicia Tate, Risk Management Specialist, CHRO IA/IC Examination Program
Tanya Solov, Director, Illinois Securities Department (Moderator)

Refreshment Break (10:30 am – 10:45 am)

Panel 3: Protecting Retail Investors (10:45 am – 11:45 am)
Charu Chandrasekhar, Assistant Regional Director, Retail Strategy Task Force, Enforcement
Louis A. Gracia, Deputy Associate Regional Director, CHRO IA/IC Examination Program
Jennifer Porter, Branch Chief, Investment Adviser Regulation Office, Division of Investment Management
Tina Diamantopoulos, Counsel to the Regional Director, CHRO (Moderator)

A Conversation with Commissioner Elad L. Roisman (11:45 am – 12:30 pm)
Hon. Elad L. Roisman, Commissioner, SEC
Joel R. Levin, Regional Director, CHRO

Lunch (12:30 pm – 1:30 pm)
Breakout Session 1 (1:30 pm – 2:30 pm)

(1a) RIC Initiatives, Priorities, and Hot Topics *(live and webcast)*
Stacey Gohl, Exam Manager, CHRO IA/IC Examination Program
Daryl Hartman, Exam Manager, CHRO IA/IC Examination Program
José L. Santillan, Senior Specialized Examiner, CHRO IA/IC Examination Program
Susan Weis, Senior Regulatory Counsel, CHRO IA/IC Examination Program

(1b) Private Funds – Current Topics in Compliance *(live only)*
Michael Collins, Staff Accountant, Private Fund Unit, OCIE
Jennifer Duggins, Co-Head, Private Fund Unit, OCIE
Matthew Harris, Exam Manager, Private Fund Unit, OCIE

(1c) Recent Decisions *(live only)*
Anne Graber Blazek, Senior Attorney, AMU, Enforcement, CHRO
Kent McAllister, Senior Regulatory Counsel, CHRO IA/IC Examination Program
Paul M.G. Helms, Partner, McDermott Will & Emery

Break (2:30 pm – 2:40 pm)

Breakout Session 2 (2:40 pm – 3:30 pm)

(2a) Newer Registrants – Preparing for a SEC Examination *(live only)*
Maureen Dempsey, Assistant Regional Director, CHRO IA/IC Examination Program
Anne Salvador, Exam Manager, CHRO IA/IC Examination Program
Brent VanHootegem, Examiner, CHRO IA/IC Examination Program

(2b) Q&A Session (mix of pre-submitted and live questions) *(live and webcast)*
SEC Staff (various)