



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)