

Responsible Investment Forum New York 2019

March 5-6 | Convene, 730 Third Ave

Agenda | Tuesday, March 5

8:00am Registration and Welcome Breakfast

8:00am LP Think Tank Breakfast (Invitation-only)

- What are the top issues for LPs as it relates to responsible investment?
- Collectively as an LP community what can we do? where can we play? What can we ask from our GPs to invest more responsibly as it relates to ESG?
- What's most important to you?
- What can the LP community do collectively?
- In what areas can we collaborate to effect change?

Facilitators:

- » **Emily Mendell**, Managing Director, **Membership, Events & Communications, Institutional Limited Partners Association**
- » **George Wong**, ESG Integration Manager, **New York State Common Retirement Fund, Division of Pension Investment and Cash Management, Office of the State Comptroller**

8:00am GP Leadership Think Tank Breakfast (Invitation-only)

- Is ESG analysis more important for risk management or value creation?
- What metrics associated with responsible investing have been most meaningful?
- What is the difference between how American and European LPs value ESG programs, and why?
- How do portfolio company management teams engage with GP-led ESG initiatives?
- What will responsible investing mean in a recessionary environment?

Facilitator:

- » **Adam Blumenthal**, Founder and Managing Partner, **Blue Wolf Capital Partners**

9:00am PEI Welcome

- » **Seth Kerker**, Director Events - Americas, **PEI**

9:10am Chairperson's Opening Remarks

- » **Chris Fowle**, Head of Americas, **Principles for Responsible Investment**

9:15am Opening Keynote Address: "Chicago: Developing Powerful Tools for ESG Integration"

Treasurer Summers has led the City of Chicago to implement the most comprehensive ESG integration effort from any major city in the United States, and to become the largest city in the world to be a signatory of the Principles of Responsible Investment (PRI).

- » **Chicago Treasurer Kurt Summers**

9:55am Spotlight Discussion Featuring The Carlyle Group: Women Effecting Change in PE

- » **Moderator: Wendy Garcia**, Chief Diversity Officer, **Office of the NYC Comptroller**
- » **Kara Helander**, Managing Director & Chief Inclusion & Diversity Officer, **The Carlyle Group**
- » **Georgette Kiser**, Chief Information Officer, **The Carlyle Group**
- » **Jackie Roberts**, Chief Sustainability Officer, **The Carlyle Group**

10:40am ESG and the American Frontier

ESG is still very much in expansion stage in the US and there are real challenges for ESG advocates

- What are US investor perspectives on ESG and how is this affecting LP-GP dialogue in the US?
- How are politics affecting investment agendas? Has US politics altered the ESG agenda?
- How do we address the US / European gap? How will practice evolve in the US?
- Where are we not living up to our potential? What's next...What haven't we cracked? What's the future?
- What role can responsible investors play to address systemic problems?
- What are effective ways to bring ESG agendas forward?
- » **Moderator: Alan Kao**, Global Service Line Leader - Compliance, **Strategy & Transaction Services, Ramboll**
- » **Michael T. Cappucci**, Senior Vice President for Compliance and Sustainable Investing, **Harvard Management Company**
- » **Rick Davis**, Partner & COO, **Pegasus Capital Advisors**
- » **Adam Heltzer**, Head of ESG and Sustainability, **Partners Group**
- » **Dan Jacobs**, Principal, **CD&R**
- » **Sonal Mahida**, Senior Advisor, **Intentional Endowments Network**

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11:40am Networking Break

12:00pm ESG Due Diligence

- How do GPs integrate ESG issue review in a way that enhances due diligence?
- How do you make sure that ESG findings are material and that recommendations are actionable?
- ESG diligence is not a book report; how do you continue to monitor and improve against ESG risks identified in diligence?
- What are the distinctions between ESG due diligence and other advisor's diligence reviews? How do their findings complement each other?
- » **Moderator: Andrew Malk**, Managing Partner, **Malk Partners**
- » **Will Baine**, Senior Associate, **The Jordan Company**
- » **James S. Hoch**, Partner, **Tailwind Capital**
- » **Bennet Grill**, Principal, **Blue Wolf Capital Partners**
- » **Julia Wittlin**, CFA, **CAIA, FRM**, Managing Director, **BlackRock Private Equity Partners**

12:45pm Networking Lunch

2:00pm Human Capital as a Driving Force for Value

- What value does employee engagement and retention represent?
- What are effective methods to address inequality in the workforce?
- Why is diversity important to LPs? Why should it be important to your firm?
- What is the opportunity in gender lens investing?
- » **Moderator: Barbara Brown**, Senior Partner, **ERM**
- » **Dr. Alice Mann**, Human Capital Operating Partner, **Blue Wolf Capital Partners**
- » **Aditi Mohapatra**, Director, **Women's Empowerment, BSR**
- » **Ana Rodriguez**, Chief Human Resources Officer, **The Lubrizol Corporation**
- » **Abrielle Rosenthal**, Managing Director, Chief Compliance Officer & Chief Human Resources Officer, **Towerbrook Capital Partners**

2:50pm Breakout Series

Track A Responsible Innovation | Embedding Public Purpose in Emerging Tech Investment Decisions

New technologies bring benefits to billions through improved health, productivity, and convenience but unless we actively manage their risks to society, they may also bring unforeseen destructive consequences.

- What are existing practices to evaluate potential societal impacts of investments?
- How well do current ESG tools capture issues of emerging tech and where do investors need additional guidance on issues such as bias, privacy, global security?
- How can investors and founders integrate ESG considerations earlier during business plans, market launches, and scaling?
- What does productive and responsible engagement with governments and stakeholders look like for disruptive technology and business models?
- » **Moderator: Laura Manley**, Director, **Technology and Public Purpose Project, Harvard Kennedy School Belfer Center for Science and International Affairs**
- » **Matthijs Baan**, Co-Founder, **Spring Associates**

Track B Supply Chain: Social and Environmental Issues

- What steps can investors take to address the reduced investment returns and reputational risks linked to supply chains ESG risks?
- Which frameworks might help investors evaluate the sources of risk? What are some best practices in current efforts to upgrade supply chain standards and practices?
- What are the different mechanisms employed by companies to identify and manage ESG supply chain risks? When is a compliance program enough?
- » **Moderator: Ryan Miller**, Principal, **Malk Partners**
- » **John Hodges**, Managing Director, **Infrastructure and Finance, BSR**
- » **Marianne Voss**, Supply Chain Compliance Lead, **Malk Partners; Managing Partner, Ethos Matters LLC**

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Track C Engaging the United Nations Sustainable Development Goals as a Strategic Assessment Tool
Companies have begun to gravitate toward using the UN Sustainable Development Goals (SDGs) as a compliance and disclosure framework. Given the breadth and depth of the 17 SDGs and their hundreds of indicators, this can pose challenges. A more effective use for investors is to utilize the SDGs as a strategic screen to help determine how current and prospective holdings are situated to take advantage of emerging global market opportunities and mitigate growing global risks. This session will identify research showing the potential of the SDGs to drive a variety of trillion-dollar global markets. It will engage participants in a practical framework to narrow the SDGs to the most strategically relevant areas, and to use those to identify how existing and potential holdings can use the SDGs to enhance their competitive positioning and financial performance. The session will provide specific examples applied to investment firms. It will provide opportunities for participants to apply the framework in true-to-life scenarios.

- » **Moderator: Steve Rochlin**, CEO, **IMPACT ROI**
- » **Francesco Ambrogetti**, Partnerships Development Specialist, **United Nations Capital Development Fund**
- » **Beth Lowery**, Managing Director for Sustainability and ESG, **TPG**
- » **Mike Muldoon**, Associate Director, **The Rockefeller Foundation**
- » **Andrew Siwo**, Investment Director, **Colonial Consulting, LLC**
- » **George Wong**, ESG Integration Manager, **New York State Common Retirement Fund, Division of Pension Investment and Cash Management, Office of the State Comptroller**

3:40pm **Networking Break**

4:00pm **LAVCA Awards Presentation**

- » **Presented by Cate Ambrose**, President and Executive Director, **LAVCA**

4:15pm | Closing Keynote Address

- » **Steven B. Klinsky**, Founder & Chief Executive Officer, **New Mountain Capital**

Interviewed by:

- » **Natasha Buckley**, Investment Practices Senior Manager - Private Equity, **Principles for Responsible Investment (PRI)**

5:00pm **Chairman's Closing Remarks**

- » **Chris Fowle**, Head of Americas, **Principles for Responsible Investment**

5:05pm **Cocktail Reception**

Agenda | Wednesday, March 6

8:00am **Registration and Breakfast**

9:00pm **Chairperson's Welcome**

- » **Chris Fowle**, Head of Americas, **Principles for Responsible Investment**

9:15am **Keynote Interview**

- » **Moderator: Isobel Markham**, Senior Editor, **Private Equity Group, Americas at PEI - Alternative Insight**
- » **Tracy Harris**, Partner and Head of ESG, **StepStone Group**
- » **John R. Monsky**, Partner, **General Counsel & ESG Committee Chair, Oak Hill Capital Partners**

9:55am **The ESG and Impact Investing Dynamic**

What is different about what impact funds have to offer? What impact can larger funds offer at scale?

- How are you capturing the value of social impact your firm is generating?
- Emerging trends effecting the progress of impact measurement
- Impact investing and fundraising
- » **Moderator: Dan A. Mistler**, M&A Solutions, **ESG Specialist, Bridge House Advisors**
- » **Chris Cozzone**, Principal, **Bain Capital Double Impact**
- » **Colin Etnire**, ESG Analyst, **The Carlyle Group**
- » **David Helgerson**, Managing Director, **Hamilton Lane**

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- » **Brett A. Hickey**, Founder & CEO, **Star Mountain Capital**
- » **Elizabeth Seeger**, Director, **Sustainable Investing, KKR**

12:50pm **Networking Lunch**

10:45am **Networking Break**

11:05am **ESG Data and Reporting: Making it Meaningful**

ESG is an emerging core competence. We can challenge ourselves to report the numbers to better analyze their value potential.

- Data quality - defining the metrics
- Increasing demand for transparency
- How do we benchmark the data?
- Understanding and meeting LP data requirements
- Where does the data come from/relevant sources/third parties as alternative perspective/source (addressing the gap between investors and companies)
- » **Moderator: Alison Larkins**, Director of Environmental Social Governance, **TPG**
- » **Dr. Philipp Aeby**, CEO, **RepRisk**
- » **Jeff Cohen**, CAIA, **Institutional Product Strategist, Sustainability Accounting Standards Board**
- » **Don Reed**, Executive Director, **Anthesis**
- » **Sheryl Schwartz**, Managing Director, **Flexstone Partners**

11:55am **How is Climate Change Impacting Investments?**

Climate change seems to be the highest ESG priority facing many investors. How can investors effectively protect their portfolios while proactively seeking opportunities in a low-carbon global economy?

- » **Moderator: Anadi Jauhari**, CAIA, **Senior Managing Director, Emerging Energy & Environment Investment Group LLC**
- » **John Adler**, Chief Pension Advisor, **NYC Mayor's Office of Pensions & Investments**
- » **Jay Koh**, Managing Director, **The Lightsmith Group**
- » **Emily Kreps**, Head of Investor Initiatives, **CDP North America**
- » **David Russell**, Head of Responsible Investment, **USS Investment Management Ltd**

12:45pm **Chairman's Closing Remarks**

- » **Chris Fowle**, Head of Americas, **Principles for Responsible Investment**