

Private Equity  
International

Earn up to 6.6 CPE credits

# Private Fund Compliance Spring Forum

Virtual Experience 2021

May 12-13 | Available Anywhere

**Examining private fund finance  
& compliance in a shifting  
regulatory environment**



To learn more, visit:

[peievents.com/en/event/private-fund-compliance-spring-forum/](https://peievents.com/en/event/private-fund-compliance-spring-forum/)

# Contents

---

- » SEC speakers →
- » What's new →
- » The virtual experience →
- » Networking opportunities →
- » Speakers →
- » Agenda highlights →
- » Sponsors →
- » Registration and pricing →



# SEC speakers

[View more speakers](#) ➔

**May 12 | 11:25am**

Opening Keynote Interview |  
Risk alert: conflicts of interest, fees  
and expenses, & code of ethics rules

**Peter Driscoll**

Director,  
Division of Examinations

**U.S. Securities and  
Exchange Commission**



**May 13 | 11:30am**

An off the record opening panel on  
SEC Examinations

**Matthew Harris**

Exam Manager

**U.S. Securities and  
Exchange Commission**





# What's changed in private equity compliance over the past year?



As a CCO or GC you are operating in a world of swirling change ranging from the new Biden administration in the White House, to the change in leadership at the SEC, to the ongoing issues caused by the pandemic.

The SEC's enforcement is as strong as ever and the Biden Administration is ready to take aim with new regulations.

At PEI's Private Fund Compliance Spring Forum we'll address what your peers have experienced since the SEC's Office of Compliance Inspections and Examinations issued its June risk alert for private fund advisers signaling increased scrutiny over conflicts of interest, fees and expenses, and code of ethics rules.

You'll also hear how other firms endured the impacts of the pandemic on compliance related issues like financial reporting, cybersecurity risks, and other operational matters.

# Amplify your virtual experience



## **Customizable breakout sessions**

Pick and choose breakout sessions focused on ESG, cybersecurity, managing risk, and more.



## **CCO/GC think tank sessions**

Exclusive closed-door session for private fund compliance managers to meet with peers in the industry to discuss the most pressing challenges having an impact on their role and responsibilities.



## **Early access to the platform**

Access the virtual platform two weeks prior to the event; schedule meetings with fellow attendees, and create your own agenda.



## **On demand access**

Receive access to select sessions and continue the conversation with attendees up to one year post event anytime, anywhere.

# Networking **opportunities**



## **Customize your profile**

Customize your profile based on firm type, AUM, areas of interest, etc. By doing so, attendees can better search and filter through the attendee list based on the criteria that matches their interests.



## **"Want-to-meet" list**

Add fellow attendees to your "want to- meet" list and prioritize your list based on who you want to meet. Keep all attendees you are interested in meeting in one place.



## **Arrange video meetings**

Setup private 1-on-1 or group video meetings anytime during the event. Begin scheduling meetings when the platform opens 2 weeks prior to the event.



## **Send private messages**

Send private messages directly to attendees. Make connections with your peers and catchup with colleagues through the event platform.



# Meet our speakers

[View all speakers ↗](#)



**Dominick Barbieri**

Associate General Counsel  
and Deputy  
Chief Compliance Officer  
**Palladium Equity Partners, LLC**



**Kevin M. Bloss**

Associate General Counsel  
**CarVal Investors**



**Jacob Comer**

General Counsel and Chief  
Compliance Officer  
**NovaQuest Capital  
Management**



**Jacqueline Giammarco**

Managing Director and Chief  
Compliance Officer  
**Stone Point Capital LLC**



**Shauna Harrison**

Director, Compliance -  
PGIM Private Capital  
**Prudential Private  
Capital Group**



**Miki Kamijyo**

General Counsel  
**Asana Partners**



**Alex Labowitz**

Chief Legal &  
Compliance Officer  
**Cadre**



**Nadir Nurmohamed**

General Counsel and Chief  
Compliance Officer  
**Searchlight Capital**

# Meet our speakers

[View all speakers ↻](#)



**Kelly Pettit**  
Chief  
Compliance Officer  
**General Atlantic**



**Andrew W. Petri**  
Chief Financial Officer  
and Chief  
Compliance Officer  
**Pfingsten Partners**



**Arthur Price**  
Managing Director and  
Chief Compliance Officer  
**Thomas H. Lee Partners,  
L.P.**



**Kevin Power**  
Head of Compliance  
**Pantheon Ventures (US)  
L.P.**



**Abrielle Rosenthal**  
Managing Director, COO  
and co-Chief Human  
Resources Officer  
**TowerBrook Capital  
Partners L.P.**



**Daren Schneider**  
Chief Financial Officer  
and Chief  
Compliance Officer  
**JLL Partners, LLC**



**Jason S. Scofield**  
Chief Compliance  
Officer  
**Audax Management  
Company, LLC**



**David A. Smolen**  
Managing Director,  
General Counsel & Chief  
Compliance Officer  
**GI Partners**



**Steven Spencer**  
Partner and General  
Counsel  
**Siris Capital**



**Amelia Stoj**  
Chief Compliance  
Officer & Assistant  
General Counsel  
**Foresite Capital**



# Agenda highlights

[View full agenda ↗](#)



- ✓ What private fund compliance managers need to know about the new Biden administration.
- ✓ Implementation & oversight procedures for ESG compliance.
- ✓ Key cybersecurity considerations and how to mitigate the impact of a cyber event.
- ✓ Exclusive closed-door Think Tank Session for private fund compliance managers to meet with peers in the industry to discuss the most pressing challenges having an impact on their role and responsibilities.
- ✓ Unique challenges for those with dual positions CCO/CFO/COO/GC.

# Sponsors

[View all sponsors ↗](#)

## Sponsors



### Supporting association



### Host publication



### Media partners



For exclusive sponsorship packages, contact **Cristiana Crocco** at [cristiana.c@peimedia.com](mailto:cristiana.c@peimedia.com) or call **+1 646 921 0923**

# Pricing and registration

Live and on-demand content, exclusive networking opportunities, and much more from wherever you are.

Secure your place ↻

	Price	
General delegate	<b>\$1,695</b> (Preferred price ends April 16) \$1,795 (Full price)	General delegates are in-house compliance executives of private equity, venture capital & fund of funds.
Service provider	\$2,495	A service provider is any professional services organization which provides advisory service & technology solutions to the private equity industry.
Institutional investor	Complimentary*	*subject to approval
<b>Contact us</b>		
For program information: <b>Kellie Green</b> kellie.g@peimedia.com +1 212 645 1919	For sponsorship opportunities: <b>Cristiana Crocco</b> cristiana.c@peimedia.com +1 646 921 0923	For registration questions: <b>Customer Services</b> regny@peimedia.com +1 212 633 1073