

Private Fund Compliance Fall Forum

Virtual Experience 2021

November 9th-10th, 2021
Eastern Standard Time

Program Agenda Day 1

- 10:30-11:00 **Women's Networking Roundtable**
- Speakers:**
Marian Fowler, Partner, Investment Funds Regulatory Solutions Group, Kirkland & Ellis
- 11:00 - 11:20 **PEI welcome**
- Speaker:**
Seth Kerker, PEI
- 11:25 - 11:55 **SEC's Opening Keynote Interview**
- Speakers:**
Jennifer Conwell, Senior Member, Private Funds Unit, Securities and Exchange Commission.
Jennifer Duggins, Assistant Director - Co-Head Private Funds Unit, U.S. Securities and Exchange Commission
- 12:00 - 12:45 **The SEC's Climate and ESG Task Force: Preparing for Increased Scrutiny**
- Speakers:**
Jason Brown, Partner, Ropes & Gray
Eugenie M. Cesar-Fabian, Partner/General Counsel/CCO, Palladium Equity Partners
Bruce Karpati, Partner, Global Chief Compliance Officer & Counsel, KKR
Andrew Prodromos, Deputy General Counsel and Chief Compliance Officer, Insight Partners
- 12:50 - 1:30 **Private Fund Compliance Data Privacy & Governance**
- Speakers:**
Kelly Pettit, Chief Compliance Officer and Associate General Counsel, General Atlantic
Joel Wattenbarger, Partner, Ropes & Gray
- 1:35 - 2:15 **High Risk Area: The Handling of Material Non-Public Information**
- Speakers:**
Norm Champ, Partner, Kirkland & Ellis
Patty Nykodym, Chief Financial Officer/Chief Compliance Officer, FFL Partners
Steven Spencer, Partner & General Counsel, Siris Capital
Kenneth Warren, Chief Financial Officer, Littlejohn & Co.
- 2:15 - 3:15 **Networking & Lunch Break**

- 3:15 - 4:00 **Technology tips: Maintaining Consistency, Clarity, & Documentation in Your Compliance Program**
- Speakers:**
Miles Chan, VP/GM of Insight, InCloud Counsel
- 4:05 - 4:50 **Private Equity social media: Dos and Don'ts**
- Speakers:**
Jennifer Boyce, General Counsel and COO, Riverside Company
Laura Ferrell, Partner, Latham Watkins
Kelly Riera, Chief Compliance Officer, TA Associates
- 4:55 - 5:50 **Regulatory & Compliance Considerations During Fundraising**
- Speakers:**
Gregory Hegerich, Head of Compliance, North America Private Investments & Real Estate, Corporate, Bain Capital
Meaghan Kelly, Partner, Simpson Thacher & Bartlett
Ross Oliver, Partner & General Counsel, Crestview Partners
Sanjay Sanghooe, COO, CFO and CCO, Delos Capital
- 5:50 **Close day 1**

Program Agenda Day 2:

- 11:00 - 12:00 **Think Tank Session**
- *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*
- 12:00 - 12:10 **PEI Welcome**
- 12:15 - 12:45 **Opening Keynote Panel/Interview - Institutional Investors: The LP Perspective**
- 12:50 - 1:35 **Asset and Liability Management**
- 1:35 - 2:35 **Networking & Lunch Break**
- 2:35 - 3:15 **Ensuring a Smooth LIBOR Transition**
- 3:20 - 4:00 **Small Firms: What Are the Unique Issues they Face with Compliance**
- Speakers:**
Julie Bender, Vice President, Chief Financial Officer and Chief Compliance Officer, Frontenac Company
- 4:00 **Close day 2**