

# Private Fund Compliance Forum

May 23-24, 2023  
Convene, 117 West 46th Street, New York

## Private Fund Compliance Forum 2023 Agenda

### Confirmed Speakers

#### Keynote speakers

**Sarah G. ten Siethoff**, Deputy Director, Associate Director - Rulemaking Office, Division of Investment Management,  
**Securities & Exchange Commission**

**Bruce Karpati**, Partner, Global Chief Compliance Officer, **KKR**

**David Stern**, Managing Director, Chief Information Security Officer, **KKR**

#### Conference Chairs

**Gregory Hegerich**, Head of Compliance, North America Private Investments & Real Estate, **Bain Capital**

**Jacob Comer**, General Counsel and CCO, **NovaQuest Capital**

#### Speakers

**Lindsay Antonello**, Managing Director and Deputy Chief Compliance Officer, **TPG**

**Carl Ayers**, Publisher, **Regulatory Compliance Watch**

**Jennifer Banzaca**, Senior Reporter, **Private Funds CFO**

**Shachi Bhatt**, Chief Compliance Officer, **NYC Comptroller's Office - Bureau of Asset Management**

**Graham Bippart**, Editor, **Private Funds CFO**

**Laure Brasch**, Managing Director and Chief Compliance Officer, **Franklin Park**

**Jason Brown**, Partner, **Ropes & Gray**

**Sarah Conde**, General Counsel, Managing Director & Chief Compliance Officer, **Providence Equity Partners**

**Sarah Curran**, Director of Enterprise Risk and CCO, Private Investments, **Wellington Management Company**

**Eric DiFiore**, Chief Compliance Officer, **TZP Group**

**Carolyn Drayer-Greenwalt**, Chief Compliance Officer, **Patient Square Capital**

**Austin Ericson**, Legal Counsel and Chief Compliance Officer, **Star Mountain Capital**

**Laura Ferrell**, Partner, **Latham & Watkins LLP**

**James Gaven**, General Counsel and Chief Compliance Officer, **SK Capital**

**Jacqueline Giammarco**, Managing Director and the Chief Compliance Officer, **Stone Point Capital**

**Andrew Goldberg**, Partner, General Counsel, **Leonard Green & Partners**

**Samantha Katz**, General Counsel & Chief Compliance Officer, **Argand Partners**

**James Kerr**, Chief Compliance Officer, Chief Risk Officer, and Senior Counsel, **Bow River Capital**

**Ryan Krebs**, Head of Client Success, **Drawbridge**

**Noah Leichtling**, Partner, General Counsel, **Gamut Capital**

**Jennifer Lin**, Chief Compliance Officer, **Fundamental Advisors**

**Matthew Liposky**, Chief Investment Operating Officer, **Massachusetts Pension Reserves Investment  
Management Board**

**Christy Lukach**, Chief Financial Officer & Chief Compliance Officer, **Brightstar Capital Partners**

**Renata Malavazzi**, General Counsel and Chief Compliance Officer, **Paine Schwartz Partners**

**Mark Mangion**, Chief Compliance Officer & Chief Audit Executive, **Faropoint**

**Paul Marnoto**, General Counsel, **Parthenon Capital Partners**



For program information:  
**Nikki Gale**  
[nikki.g@pei.group](mailto:nikki.g@pei.group)

For sponsorship opportunities:  
**Josh Stoller**  
[joshua.s@pei.group](mailto:joshua.s@pei.group)

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**Customer Services**  
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Private Funds  
CFO

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**Maryellen Maurer**, Senior Securities Compliance Examiner - Private Funds Unit, **U.S. Securities & Exchange Commission**

**Martha Mensoian**, General Counsel & Chief Compliance Officer, **Ethos Capital**

**Alicia Novak**, Senior Vice President, Deputy Chief Compliance Officer, **HarbourVest Partners**

**Patty Nykodym**, Chief Financial Officer & Chief Compliance Officer, **FFL Partners**

**Mike Pappacena**, Partner – Cybersecurity and Risk, **ACA Group**

**Alpa Patel**, Partner, **Kirkland & Ellis LLP**

**Kelly Pettit**, Managing Director, Chief Compliance Officer, Associate General Counsel, **General Atlantic**

**James Pickel**, General Counsel & Chief Compliance Officer, **Lindsay Goldberg**

**Andrew Prodromos**, Deputy General Counsel and Chief Compliance Officer, **Insight Partners**

**Cassandra Rizzo**, Director, Compliance, **The Riverside Company**

**Sara Robinson Dasse**, Partner & Chief Compliance Officer, **Adams Street Partners**

**Ellen Rosenberg**, Partner, General Counsel & Chief Compliance Officer, **GreyLion Partners LP**

**Nabil Sabki**, Partner, **Kirkland & Ellis LLP**

**Snehal Shah**, Reporter, New Private Markets, **PEI Group**

**Usman Shakeel**, General Counsel and Chief Compliance Officer, **Wind Point Partners**

**Jeff Smith**, Senior Director, **Ontra**

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

**Steven Spencer**, Partner and Chief Legal Officer, **Siris Capital**

**Amanda Tooker**, Practice Group Leader – Risk (Financial Services), **DealCloud**

**Michelle Vaughn**, Chief Compliance Officer, **LLR Partners**

**Joel Wattenbarger**, Partner, **Ropes & Gray**

**Drew Weilbacher**, Chief Compliance Officer, **TSG Consumer**



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**Day 1:** May 23, 2023

**8:30** Registration – continental breakfast

**9:30** PEI & chair's welcome

**Gregory Hegerich**, Head of Compliance, North America Private Investments & Real Estate, **Bain Capital**

**09:45** Evolution and expectations of the CCO

CPE available – Business Management & Organization

- Navigating an increasing workload brought on by increased regulatory concerns
- Ensuring CCOs have a seat at the leadership table
- Identifying resources to complete tasks
- Are multifunctional CCOs here to stay?
- The face of compliance: uncovering liability of the CCO
- Looking ahead: what's on the horizon for CCO responsibilities?

**Panelists**

**Carolyn Drayer-Greenwalt**, Chief Compliance Officer, **Patient Square Capital**

**Nabil Sabki**, Partner, Kirkland & Ellis LLP

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

**Moderator**

**Kelly Pettit**, Managing Director, Chief Compliance Officer, Associate General Counsel, **General Atlantic**

**10:30** How are CCOs grasping technology as firms face regulatory demands?

CPE available – Information Technology

CLE available – Intellectual Property – Computers & telecommunications

- Enlisting third party support to navigate regulatory tasks
- How are firms utilizing captured data to improve compliance programs?
- Creating standardization on managing compliance efforts across the firm through technology adoption
- Using technology tools to scale and grow compliance efforts
  - Programs available to organize compliance responsibilities

**Panelists**



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**Austin Ericson**, Legal Counsel and Chief Compliance Officer, **Star Mountain Capital**  
**Christy Lukach**, Chief Financial Officer & Chief Compliance Officer, **Brightstar Capital Partners**

**Moderator**

**Jeff Smith**, Senior Director, **Ontra**

**11:15**      **Networking coffee break**

**11:45**      **Staying abreast of cyber risks to protect the firm**

**CPE available – Information Technology**

- Working alongside internal and external cyber partners to remain compliant
- Interpreting recent regulatory risk alerts and SEC priorities for safeguarding the firm and its investors
- Surveilling 3rd party app and vendors/communication to ensure they are compliant with firm's policies and procedures
- Coordinating with IT and cyber teams to ensure substantial protections are in place
- Conducting cyber due diligence on external parties (vendors, software)
- Addressing security concerns associated with internal and external communication (use of personal devices, instant/text messaging platforms, video communications, etc.)

**Panelists**

**Laure Brasch**, Managing Director and Chief Compliance Officer, **Franklin Park**

**Eric DiFiore**, Chief Compliance Officer, **TZP Group**

**Ellen Rosenberg**, Partner, General Counsel & Chief Compliance Officer, **GreyLion Partners LP**

**Moderator**

**Mike Pappacena**, Partner – Cybersecurity and Risk, **ACA Global**

**12:30**      **Avoiding surprises: uncovering SEC exam priorities and processes for 2023**

**CPE available – Regulatory Ethics**

**CLE available – Government Law – Administrative Process**

- Expectations from start to finish of the exam process – any new actions from the current Commission on private fund advisers?
- What items are being referred to enforcement?
- Will the SEC still write rules based on exam findings?
- Conducting SEC exams post-pandemic
- The correlation between risk alerts and exam priorities

**Panelists**

**James Kerr**, Chief Compliance Officer, Chief Risk Officer, and Senior Counsel, **Bow River Capital**

**Maryellen Maurer**, Senior Securities Compliance Examiner - Private Funds Unit, **U.S. Securities & Exchange Commission**



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**Steven Spencer**, Partner and Chief Legal Officer, **Siris Capital**

**Moderator**  
**Jason Brown**, Partner, **Ropes & Gray**

**1:15**      **Networking luncheon**

2:15 – 3:00	Breakout sessions I
<p><b>Track A</b></p> <p><b>The institutionalization of ESG</b></p> <p><b>CPE available – Behavioral Ethics</b></p> <ul style="list-style-type: none"><li>Ensuring firms have the proper documentation in place to showcase their ESG efforts</li><li>Items to include in LP reporting</li><li>What to do when firms are not an impact or ESG fund but have developed ESG policies?</li><li>The potential impact of the SEC’s focus on ESG</li><li>Creating ESG committees or advisory boards</li><li>Designing policies and procedures unique to ESG efforts<ul style="list-style-type: none"><li>Ensuring policies and procedures adhere to various geographical regions</li></ul></li></ul> <p><b>Panelists</b></p> <p><b>Lindsay Antoniello</b>, Managing Director and Deputy Chief Compliance Officer, <b>TPG</b></p> <p><b>Sarah Curran</b>, Director of Enterprise Risk and CCO, Private Investments, <b>Wellington Management Company</b></p> <p><b>James Gaven</b>, General Counsel and Chief Compliance Officer, <b>SK Capital</b></p> <p><b>Jennifer Lin</b>, Chief Compliance Officer, <b>Fundamental Advisors</b></p> <p><b>Renata Malavazzi</b>, General Counsel and Chief Compliance Officer, <b>Paine Schwartz Partners</b></p> <p><b>Moderator</b></p> <p><b>Snehal Shah</b>, Reporter, New Private Markets, <b>PEI Group</b></p>	<p><b>Track B</b></p> <p><b>Developing internal and external compliant communication practices</b></p> <p><b>CPE available – Communications &amp; Marketing</b> <b>CLE available – Intellectual Property - Computers &amp; telecommunications</b></p> <ul style="list-style-type: none"><li>Monitoring work approved communication platforms across all geographies<ul style="list-style-type: none"><li>What apps and platforms are deemed safe for conveying sensitive information?</li></ul></li><li>Safely retaining internal and external communication</li><li>SEC prep: How are firms documenting communication violations?</li><li>Sign of the times: Do current Commission rules on communication practices and record keeping align with the reality of today’s workplace?</li></ul> <p><b>Panelists</b></p> <p><b>Jacqueline Giammarco</b>, Managing Director and the Chief Compliance Officer, <b>Stone Point Capital</b></p> <p><b>Andrew Goldberg</b>, Partner, General Counsel, <b>Leonard Green &amp; Partners</b></p> <p><b>Samantha Katz</b>, General Counsel &amp; Chief Compliance Officer, <b>Argand Partners</b></p> <p><b>James Pickel</b>, General Counsel &amp; Chief Compliance Officer, <b>Lindsay Goldberg</b></p> <p><b>Moderator</b></p> <p><b>Laura Ferrell</b>, Partner, <b>Latham &amp; Watkins LLP</b></p>



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<b>3:05 – 3:50</b> <b>Think tanks I</b>	
<p><b>Think tank A (GPs only)</b> <b>Developing a mighty compliance program to withstand demand in an evolving industry</b></p> <p><b>CPE available – Business Management &amp; Organization</b></p> <ul style="list-style-type: none"><li>• Instilling and maintaining an internal “culture of compliance”</li><li>• Reviewing compliance policies and procedures to ensure the firm is up to date</li><li>• CCO involvement in portfolio company compliance</li><li>• Employee compliance training – breaking it down into smaller sections or hosting one large annual training?</li><li>• The involvement of compliance into daily decision making</li><li>• Deciding to invest resources to expand compliance teams to navigate workload (in-house or external)</li></ul> <p><b>Facilitator</b> <b>Alicia Novak</b>, Senior Vice President, Deputy Chief Compliance Officer, <b>HarbourVest Partners</b></p>	<p><b>Think tank B (SPs only)</b> <b>Proposal breakdown: navigating and preparing clients for SEC rules on the horizon</b></p> <p><b>CPE available – Business Management &amp; Organization</b></p> <ul style="list-style-type: none"><li>• How is the current pace of proposed rulemaking changing the industry?</li><li>• Methods for educating clients on steps to take when complying to new rules</li><li>• What can your organizations do now to get ahead of preparing clients for rule implementations?</li><li>• Will proposed outsourcing rule change vendor/client relationships?</li></ul> <p><b>Facilitator</b> <b>Graham Bippart</b>, Editor, <b>Private Funds CFO</b></p>

**3:50**    **Networking coffee break**

**4:15**    **Keynote interview**

**CPE available – Regulatory Ethics**

**Sarah G. ten Siethoff**, Deputy Director, Associate Director - Rulemaking Office, Division of Investment Management, **Securities & Exchange Commission**



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Moderator: **Jennifer Banzaca**, Senior Reporter, **Private Funds CFO**

**5:05**      **Cocktail reception and end of day one**

**Day 2:**      **May 24, 2023**

**8:00**      **Breakfast**  
**Kirkland and Ellis's Breakfast & Women's Networking Roundtable**

**Facilitator**  
**Alpa Patel**, Partner, **Kirkland & Ellis LLP**

**9:00 – 9:50**      **Think tanks II**

**Think tank A | CCO think tank (invite only)**

**CPE available – Regulatory Ethics**

*Designed to facilitate candid discussion, this closed-door session for CCOs targets the issues and challenges impacting your firm. Attendees can benchmark ideas and share best practices to help you gain solutions for common concerns facing your office.*

**Facilitators**  
**Patty Nykodym**, Chief Financial Officer & Chief Compliance Officer, **FFL Partners**  
**Usman Shakeel**, General Counsel and Chief Compliance Officer, **Wind Point Partners**

**Think tank B | Senior Compliance Professionals (GPs only)**

**CPE available – Regulatory Ethics**

*Designed to facilitate candid discussion, this closed-door session for senior compliance professionals targets the issues and challenges impacting your firm. Attendees can benchmark ideas and share best practices to help you gain solutions for common concerns facing your office.*

**Facilitators**  
**Cassandra Rizzo**, Director, Compliance, **The Riverside Company**

**9:55**      **Chairman's opening remarks**  
**Jacob Comer**, General Counsel and CCO, **NovaQuest Capital**



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## 10:00 Lessons learned: effects of the Marketing Rule implementation

CPE available – Regulatory Ethics

CLE – Ethics – Legal Advertising

- Checking to see if your policies and procedures match up with the new standards
- Working alongside IR and deal teams to accurately present the firm
- Avoiding early deficiencies in Marketing rule driven SEC exams
- Methods of tracking and managing advertising records
- How are firms showcasing and calculating net performance?

### Panelists

**Noah Leichtling**, Partner, General Counsel, **Gamut Capital**

**Andrew Prodromos**, Deputy General Counsel and Chief Compliance Officer, **Insight Partners**

**Michelle Vaughn**, Chief Compliance Officer, **LLR Partners**

### Moderator

**Joel Wattenbarger**, Partner, **Ropes & Gray**

## 10:45 Overseeing risk sensitivity in private markets

CPE available – Regulatory Ethics

CLE available – Ethics – Ethics Technology

- Identifying, avoiding, and mitigating conflicts of interest
- How are firms preventing the misuse of MNPI?
- The CCO responsibility in portfolio company risks
- Ensuring the firm has a grasp on protecting data and sensitive information
- Taking a proactive role in non-regulatory related risks

### Panelists

**Ryan Krebs**, Head of Client Success, **Drawbridge**

**Mark Mangion**, Chief Compliance Officer & Chief Audit Executive, **Faropoint**

**Martha Mensoian**, General Counsel & Chief Compliance Officer, **Ethos Capital**

**Drew Weilbacher**, Chief Compliance Officer, **TSG Consumer**

### Moderator

**Amanda Tooker**, Practice Group Leader – Risk (Financial Services), **DealCloud**



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11:30      Networking break

## 12:00      Know your customer – understanding what LPs want in firm compliance

CPE available – Regulatory Ethics

CLE available – Skills Training – Communications

- Key attributes of a standout compliance program
- The standardization for reporting
- Navigating due diligence questionnaires and requests
- How to ensure trust and transparency between GPs and LPs?
  - What do LPs wish for private fund advisers to share? (i.e., deficiency letters, examinations, audits, etc.)
- Fundraising etiquette: approaching LP communication during the investment process

### Panelists

**Shachi Bhatt**, Chief Compliance Officer, **NYC Comptroller's Office - Bureau of Asset Management**

**Matthew Liposky**, Chief Investment Operating Officer, **Massachusetts Pension Reserves Investment Management Board**

**Paul Marnoto**, General Counsel, **Parthenon Capital Partners**

**Sara Robinson Dasse**, Partner & Chief Compliance Officer, **Adams Street Partners**

### Moderator

**Carl Ayers**, Publisher, **Regulatory Compliance Watch**

## 12:45      Keynote discussion

CPE available – Information Technology

**Bruce Karpati**, Partner, Global Chief Compliance Officer, **KKR**

**David Stern**, Managing Director, Chief Information Security Officer, **KKR**

1:30      Luncheon and end of conference



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