

Private Funds
CFO

Private Fund Compliance Forum

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

Exploring the role of the private funds CCO

Attendees earn up to 6 CLE and 10 CPE credits

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privatefundscfo.com/private-fund-compliance-forum/



*This is the most
informative
conference I
do every year.*

Gabriel Willey
PCCP

PEI

Start the conversation with KKR leaders



Bruce Karpati
Partner & Global Chief
Compliance Officer
KKR

“ Vendor risk management is critical these days.

Bruce Karpati gave his thoughts on hot topics ahead of the Forum.

What is the biggest cybersecurity threat to private markets in 2023 and how are you overcoming it in your role?

“You can only control those vulnerabilities that you know about. Third parties and vendors can present unknown risks, so you need to do your due diligence and understand those factors before using them. Vendor risk management is critical these days; if you don’t pay attention, hackers and regulators certainly will.”

What are your top takeaways from the 2023 SEC exam priorities on technology and cybersecurity?

“The exam staff is clearly focused on firms’ policies and procedures and governance practices as it relates to cyber incidents. This should highlight for registrants that they must be prepared with a practical set of policies and procedures and a governance mechanism for dealing with incidents, in addition to the importance of testing your program with real-life tabletop exercises.”

Start the conversation with KKR leaders



David Stern

Managing Director, Chief
Information Security Officer

KKR

David Stern gave his thoughts on hot topics ahead of the Forum

What is the biggest cybersecurity threat to private markets in 2023 and how are you overcoming it in your role?

"The speed at which new vulnerabilities are reported and then acted upon by adversaries has gone from months to weeks to days. Sometimes hours. It is vital that we focus on detection, incident preparedness and response. Significant improvements in these spaces can make a big difference to a Firm's security."

What's the number one area where you think firms overlook their risks?

"The PE industry uses a lot of outsourced services. Important information is regularly interchanged, via email, between internal teams and external ones. These outsourced services have become so common the industry must ensure that these partners are capable and willing to do what is needed to protect their data.

This issue comes up in nearly every conversation that I'm having in 2023."

“ It is vital that we focus on detection, incident preparedness and response.

Hear directly from the SEC on new initiatives

Join us for discussions with the SEC covering topics including:

- » 2023 exam priorities
- » The development of new rules
- » How to navigate future initiatives
- » New enforcement actions
- » And more...



Sarah G. ten Siethoff

Deputy Director, Associate Director -
Rulemaking Office, Division of Investment
Management

**Securities and Exchange
Commission**



Maryellen Maurer

Senior Securities Compliance Examiner -
Private Funds Unit Management

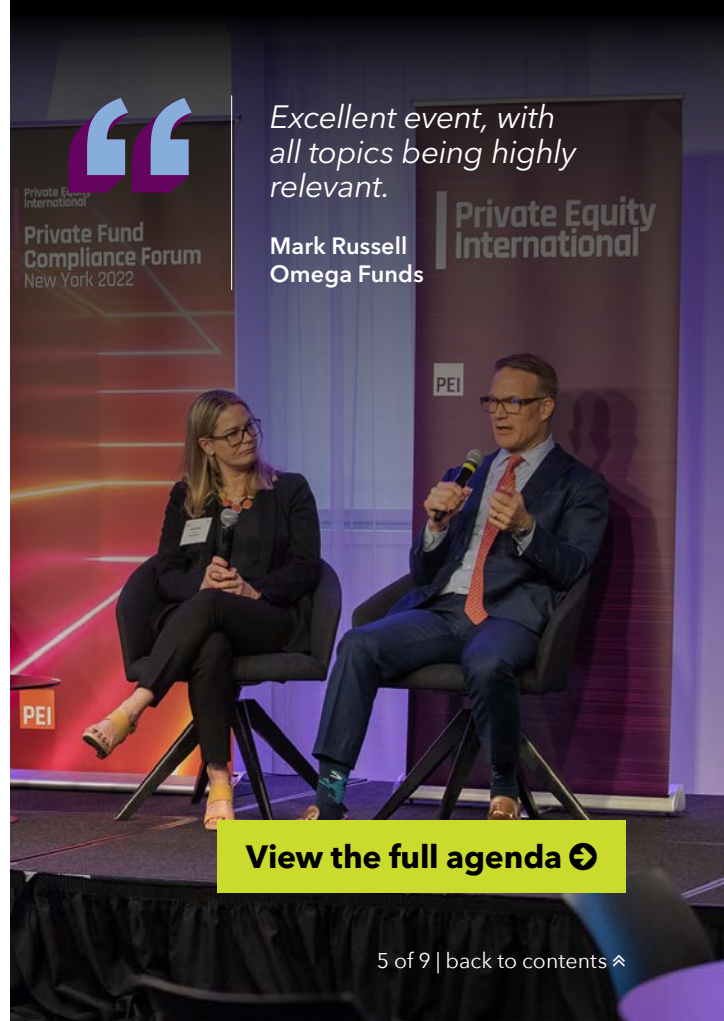
**Securities and Exchange
Commission**

Explore the most pressing topics in the compliance space

The agenda is carefully curated to keep you up to date on the **latest regulations and enforcement actions from the SEC**, emerging trends in compliance, and much more. Attendees can earn up to 6 CLE and 10 CPE credits.

Topics covered include:

- » Effects of the Marketing Rule
- » Expectations and evolution of the CCO role
- » Managing cybersecurity threats
- » Uncovering SEC exam priorities
- » ESG and climate related regulations
- » Business continuity planning
- » Managing technology and external providers from a compliance standpoint



[View the full agenda ➔](#)

Hear from leaders in private market compliance



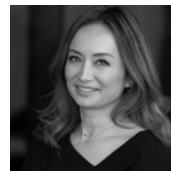
Jacob Comer
General Counsel and CCO
NovaQuest Capital



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



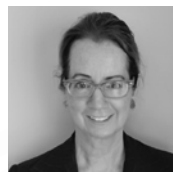
Sarah Curran
Director of Enterprise Risk and CCO,
Private Investments
**Wellington Management
Company**



Carolyn Drayer-Greenwalt
Chief Compliance Officer
Patient Square Capital



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



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



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



Arthur Price
Managing Director, Chief
Compliance Officer and Assistant
General Counsel
Thomas H. Lee Partners

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Confirmed attendees include:

- » ACON Investments
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- » Argand
- » Atlantic Street Capital Management
- » Bain Capital Investors
- » Bow River Asset Management
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- » GI Partners
- » Greylion Capital
- » HarbourVest Partners
- » Insight Partners
- » JMI Management
- » Kainos Capital
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- » Leonard Green & Partners
- » Levine Leichtman Capital Partners
- » Lindsay Goldberg
- » NovaQuest Capital Management
- » Old Ironsides Energy
- » Paine Schwartz Partners
- » Parthenon Capital
- » Providence Equity Partners
- » Rockbridge Capital
- » Siris Capital Group
- » Star Mountain Capital
- » Stepstone Conversus
- » The Vistria Group
- » Thomas H. Lee Partners
- » Trilantic North America
- » TSG Consumer Partners
- » TZP Group
- » Wellington Management
- » Whitehorse Liquidity Partners
- » Wind Point Partners
- » And many more!



The conference was extremely valuable and I took a lot of action items applicable to our firm.

Ashley Sherman
Frontier Growth



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Bring your team and enjoy significant discounts! For more information, contact Anna Dorokhin at anna.d@pei.group.



One of my go-to events each year due to the timely program content and excellent panelists.

Liz Staley
Leerink Capital Partners

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