

Private Fund Compliance Regulatory Forum

Transform your compliance processes alongside the SEC's leadership

SEC leaders take the stage to discuss key regulatory developments for 2025 and beyond, including:

- This year's SEC examination priorities
- Strategies for avoiding common private fund violations
- Reducing the likelihood of triggering an enforcement referral



Daniel Faigus
Senior Specialized
Examiner – Private Funds

Hester Peirce
Commissioner

Corey Schuster
Co-Chief, Asset
Management Unit

Keeping you on top of what's to come

The forum has established a reputation for equipping its attendees to tackle emerging trends and challenges.



Through engaging panels, think tanks, and keynote discussions you'll learn how to:

- Achieve seamless compliance with new AML requirements
- Future-proof your firm's adherence with SEC marketing rules
- Communicate tariff-related risks transparently with investors



Connect with **the most influential compliance and operations decision-makers in private markets**



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



Doug Cornelius
Chief Compliance Officer
**Beacon Capital
Partners**



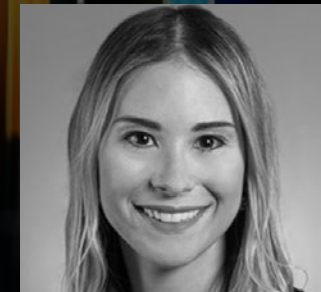
Letti de Little
Chief Compliance Officer
**Grain
Management**



Shauna Harrison
Executive Director, Compliance
GCM Grosvenor



Jemima John
VP, Compliance
**Shamrock Capital
Advisors**



Samantha Katz
General Counsel &
Chief Compliance Officer
Argand Partners



Kevin Rooney
Managing Director, Senior Compliance
Officer, and Associate General Counsel
Cerberus Capital Management



Jason Scoffield
Chief Compliance Officer
**Audax Management
Company**

**View the
full agenda
for more**



Private Fund Compliance Regulatory Forum

Private Fund Compliance Regulatory Forum 2025 Agenda

May 21-22, 2025

JW Marriott, Washington, DC

Confirmed speakers include:

Keynotes:

- Daniel Faigus, Senior Specialized Examiner – Private Fund, U.S. Securities and Exchange Commission
- Corey Schuster, Co-Chief, Asset Management Unit, Division of Enforcement at U.S. Securities and Exchange Commission
- Hester Peirce, Commissioner, U.S. Securities and Exchange Commission

Speakers:

- Michael Altschuler, Partner & General Counsel, Comvest Partners
- Brian Anderson, Head of IR Network and Events, PEI Group
- Adan Araujo, Senior Managing Director and Chief Compliance Officer, Jasper Ridge Partners
- Robert Baker, Managing Director, Co-Lead of Mock Examination Team, ACA Group
- Christopher Banks, Head of Compliance (Americas), Pantheon Ventures
- Shachi Bhatt, Chief Compliance Officer, Bureau of Asset Management, NYC Office of the Comptroller
- Matthew Bloom, General Counsel / Legal and Compliance, Viking Global Investors
- Gerald Alain P Chen-Young, Chief Investment Officer, NPPFA
- Doug Chiciak, Chief Compliance Officer, Lightyear Capital
- Sarah Christensen, Deputy Chief Compliance Officer, Bow River Capital
- Sarah N. Conde, General Counsel, Managing Director & Chief Compliance Officer, Providence Equity Partners
- Doug Cornelius, Chief Compliance Officer, Beacon Capital Partners
- Mederic Daigneault, VP, Private Fund Advisory Consulting Regulatory Services, COMPLY
- Letti de Little, Chief Compliance Officer, Grain Management
- Chris Fadeff, Chief Compliance Officer & Vice President, Operations, Galvanize Climate Solutions
- Adam Felsenthal, General Counsel and Chief Compliance Officer, Great Point Partners
- Steven Felsenthal, General Counsel & Chief Compliance Officer, Millburn Ridgefield Corporation
- Laura Frattaroli, Deputy CCO, General Atlantic
- Melissa Gainor, Partner - Investment Funds Practice Group, Kirkland & Ellis
- James Gaven, General Counsel & Chief Compliance Officer, SK Capital Partners
- Daniel Gewanter, General Counsel & Chief Compliance Officer, Kohlberg & Company



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- Aaron Gilbride, Partner, Latham & Watkins
- Brendan Hanifin, Partner, Ropes & Gray
- Shauna Harrison, Executive Director, Compliance, GCM Grosvenor
- Steve Hatfield, Co-Head, Global Sustainability, Carlyle
- Devin Holden, Chief Compliance Officer, NovaQuest Capital Management
- Nha-Uyen Hua, Vice President, Compliance, Carlyle Aviation Partners
- Jemima John, VP, Compliance, Shamrock Capital Advisors
- Daniel Kahl, Partner - Investment Funds Practice Group, Kirkland & Ellis
- Samantha Katz, General Counsel and Chief Compliance Officer, Argand Partners
- Brian Kesselman, Founder & CRO, Skematic
- Anne Kolton, Chief Sustainability Officer, SK Capital Partners
- Allison Miyake, Controller & Chief Compliance Officer, Velocity Capital Management
- Nicole Krea, Partner, Ropes & Gray
- John Marshall, Partner, WilliamsMarston
- Robert McGrail, Head of Legal and Compliance, DUMAC, Inc.
- Joseph Morrissey, Partner-Investment Management Group, Seward & Kissel
- Wendy Ng, CCO, Antin Infrastructure Partners
- Chase Paxton, Director of Finance & Valuations, NGP Energy Capital Management
- Neal Prunier, Managing Director, Industry Affairs, Institutional Limited Partners Association
- Kevin Rooney, Managing Director, Senior Compliance Officer, and Associate General Counsel, Cerberus Capital Management
- Jason Scofield, Chief Compliance Officer, Audax Group
- Usman Shakeel, General Counsel and CCO, Wind Point Partners
- Todd Slattery, COO, Pantera
- David Smolen, Managing Director, General Counsel & Chief Compliance Officer, GI Partners
- Allison Soren, Chief Compliance Officer, GTIS Partners
- David Tubb, Chief Compliance Officer, NGP Energy Capital Management
- Ryan Toteja, Principal & Associate General Counsel, Platinum Equity
- Devi Vairavan, Director of Compliance, WM Partners
- Jamie Lynn Walter, Partner, Latham & Watkins
- Drew Weilbacher, Chief Compliance Officer, Managing Director, TSG Consumer

Day 1 May 21



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- 8:30** **Registration – continental breakfast** **Kirkland & Ellis: Women’s Welcome**
Breakfast - Compliance in a time of regulatory uncertainty

Co-Facilitator: Melissa Gainor, Partner - Investment Funds Practice Group, Kirkland & Ellis
Co-Facilitator: Wendy Ng, CCO, Antin Infrastructure Partners
- 9:30** **Chair’s opening remarks:** David Smolen, Managing Director, General Counsel & Chief Compliance Officer, GI Partners
- 9:45-10:35** **Opening Keynote: Hester Peirce, Commissioner, U.S. Securities and Exchange Commission**

Join Commissioner Hester M. Peirce of the U.S. Securities and Exchange Commission for an insightful keynote address. Commissioner Peirce will provide valuable guidance to private funds as they plan for the future and anticipate the regulatory developments of 2025 and beyond.

Interviewed by Nicole Krea, Partner, Ropes & Gray
- 10:35-11:25** **Adapting to new AML requirements: the future of private funds under FinCEN**
 - Developing policies and ensuring they are sufficient to meet the requirements
 - Implementation of AML/CFT programs
 - What are some of the specific risk metrics for unique circumstances (products, geographies, etc.)
Moderator: Kevin Rooney, Managing Director, Senior Compliance Officer, and Associate General Counsel, Cerberus Capital Management



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Speaker: Doug Cornelius, Chief Compliance Officer, Beacon Capital Partners

Speaker: Shauna Harrison, Executive Director, Compliance, GCM Grosvenor

Speaker: Brendan Hanifin, Partner, Ropes & Gray

11:25-11:45 Networking coffee break

Breakout panels

11:45-12:35

Track A: Rules | Navigating Tariff and Trade Policy Shifts: Proactive Risk Management

- Staying updated on global trade developments, including tariff changes, trade agreements, and sanctions
- Communicating tariff-related risks transparently to investors
- Impact on cross-border dealmaking

Speaker: Matthew Bloom, General Counsel / Legal and Compliance, Viking Global Investors

Track B: Exams | Valuations: private equity, private debt, real estate, and illiquid assets

- Valuation methodologies for private equity, private debt, real estate, and illiquid assets
- Ensuring accurate financial reporting, investor transparency, and compliance with SEC guidelines
- Key challenges and regulatory considerations for SEC exams

Moderator: Chase Paxton, Director of Finance & Valuations, NGP Energy Capital Management

Speaker: Doug Chiciak, Chief Compliance Officer, Lightyear Capital

Speaker: John Marshall, Partner, WilliamsMarston

Speaker: Devin Holden, Chief Compliance Officer, NovaQuest Capital Management

12:40-1:30

Track A: Rules | Past, present, and future: interpreting and implementing the SEC marketing rules

- Past: challenges and the ambiguity that led to confusion within the industry
- Present: how the rules are being interpreted and enforced today and what

Track B: Exams | Cybersecurity compliance: meeting SEC expectations and protecting data

- Conducting thorough cybersecurity risk assessments to identify potential threats to compliance and regulatory requirement



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are the pain points (for example, presentation of net performance)?

- Future: potential updates or clarifications of the rules and how private funds can minimize risk moving forward

Moderator: Daniel Kahl, Partner - Investment Funds Practice Group, Kirkland & Ellis

Speaker: Jason Scoffield, Chief Compliance Officer, Audax Group

Speaker: Allison Soren, Chief Compliance Officer, GTIS Partners

Speaker: Ryan Toteja, Principal & Associate General Counsel, Platinum Equity

- Implementing data security measures and ensuring the protection of client and fund data
- Developing response procedures that are compliant with legal obligations, including reporting requirements and mitigation efforts

Moderator: Adan Araujo, Senior Managing Director and Chief Compliance Officer, Jasper Ridge Partners

Speaker: Samantha Katz, General Counsel and Chief Compliance Officer, Argand Partners

Speaker: Adam Felsenthal, General Counsel and Chief Compliance Officer, Great Point Partners

Speaker: Devi Vairavan, Director of Compliance, WM Partners

1:30-2:30

Networking luncheon

2:30-3:20

Sustainability at a crossroads: political, economic, and regulatory challenges ahead

- How has the growing backlash against Environmental, Social, and Governance (ESG) criteria impacted the balance between achieving meaningful sustainability outcomes and delivering financial returns
- How has the EU's Sustainable Finance Disclosure Regulation (SFDR) affected U.S. fund managers?
- What role do local regulations, such as California's new ESG laws, play in shaping corporate and investor behavior, and how are businesses adapting to these evolving requirements?
- What are the emerging risks of climate-related litigation, and how might shifts in political leadership post-election affect sustainability practices, policies, and corporate accountability

Moderator: Chris Fadeff, Chief Compliance Officer & Vice President, Operations, Galvanize Climate Solution

Speaker: Letti de Little, Chief Compliance Officer, Grain Management



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Speaker: Michael Altschuler, Partner & General Counsel, Comvest Partners

Speaker: Anne Kolton, Chief Sustainability Officer, SK Capital Partners

Speaker: Steve Hatfield, Co-Head, Global Sustainability, Carlyle

3:20-4:10

Limited partners perspectives: complex dynamics of potential private fund deregulation

- Current regulatory landscape for private funds and the potential for deregulation
- How does the industry need to respond?
- Industry engagement strategies that could foster innovation and maintain industry standards

Moderator: Neal Prunier, Managing Director, Industry Affairs, Institutional Limited Partners Association

Speaker: Robert McGrail, Head of Legal and Compliance, DUMAC, Inc.

Speaker: Gerald Alain P Chen-Young, Chief Investment Officer, NPPFA

Speaker: Christopher Banks, Head of Compliance (Americas), Pantheon Ventures

Speaker: Shachi Bhatt, Chief Compliance Officer, Bureau of Asset Management, NYC Office of the Comptroller

4:10-4:30

Networking coffee break

4:30-5:30

Carousel discussions: Facets of effective compliance programs

A hybrid of the roundtable and think tank formats, groups will share best practices in three areas. Each table will report back to the whole group the key practices in one category.

Processes

People (internal & external)

Technology/Data Management

Facilitator: Brian Anderson, Head of
IR Network and Events, PEI Group

Facilitator: Brian Kesselman, Founder
& CRO, Skematic

5:30

Cocktail reception



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Day 2 May 22

7:30-9:00 **General Breakfast**

8:00-9:00 **Webinar + Workshop: Comprehensive Preparation for SEC Exams**

This dynamic two-part session is designed to provide private fund managers and compliance professionals with essential tools and strategies for preparing for SEC exams.

The first part will be a comprehensive webinar taking place on March 18.

This second part will be an in-person workshop on how to prepare a strong day one SEC exam presentation deck taking place at the Private Fund Compliance Regulatory Forum on May 22.

Part II: Breakfast Workshop -

First impressions matter: how to prepare a strong day one SEC exam presentation deck

Facilitator: Joseph Morrissey, Partner-Investment Management Group, Seward & Kissel

Speaker: Sarah N. Conde, General Counsel, Managing Director & Chief Compliance Officer, Providence Equity Partners

Speaker: Laura Frattaroli, Deputy CCO, General Atlantic

Speaker: Usman Shakeel, General Counsel and CCO, Wind Point Partners

Speaker: Robert Baker, Managing Director, Co-Lead of Mock Examination Team, ACA Group

9:00-9:45

Think Tank Sessions

Designed to facilitate candid discussion, think tanks are closed-door sessions for GPs only. Discussions will be facilitator led and will cover top of mind issues and challenges impacting private fund compliance teams today. Delegates have the opportunity to submit topics for discussion prior to the event.



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CCOs Think Tank (Invite & GP only)

Facilitator: Steven Felsenthal, General Counsel & Chief Compliance Officer, Millburn Ridgefield Corporation

Facilitator: Daniel Gewanter, General Counsel & Chief Compliance Officer, Kohlberg & Company

Senior Compliance Professionals (GPs only)

Facilitator: Jemima John, VP, Compliance, Shamrock Capital Advisors

Facilitator: Nha-Uyen Hua, Vice President, Compliance, Carlyle Aviation Partners

9:55 **Chair's opening remarks:** David Smolen, Managing Director, General Counsel & Chief Compliance Officer, GI Partners

10:00-10:50 **Keynote Fireside Chat: 2025 SEC exam readiness: focus areas, compliance tactics & emerging risks**

- Key focus areas for SEC exams in the coming year and emerging risks related to cybersecurity and technology
- Tips for exam preparedness
- Ensuring compliance and mitigating enforcement risks

Keynote speaker: Daniel Faigus, Senior Specialized Examiner – Private Fund, U.S. Securities and Exchange Commission

Interviewed by: Aaron Gilbride, Partner, Latham & Watkins

10:50-11:40 **Keynote Fireside Chat: SEC enforcement in private funds: understanding key trends**

- How the SEC's tactics and priorities in regulating private funds have shifted over the years.
- What are the most frequent violations that lead private funds to face SEC enforcement actions?
- What recent trends are shaping SEC enforcement actions in the private fund space?

Keynote speaker: Corey Schuster, Co-Chief, Asset Management Unit, Division of Enforcement at U.S. Securities and Exchange Commission

Interviewed by: Jamie Lynn Walter, Partner, Latham & Watkins



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11:50-12:10 Networking break

12:10-1:00

Peer Insight Interactive Breakout Panels

These dynamic breakout sessions will break the mold of traditional panel discussions by offering our audience the chance to actively engage and share their own experiences at multiple points throughout the conversation. These sessions foster real-time collaboration and insightful exchanges, allowing participants to contribute directly to the discussion and learn from each other's real-world perspectives.

Track A: Rules | Navigating regulatory uncertainty: lessons from 2024 and preparing for new rules in 2025

- An interactive panel discussion fostering real-time collaboration and insightful exchanges on rulemaking topics such as:
 - how compliance teams managed the challenges of preparing for overturned regulatory obligations in 2024
 - how to effectively prepare for new regulations expected in 2025

Moderator: James Gaven, General Counsel & Chief Compliance Officer, SK Capital Partners

Speaker: Sarah Christensen, Deputy Chief Compliance Officer, Bow River Capital

Speaker: David Tubb, Chief Compliance Officer, NGP Energy Capital Management

Speaker: Drew Weilbacher, Chief Compliance Officer, Managing Director, TSG Consumer

Track B: Exams | Preparing for 2025: strengthening compliance programs and navigating key exam priorities

- An interactive panel discussion fostering real-time collaboration and insightful exchanges on 2025 exam priority topics such as:
 - Emerging financial technologies
 - Cryptoassets, digital assets, blockchain
 - Operational resiliency
 - Fees and expenses
 - Disclosures
 - Amendments to Form PF

Moderator: Allison Miyake, Controller & Chief Compliance Officer, Velocity Capital Management

Speaker: Speaker: Todd Slattery, COO, Pantera

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

Speaker: Mederic Daigneault, VP, Private Fund Advisory Consulting Regulatory Services, COMPLY



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**Private Funds
CFO**

Private Fund Compliance Regulatory Forum

1:00

Luncheon & End of Conference



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