

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:

- Brian Anderson, Senior Conference Producer, Private Equity International
- Adan Araujo, Senior Managing Director and Chief Compliance Officer, Jasper Ridge Partners
- 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
- Amanda Coussens, Chief Financial Officer and Chief Compliance Officer, P10, Inc.
- Letti de Little, Chief Compliance Officer, Grain Management
- Chris Fadeff, Chief Compliance Officer & Vice President, Operations, Galvanize Climate Solutions
- Adam Felsenthal, General Counsel and Deputy Chief Compliance Officer, Great Point Partners
- Steven Felsenthal, General Counsel & Chief Compliance Officer, Millburn Ridgefield Corporation
- Laura Frattaroli, Deputy CCO, General Atlantic
- James Gaven, General Counsel & Chief Compliance Officer, SK Capital Partners
- Shauna Harrison, Executive Director, Compliance, GCM Grosvenor
- Michael Henry, Senior Managing Director & Chief Compliance Officer, Wafra
- Jemima John, VP, Compliance, Shamrock Capital Advisors
- Samantha Katz, General Counsel and Chief Compliance Officer, Argand Partners
- Kevin Rooney, Managing Director, Senior Compliance Officer, and Associate General Counsel, Cerberus Capital Management
- Leigh Rovzar, Partner, General Counsel, and Chief Compliance Officer, BayPine LP
- Jason Scofield, Chief Compliance Officer, Audax Group
- Allison Soren, Chief Compliance Officer, GTIS Partners



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- Ryan Toteja, Principal & Associate General Counsel, Platinum Equity
- Devi Vairavan, Director of Compliance, WM Partners

Day 1 May 21

8:30 **Registration – continental breakfast** **Kirkland & Ellis: Woman’s Welcome Breakfast**

9:30 **Chair’s opening remarks**

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.

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.)

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

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



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

11:25-11:45 **Networking coffee break**

Breakout panels

11:45-12:35

Track A: Rules | Antitrust 2.0: navigating a Trump-era revamp of HSR rules

- Rethinking antitrust priorities: market power vs. consumer welfare
- Streamlining M&A approvals and a push for faster regulatory clearances
- Will there be adjustments to the HSR filing thresholds
- SAR Reporting

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

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 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

Speaker: Jason Scoffield, Chief Compliance Officer, Audax Group

Speaker: Allison Soren, Chief Compliance Officer, GTIS Partners

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
- 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

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



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

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

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

Speaker: Chris Fadeff, Chief Compliance Officer & Vice President, Operations, Galvanize Climate Solutions

3:20-4:30

Limited partners perspectives: complex dynamics of potential private fund deregulation

- Current regulatory landscape for private funds and the potential for reduced oversight with the new administration



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- Balancing deregulation with investor protection
- How LPs can engage in shaping regulatory discussions around private fund deregulation

4:30-4:50 **Networking coffee break**

4:50-5:45 **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, Senior
Conference Producer, PEI Group

Day 2 May 22



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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 the week of March 17 (exact date TBD).

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

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

Speaker: Laura Frattaroli, Deputy CCO, General Atlantic

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.

CCOs Think Tank (Invite & GP only)

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

Senior Compliance Professionals (GPs only)

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

9:55

Chair's opening remarks



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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

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

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:

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



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

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

1:00 Luncheon & End of Conference



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