

Private Fund Compliance Operations Forum

Stronger compliance, smarter operations: Build playbooks that drive results

Meet the
keynote
speakers:



Paul Roberts

Assistant Special Agent in Charge,
Complex Financial Crimes Branch
Federal Bureau of Investigation

Matthew Harris

Assistant Director and Co-Head
of the Private Funds Unit
U.S. Securities and Exchange Commission



A great opportunity to hear from three important constituents: SEC staff, industry advisors, and peers in the trenches who deal with the same challenges I deal with.

Daniel Gewanter, **Kohlberg & Company, L.L.C**

Explore the agenda



Private Fund Compliance Operations Forum

2025 Agenda

November 12-13, 2025

Convene, 360 Madison Avenue, New York

Keynote speaker:

- Matthew Harris, CFA, Assistant Director and Co-Head of the Private Funds Unit, U.S. Securities and Exchange Commission
- Paul Roberts, Assistant Special Agent in Charge, Complex Financial Crimes Branch, Federal Bureau of Investigation

Speakers:

- Brian Andruskiewicz, Chief Financial Officer and Chief Compliance Officer, Grant Avenue Capital
- Allison Bernbach, Head of Private Equity Regulatory, McDermott Will & Schulte
- Christopher Brannan, Chief Compliance Officer and ESG Officer, Pritzker Private Capital
- Andrea Colabella, Executive Recruiter & Partner, Cardea Group
- Jackie Canger, Counsel (Real Estate & Corporate), GI Partners
- Meghan Carey, Counsel, Latham & Watkins
- Doug Chiciak, Chief Compliance Officer, Lightyear Capital
- Jennifer Ciresi, General Counsel and Chief Compliance Officer, Grounded Capital, LLC
- Anna Dayn, Managing Director and US Head, New End
- Austin Ericson, General Counsel and Chief Compliance Officer, Star Mountain Capital
- Cameron Fairall, CCO, Alpinvest
- Joseph Frost, Head of Compliance, Faropoint
- James Gaven, Former General Counsel & Chief Compliance Officer, SK Capital Partners
- Aaron Gilbride, Partner, Latham & Watkins
- Tamar Goldstein, General Counsel & Chief Compliance Officer, Kimmeridge Energy Management Company
- Jessica Golle, Chief Commercial Officer, Netrio, formerly Agio
- Alan Halfenger, General Counsel and Chief Compliance Officer, Arctaris Impact investors
- Michael Hassan, General Counsel, Sagard Holdings
- Patrick Ho, Head of Legal and Compliance, Global Health Investment Corporation
- Alyssa Horton, Counsel, Ropes & Gray
- Jacqueline Jacobs, Chief Compliance Officer, VSS



For program information:
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kellie.g@pei.group

For sponsorship opportunities:
Josh Stoller
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For registration queries:
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- Samantha Katz, General Counsel and Chief Compliance Officer, Argand Equity
- Jesse Knapel, CFO & CCO, Prelude Growth Partners
- Nicole Krea, Partner, Ropes & Gray
- Eric Lazear, Deputy COO / Head of Operational Risk Due Diligence, Titan Advisors
- Noah Leichtling, Partner, General Counsel, Gamut Capital
- Jennifer Lin, Chief Compliance Officer, Fundamental Advisors
- Mhairi Maclean, Deputy CCO, Audax Group
- Ben Magleby, Chief Compliance Officer and Assistant General Counsel, Level Equity
- Vijay Maharaj, Chief Financial Officer & Chief Compliance Officer, Falcon Point Partners
- Nauman Malik, General Counsel, Eagle Point Credit
- Pooja Mantha, Chief Compliance Officer, Crestview Advisors
- Jamila Mayfield, Chief Regulatory Services Officer, COMPLY
- Paul McGowan, Partner, Iron Road Partners
- Reyner Meikle, President and Chief Executive Officer, Agile Legal Services
- Tye Merlo, Chief Compliance Officer, Delphi Ventures
- Marie Milligan, Chief Compliance Officer, WaterEquity
- Allison Miyake, Controller & Chief Compliance Officer, Velocity Capital Management
- Erin Nelson, Regional Head Compliance, Americas, Partners Group
- Eric Newman, Treasury Manager, City of Stamford, Connecticut
- Kujo Osei, Vice President of Finance and Chief Compliance Officer, Integrity Growth
- Jamie Peterson, Managing Director, Iron Road Partners
- Jay Pratt, Global Chief Compliance Officer and Senior Managing Director, Manulife Investment Management Private Markets
- Cassandra Rizzo, Director, Eldridge Capital Management
- Igor Rozenblit, Managing Partner, Iron Road Partners
- Rinat Rozenthal, General Counsel & Chief Compliance Officer, Faropoint
- Daren Schneider, CFO, CCO, JLL Partners
- Alvaro Soto, Director, ACA Group
- Patrick Daniel Squatriti, Managing Director and SVP Compliance, Avantia Law
- Nabil Sabki, Partner- Investment Funds Practice Group, Kirkland & Ellis
- Arthi Sridharan, Deputy General Counsel, Providence Equity Partners
- Stefanie Sundel, Managing Director, Head of Americas Compliance, Apollo Global Management Inc.
- Chris Tamms, Network Director Investor Relations Network & Private Funds CFO Network, PEI Group
- Devi Vairavan, Chief Compliance Officer, WM PARTNERS
- Megan Vesely, Associate General Counsel & Chief Compliance Officer, Georgian
- Kevin Vincent, CCO, S2G Investments
- Haris Vrahliotis, Principal, Compliance Director and Counsel, TowerBrook Capital Partners
- Irene Willard, Chief Financial Officer & Chief Compliance Officer, Dunes Point Capital



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Day 1 – November 12, 2025

8:00-8:50 Registration & breakfast

8:50-9:00 Chairperson's welcome

9:00-9:50 **Keynote interview: Staying aligned with the SEC: A fireside chat with the private funds unit**
In this candid conversation, Matthew Harris, CFA, Assistant Director and Co-Head of the SEC's Private Funds Unit, shares insights into the Commission's current priorities, risk areas, and expectations for private fund advisers.

Keynote: Matthew Harris, CFA, Assistant Director and Co-Head of the Private Funds Unit, U.S. Securities and Exchange Commission

Interviewer: Nabil Sabki, Partner- Investment Funds Practice Group, Kirkland & Ellis

9:50-10:40 **Plenary session – From policy to practice: Operationalizing today's most critical compliance rules**

- Proven approaches to embedding key rules into day-to-day workflows
 - Marketing Rule
 - Off-Channel Communications controls
 - Valuations
- Building effective partnerships across compliance, legal, operations, and business teams to ensure aligned execution and ownership
- Developing procedures and oversight frameworks that scale across fund structures, geographies, and portfolio companies without losing effectiveness

Moderator: Nicole Krea, Partner, Ropes & Gray

Panelists

- Jackie Canger, Counsel (Real Estate & Corporate), GI Partners
- Kujo Osei, Vice President of Finance and Chief Compliance Officer, Integrity Growth
- Stefanie Sundel, Managing Director, Head of Americas Compliance, Apollo Global Management Inc.
- Alvaro Soto, Director, ACA Group

10:40-11:00 **Networking break**

11:00-12:40 **Roundtable discussions**

Peer-driven conversations, facilitated by two industry leaders. Throughout the session, facilitators will rotate groups every 30 minutes to ensure all delegates discuss each of the three topics.

Topic 1: Overcoming data fragmentation and streamlining regulatory and LP reporting



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Topic 2: Enhancing efficiency and reducing risk with technology, AI and automation in compliance

Topic 3: Integrating compliance teams into strategic decision-making across deal execution, fundraising, ESG, and portfolio operations

<u>Group A</u>	<u>Group B</u>	<u>Group C</u>	<u>Group D</u>
Data facilitators • Jacqueline Jacobs, Chief Compliance Officer, VSS • Daren Schneider, CFO, CCO, JLL Partners	Data facilitators • Haris Vrahliotis, Principal, Compliance Director and Counsel, TowerBrook Capital Partners	Data facilitators • Nauman Malik, General Counsel, Eagle Point Credit	Data facilitators • Christopher Brannan, Chief Compliance Officer and ESG Officer, Pritzker Private Capital
Tech & AI facilitators • Austin Ericson, General Counsel and Chief Compliance Officer, Star Mountain Capital • Allison Miyake, Controller & Chief Compliance Officer, Velocity Capital Management	Tech & AI facilitators • Doug Chiciak, Chief Compliance Officer, Lightyear Capital • Rinat Rozenthal, General Counsel & Chief Compliance Officer, Faropoint	Tech & AI facilitators • Katy McNeil, Vice President, Compliance, Ares Management • Vijay Maharaj, Chief Financial Officer & Chief Compliance Officer, Falcon Point Partners	Tech & AI facilitators • TBA
Strategic compliance teams facilitators • Marie Milligan, Chief Compliance Officer, WaterEquity • Pooja Mantha, Chief Compliance Officer, Crestview Advisors	Strategic compliance teams facilitators • Jesse Knapel, CFO & CCO, Prelude Growth Partners • Megan Vesely, Associate General Counsel & Chief Compliance Officer, Georgian	Strategic compliance teams facilitators • Samantha Katz, General Counsel and Chief Compliance Officer, Argand Equity • Patrick Ho, Head of Legal and Compliance, Global Health Investment Corporation	Strategic compliance teams facilitators • Jennifer Ciresi, General Counsel and Chief Compliance Officer, Grounded Capital • Irene Willard, Chief Financial Officer & Chief Compliance Officer, Dunes Point Capital

12:40-1:40

Networking luncheon



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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

1:40-2:30

Track A | AI in Private Funds: Adoption, Compliance, and Lessons Learned

- How private fund advisers are leveraging artificial intelligence, including the specific products in use and the challenges faced during onboarding
- What has worked well, compliance involvement, and key pain points, offering practical insights for integrating AI in a regulated environment.
- Actionable perspectives on risk management and best practices for AI adoption.

Moderator: Alyssa Horton, Counsel, Ropes & Gray

Panelists:

- Cameron Fairall, CCO, AlpInvest
- Mhairi Maclean, Deputy CCO, Audax Group

Track B | Guarding data & meeting new mandates: The CCO's role in cyber risk oversight

- How are you preparing for the upcoming Regulation S-P compliance dates?
- How compliance partners work with CISOs and/or IT to ensure regulatory alignment
- Policies, training, and controls that work across departments

Moderator:

- Jessica Golle, Chief Commercial Officer, Netrio, formerly Agio

Panelists:

- Tye Merlo, Chief Compliance Officer, Delphi Ventures
- Devi Vairavan, Chief Compliance Officer, WM PARTNERS
- Alan Halfenger, General Counsel and Chief Compliance Officer, Arctaris Impact investors
- Kevin Vincent, CCO, S2G Investments

2:40-3:30

Track A | Post-PFAR fee & expense transparency: Implementing standards, meeting expectations

- Current landscape for fee and expense disclosures and how it affects quarterly and annual reporting
- Using industry-aligned templates to streamline reporting, enhance consistency,

Track B | Co-investment governance: Navigating disclosure, allocation, and oversight with confidence

- How to structure and govern co-investment vehicles with defensible frameworks while managing conflicts
- What every manager needs to know about blue sky, AML, and ongoing compliance



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and meet LP expectations (i.e., ILPA template)

Moderator: Meghan Carey, Counsel, Latham & Watkins

Panelists:

- Erin Nelson, Regional Head Compliance, Americas, Partners Group
- Jonathan Liu Deputy CCO at TCG
- Joseph Frost, Head of Compliance, Faropoint

- Striking the right balance in investor onboarding—transparency, performance reporting, and protecting competitive strategies across jurisdictions

Moderator:

- Paul McGowan, Partner, Iron Road Partners

Panelists:

- Arthi Sridharan, Deputy General Counsel, Providence Equity Partners
- Michael Hassan, General Counsel, Sagard Holdings
- Reyner Meikle, President and Chief Executive Officer, Agile Legal Services
- James Gaven, Former General Counsel & Chief Compliance Officer, SK Capital Partners

3:30-4:00

Networking break

4:00-4:50

Plenary session: From good to great: LP insights on what sets strong compliance programs apart

- Key compliance features and behaviours LPs look for during due diligence and ongoing communications
- What is considered best in class for transparency, governance, responsiveness, and risk alignment
- Red flags and recurring gaps that undermine confidence in a firm's compliance culture

Moderator: Patrick Daniel Squatriti, Managing Director and SVP Compliance, Avantia Law

Panelists:

- Eric Newman, Treasury Manager, City of Stamford, Connecticut
- Anna Dayn, Managing Director and US Head, New End
- Jay Pratt, Global Chief Compliance Officer and Senior Managing Director, Manulife Investment Management Private Markets

4:50-6:00

Networking reception

Day 2 – November 13, 2025



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8:00-9:00

Registration and breakfast

8:15-9:00

Iron Road Partners Breakfast Meeting: The Growth of Retail Alternatives: Compliance Risks and Opportunities

- How CCOs can adapt compliance frameworks for a new era of retail alternatives
- Pre and post launch compliance considerations when launching a regulated fund
- Anticipating regulatory scrutiny on ICA 38a-1, liquidity, valuation, fees and expenses, co-investments and allocations
- Examination and enforcement hot topics

Facilitator: Jamie Peterson, Managing Director, Iron Road Partners

Facilitator: Igor Rozenblit, Managing Partner, Iron Road Partner

9:05-10:00

Think Tanks

Designed to facilitate candid discussions, these GP only closed-door sessions target the issues and challenges impacting firms. Attendees can benchmark ideas and share best practices to help you gain solutions for common concerns facing your office.

Think Tank A (GP only):
Chief compliance officers

Think Tank B (GP only):
Senior compliance professionals

Facilitator: Cassandra Rizzo, Director, Eldridge Capital Management

10:10-10:15

Welcome remarks

10:15-11:05

Fireside Interview with the FBI: Building Compliance Ecosystems for Private Fund C-Suite Leaders

In this exclusive interview, Paul Roberts of the FBI will share how private fund leaders can proactively strengthen their internal compliance ecosystems to address emerging risks and meet evolving regulatory and national security expectations. The conversation will focus on how C-suite leaders—across compliance, operations, legal, and finance—can work together to build firmwide accountability, improve detection systems, and partner more effectively with law enforcement.

Interviewer: Aaron Gilbride, Partner, Latham & Watkins



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11:05-1:35

Networking break

11:35-12:25

Professional development workshops

Track A | Under pressure: Thriving amid tight resources and expanding mandates

- How to triage tasks, allocate limited resources, and say "no" strategically when necessary
- Practical ways to streamline workflows, leverage automation or RegTech, and build procedures that scale—without sacrificing effectiveness
- Peer Benchmarking: Using data and industry comparisons to justify staffing needs and support resource asks.
- When and how to make the case for headcount or outside

Facilitator: Jamila Mayfield,
Chief Regulatory Services Officer, COMPLY
Facilitator: Andrea Colabella, Executive Recruiter
& Partner, Cardea Group

Track B | Strategic communication for CCOs: Storytelling and leadership in the modern compliance office

- Communicating complex risk issues in clear, compelling language
- Use real-world storytelling and open communication to embed compliance into daily decision-making.
- Mentoring junior compliance staff

Facilitator: Ben Magleby, Chief
Compliance Officer and Assistant
General Counsel, Level Equity
Facilitator: Allison Scher Bernbach,
Head of Private Equity Regulatory,
McDermott Will & Schulte

12:35-1:35

Carousel: Preparing for SEC exams

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.

Ongoing readiness

Onsite interviews & reviews

Post exam

Facilitator: Chris Tamms, Network Director Investor Relations Network & Private
Funds CFO Network, PEI Group

1:35-1:45

Closing presentation: *Brought to you by PEI Group's research and analytics team, we will unveil new survey findings on the top issues and opportunities shaping the work of private fund compliance professionals today*

1:45-2:45

Luncheon & end of conference



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