

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

Speakers:

- Brian Andruskiewicz, Chief Financial Officer and Chief Compliance Officer, Grant Avenue Capital
- Jackie Cangero, Counsel (Real Estate & Corporate), GI Partners
- Austin Ericson, Legal Counsel and Chief Compliance Officer, Star Mountain Capital
- Jacqueline Jacobs, Chief Compliance Officer, VSS
- Samantha Katz, General Counsel and Chief Compliance Officer, Argand Equity
- Jesse Knapel, CFO & CCO, Prelude Growth Partners
- Eric Lazear, Deputy COO / Head of Operational Risk Due Diligence, Titan Advisors
- Pooja Mantha, Chief Compliance Officer, Crestview Advisors
- Ellen Rosenberg, Partner, General Counsel & Chief Compliance Officer, GreyLion Partners
- Haris Vrahliotis, Principal, Compliance Director and Counsel, TowerBrook Capital Partners

Day 1 – November 12, 2025

8:00-8:50 **Registration & Breakfast**

8:50-9:05 **Chairperson's welcome**

9:05-9:50 **Keynote Interview: Staying Aligned with the SEC: A Fireside Chat with the Private Funds Unit**



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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

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
 - AML/KYC frameworks
 - 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

Panelists

- Jackie Canger, Counsel (Real Estate & Corporate), GI Partners

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

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



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<u>Group A</u>	<u>Group B</u>	<u>Group C</u>	<u>Group D</u>	<u>Group E</u>
Data Facilitators <ul style="list-style-type: none"> Jacqueline Jacobs, Chief Compliance Officer, VSS 	Data Facilitators <ul style="list-style-type: none"> Haris Vrahliotis, Principal, Compliance Director and Counsel, TowerBrook Capital Partners 	Data Facilitators	Data Facilitators	Data Facilitators
Teach & AI Facilitators <ul style="list-style-type: none"> Austin Ericson, Legal Counsel and Chief Compliance Officer, Star Mountain Capital 	Teach & AI Facilitators	Teach & AI Facilitators	Teach & AI Facilitators	Teach & AI Facilitators
Strategic Compliance Teams Facilitators <ul style="list-style-type: none"> Ellen Rosenberg, Partner, General Counsel & Chief 	Strategic Compliance Teams Facilitators <ul style="list-style-type: none"> Jesse Knapel, CFO & CCO, Prelude Growth Partners 	Strategic Compliance Teams Facilitators <ul style="list-style-type: none"> Samantha Katz, General Counsel and Chief Compliance Officer, Argand Equity 	Strategic Compliance Teams Facilitators	Strategic Compliance Teams Facilitators

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

12:40-1:40

Track A | Building Resilient Oversight: Proactive Compliance in the Face of Geopolitical and Market Risk

- How today's geopolitical instability, supply chain disruption, and liquidity constraints are reshaping market, operational, and reputational risks—and how to ensure these are embedded in your compliance framework
- Strategies for gaining a deep understanding of investment strategies to proactively spot regulatory red flags
- Embedding risk-aware decision-making into compliance policies, procedures, and ongoing monitoring efforts

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

2:40-3:30

Track A | Post-PFAR Fee & Expense Transparency: Navigating New Norms with Confidence

- Current landscape for fee and expense disclosures and how it affects quarterly and annual reporting
- Using industry-aligned templates to streamline reporting, enhance consistency, and meet LP expectations (i.e., ILPA template)
- How compliance, finance, and investor relations teams can collaborate to ensure accurate, auditable, and regulator-ready disclosures

Track B | Co-Investment Governance: Navigating Disclosure, Allocation, and Oversight with Confidence

- Working with IR teams to build defensible governance frameworks, managing conflicts, and maintaining trust with LPs and regulators alike
- Ensuring transparency without over-disclosing or exposing competitive strategies
- Monitoring co-investment activity and reviewing allocation decisions, overseeing conflict escalation and resolution processes

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



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- 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

4:50-5:50 Networking Reception

Day 2 – November 13, 2025

8:00-9:00 Registration and Breakfast

8:30-9:00 Plenary Session: Sunrise Solutions

Start your day with breakfast and an opportunity to discover cutting-edge technology solutions that are shaping the future for private fund CCOs. In this unique session, delegates will enjoy a relaxed and engaging atmosphere as they listen to industry leading innovators demonstrate the technology solutions that have proven value to private fund compliance teams

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**

10:10-10:15

Welcome Remarks

10:15-11:05

Keynote Panel/Interview

11:05-1:35

Networking Break

11:35-12:25

Professional Development Workshops



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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

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

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

1:35-1:45

Closing Presentation

1:45-2:45

Luncheon & End of Conference



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