

## Private Fund Compliance Operations Forum

# Stronger compliance, smarter operations: Build playbooks that drive results

Delve into what it takes to future-proof your compliance function  
- where innovation, regulation, and operations converge.

## What's new this year?



### Roundtables

Join three peer-led discussions focused on turning AI, data, and compliance insights into action.



### Technology demo

Explore cutting-edge tools to streamline operations, reduce manual work, and tackle regulatory challenges.



### Compliance data presentation

Gain access to new industry research to help your firm stay ahead of evolving trends.

# Introducing the 2025 keynote speaker:

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

Hear directly from a senior SEC official on  
how to:

- Identify high-risk operational areas before they become enforcement issues
- Align your firm's compliance programs with the SEC's current priorities
- Strengthen your reporting and disclosures to meet evolving expectations



## Operations vs. Regulatory Forum

Why should you attend both?

Attending **both** events provides a **complete compliance strategy**, from **policy comprehension** to **operational execution**:

Private Funds  
CFO

Private Fund Compliance  
Regulatory Forum

Understand the rules, anticipate enforcement trends, and interact with policymakers.

Private Funds  
CFO

Private Fund Compliance  
Operations Forum

Put those rules into action with practical workflows, peer exchange, and real world use cases.

**Together, they give you the “rulebook” and the “playbook”** so your firm is not only prepared for regulatory change but can execute with confidence and efficiency.

[View 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

### Speakers:

- Brian Andruskiewicz, Chief Financial Officer and Chief Compliance Officer, Grant Avenue Capital
- Christopher Brannan, Assistant General Counsel and ESG Officer, Pritzker Private Capital
- Jackie Cangero, Counsel (Real Estate & Corporate), GI Partners
- Jennifer Ciresi, General Counsel and Chief Compliance Officer, Grounded Capital, LLC
- Austin Ericson, Legal Counsel and Chief Compliance Officer, Star Mountain Capital
- Tamar Goldstein, General Counsel & Chief Compliance Officer, Kimmeridge Energy Management Company
- 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
- Noah Leichtling, Partner, General Counsel, Gamut Capital
- Jennifer Lin, Chief Compliance Officer, Fundamental Advisors
- Nauman Malik, General Counsel, Eagle Point Credit
- Katy McNeil, Vice President, Compliance, Ares Management
- Erin Nelson, Regional Head Compliance, Americas, Partners Group
- Pooja Mantha, Chief Compliance Officer, Crestview Advisors
- Brendan McElhenny, Principal – Legal, Tax & Compliance, Apollo Global Management
- Tye Merlo, Chief Compliance Officer, Delphi Ventures
- Marie Milligan, Chief Compliance Officer, WaterEquity
- Allison Miyake, Controller & Chief Compliance Officer, Velocity Capital Management
- Kwadwo Osei, Vice President of Finance and Chief Compliance Officer, Integrity Growth
- 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.



For program information:  
**Kellie Green**  
[kellie.g@pei.group](mailto:kellie.g@pei.group)

For sponsorship opportunities:  
**Josh Stoller**  
[joshua.s@pei.group](mailto:joshua.s@pei.group)

For registration queries:  
**Customer Services**  
[customerservice@pei.group](mailto:customerservice@pei.group)



- Chris Tamms, Network Director Investor Relations Network & Private Funds CFO Network, PEI Group
- Devi Vairavan, Director of Compliance, WM PARTNERS
- Megan Vesely, Associate General Counsel & Chief Compliance Officer, Georgian
- Haris Vrahliotis, Principal, Compliance Director and Counsel, TowerBrook Capital Partners
- Kenneth Warren, Chief Financial Officer and Chief Compliance Officer, Littlejohn & Co.

## 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**  
*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

Panelists

- Jackie Canger, Counsel (Real Estate & Corporate), GI Partners
- Kwadwo Osei, Vice President of Finance and Chief Compliance Officer, Integrity Growth

**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.



For program information:  
**Kellie Green**  
[kellie.g@pei.group](mailto:kellie.g@pei.group)

For sponsorship opportunities:  
**Josh Stoller**  
[joshua.s@pei.group](mailto:joshua.s@pei.group)

For registration queries:  
**Customer Services**  
[customerservice@pei.group](mailto:customerservice@pei.group)

**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

<u>Group A</u>	<u>Group B</u>	<u>Group C</u>	<u>Group D</u>
Data facilitators <ul style="list-style-type: none"><li>Jacqueline Jacobs, Chief Compliance Officer, VSS</li></ul>	Data facilitators <ul style="list-style-type: none"><li>Haris Vrahliotis, Principal, Compliance Director and Counsel, TowerBrook Capital Partners</li></ul>	Data facilitators <ul style="list-style-type: none"><li>Nauman Malik, General Counsel, Eagle Point Credit</li></ul>	Data facilitators <ul style="list-style-type: none"><li>Christopher Brannan, Assistant General Counsel and ESG Officer, Pritzker Private Capital</li></ul>
Tech & AI facilitators <ul style="list-style-type: none"><li>Austin Ericson, Legal Counsel and Chief Compliance Officer, Star Mountain Capital</li></ul>	Tech & AI facilitators <ul style="list-style-type: none"><li>Allison Miyake, Controller &amp; Chief Compliance Officer, Velocity Capital Management</li></ul>	Tech & AI facilitators	Tech & AI facilitators
Strategic compliance teams facilitators <ul style="list-style-type: none"><li>Marie Milligan, Chief Compliance Officer, WaterEquity</li></ul>	Strategic compliance teams facilitators <ul style="list-style-type: none"><li>Jesse Knapel, CFO &amp; CCO, Prelude Growth Partners</li><li>Megan Vesely, Associate General Counsel &amp; Chief Compliance Officer, Georgian</li></ul>	Strategic compliance teams facilitators <ul style="list-style-type: none"><li>Samantha Katz, General Counsel and Chief Compliance Officer, Argand Equity</li></ul>	Strategic compliance teams facilitators <ul style="list-style-type: none"><li>Jennifer Ciresi, General Counsel and Chief Compliance Officer, Grounded Capital</li></ul>

**12:40-1:40**

**Networking luncheon**

### 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*



For program information:  
**Kellie Green**  
[kellie.g@pei.group](mailto:kellie.g@pei.group)

For sponsorship opportunities:  
**Josh Stoller**  
[joshua.s@pei.group](mailto:joshua.s@pei.group)

For registration queries:  
**Customer Services**  
[customerservice@pei.group](mailto:customerservice@pei.group)

12:40-1:40

**Track A | Frameworks that endure regulatory pressure: Future-proofing AML/KYC compliance infrastructure**

- Embedding AML/KYC responsibilities across business units, ensuring front-line accountability
- Navigating AML/KYC requirements (FinCEN & global) while maintaining centralized oversight and operational consistency
  - ⊖ How to take advantage of FinCEN's two-year reprieve and ensure better alignment
- Preparing for scrutiny - audit readiness, effective SAR governance, risk scoring models, and demonstrating program effectiveness under examination

**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

**Panelists:**

- Tye Merlo, Chief Compliance Officer, Delphi Ventures
- Devi Vairavan, Director of Compliance, WM PARTNERS

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

**Panelists:**

- Erin Nelson, Regional Head Compliance, Americas, Partners Group

**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

**Panelists:**

- Noah Leichtling, Partner, General Counsel, Gamut Capital
- Arthi Sridharan, Deputy General Counsel, Providence Equity 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



For program information:  
**Kellie Green**  
[kellie.g@pei.group](mailto:kellie.g@pei.group)

For sponsorship opportunities:  
**Josh Stoller**  
[joshua.s@pei.group](mailto:joshua.s@pei.group)

For registration queries:  
**Customer Services**  
[customerservice@pei.group](mailto:customerservice@pei.group)

- 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 interview/panel**

**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

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

- Communicating complex risk issues in clear, compelling language



For program information:  
**Kellie Green**  
[kellie.g@pei.group](mailto:kellie.g@pei.group)

For sponsorship opportunities:  
**Josh Stoller**  
[joshua.s@pei.group](mailto:joshua.s@pei.group)

For registration queries:  
**Customer Services**  
[customerservice@pei.group](mailto:customerservice@pei.group)

- 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
- 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

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**



For program information:  
**Kellie Green**  
[kellie.g@pei.group](mailto:kellie.g@pei.group)

For sponsorship opportunities:  
**Josh Stoller**  
[joshua.s@pei.group](mailto:joshua.s@pei.group)

For registration queries:  
**Customer Services**  
[customerservice@pei.group](mailto:customerservice@pei.group)