



***CC*Outreach National Seminar**

**Investment Adviser, Investment Company, and Broker-Dealer
Chief Compliance Officers**

January 26, 2010

Agenda

7:30 am Registration

8:30 am Welcoming Remarks – Chairman Schapiro

8:45 am Introductory Remarks: Compliance Programs Today

Speakers

Carlo di Florio, Director, Office of Compliance Inspections and Examinations

Stephen Luparello, Vice Chairman, Financial Industry Regulatory Authority

Robert W. Cook, Director, Division of Trading and Markets

Andrew J. Donohue, Director, Division of Investment Management

9:15 am Regulatory and Compliance Hot Topics

- Lessons Learned from Recent Events
- Challenges Faced in Turbulent Markets
- Mergers and Acquisitions
- Custody

Panelists

Mary Ann Gadziala, Associate Director, Office of Compliance Inspections and Examinations

H. Dan Campbell, Assistant Regional Director, Atlanta Regional Office

Jim Eastman, Associate Director/Chief Counsel, Division of Trading and Markets

Patricia Flynn, Vice President and Chief Compliance Officer, Intech

Greg Johnson, Chief Compliance Officer, JP Morgan Securities Inc.

Douglas J. Scheidt, Associate Director and Chief Counsel, Division of Investment Management

- 10:30 am** **Break**
- 10:45 am** **Investment Adviser/Investment Company Examination Program**
- Priorities
 - Coordination and Communication
- Panelists*
- Michael E. Garrity*, Assistant Regional Director, Boston Regional Office
- Dawn Blankenship*, Assistant Regional Director, New York Regional Office
- David Grim*, Assistant Chief Counsel, Division of Investment Management
- Thomas M. Piccone*, Assistant Regional Director, Denver Regional Office
- 12:00 pm** **Lunch Break**
- 1:30 pm** **Administering Compliance and Annual Reviews**
- Staff Observations
 - Five Years of Compliance: Lessons Learned by CCOs
 - Internal Controls and Risk Management
 - Documentation and Testing
- Panelists*
- Martin Murphy*, Associate Regional Director, Los Angeles Regional Office
- Carla Carriveau*, Branch Chief, San Francisco Regional Office
- Lisa Henoeh*, Chief Compliance Officer, TD Ameritrade
- Robert E. Plaze*, Associate Director, Division of Investment Management
- Lori Renzulli*, Chief Counsel and Chief Compliance Officer, Harding Loevner, LP
- 2:45 pm** **Break**

3:00 pm

Broker-Dealer Examination Program

- Priorities
- Coordination and Communication
- Outside Business Activities

Panelists

Suzanne McGovern, Assistant Director, Office of Compliance Inspections and Examinations

Hans Reich, Senior Vice President and New York Regional Director, Financial Industry Regulatory Authority

Michael Rufino, Senior Vice President and Deputy, Financial Industry Regulatory Authority

John Walsh, Associate Director, Chief Counsel Office of Compliance Inspections and Examinations.

4:15 pm

Overseeing the Trading Process

- The CCO's Role
- Managing the Trading Process
- Trading on Non-Public Information
- Alternative Investments
- High Speed Trading

Panelists

Bernard Denis, Senior Trading Specialist, Office of Compliance Inspections and Examinations

Gene A. Gohlke, Associate Director, Office of Compliance Inspections and Examinations

Barbara Brooke Manning, General Counsel and Chief Compliance Officer, ClearBridge Advisors

Karen L. Rossotto, Adviser to the Director, Division of Investment Management

Chuck Senatore, Head of Corporate Compliance for Fidelity Investments

Josephine Tao, Assistant Director, Division of Trading and Markets

5:25 pm

Closing Remarks

Carlo di Florio, Director, Office of Compliance Inspections and Examinations