

## Private Fund Compliance Regulatory Forum

# Transform your compliance processes alongside the SEC's leadership

SEC leaders take the stage to discuss key regulatory developments for 2025 and beyond, including:

- This year's SEC examination priorities
- Strategies for avoiding common private fund violations
- Reducing the likelihood of triggering an enforcement referral



**Daniel Faigus**

Senior Specialized  
Examiner - Private Funds

**Hester Peirce**

Commissioner

**Corey Schuster**

Co-Chief, Asset  
Management Unit

# Keeping you on top of what's to come

The forum has established a reputation for equipping its attendees to tackle emerging trends and challenges.



Through engaging panels, think tanks, and keynote discussions you'll learn how to:

- Achieve seamless compliance with new AML requirements
- Future-proof your firm's adherence with SEC marketing rules
- Communicate tariff-related risks transparently with investors



# Connect with **the most influential compliance and operations decision-makers in private markets**



**Sarah Conde**  
General Counsel, Managing Director  
& Chief Compliance Officer  
**Providence Equity Partners**



**Doug Cornelius**  
Chief Compliance Officer  
**Beacon Capital Partners**



**Letti de Little**  
Chief Compliance Officer  
**Grain Management**



**Shauna Harrison**  
Executive Director, Compliance  
**GCM Grosvenor**



**Jemima John**  
VP, Compliance  
**Shamrock Capital Advisors**



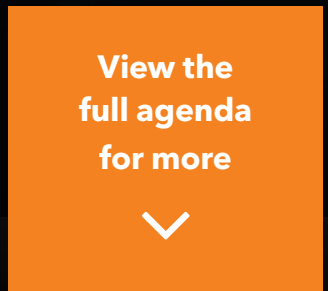
**Samantha Katz**  
General Counsel &  
Chief Compliance Officer  
**Argand Partners**



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



**Jason Scoffield**  
Chief Compliance Officer  
**Audax Management Company**



# 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:

- Michael Altschuler, Partner & General Counsel, Comvest Partners
- Brian Anderson, Head of IR Network and Events, PEI Group
- Adan Araujo, Senior Managing Director and Chief Compliance Officer, Jasper Ridge Partners
- Matthew Bloom, General Counsel / Legal and Compliance, Viking Global Investors
- Mary Anne Capo, Chief Financial Officer & Chief Compliance Officer, Capstreet
- 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
- Mederic Daigneault, VP, Private Fund Advisory Consulting Regulatory Services, COMPLY
- Eric DiFiore, Chief Compliance Officer, TZP Group
- Letti de Little, Chief Compliance Officer, Grain Management
- Chris Fadeff, Chief Compliance Officer & Vice President, Operations, Galvanize Climate Solutions
- Adam Felsenthal, General Counsel and Chief Compliance Officer, Great Point Partners
- Steven Felsenthal, General Counsel & Chief Compliance Officer, Millburn Ridgefield Corporation
- Laura Frattaroli, Deputy CCO, General Atlantic
- Melissa Gainor, Partner - Investment Funds Practice Group, Kirkland & Ellis
- James Gaven, General Counsel & Chief Compliance Officer, SK Capital Partners
- Aaron Gilbride, Partner, Latham & Watkins
- Brendan Hanifin, Partner, Ropes & Gray
- Shauna Harrison, Executive Director, Compliance, GCM Grosvenor
- Devin Holden, Chief Compliance Officer, NovaQuest Capital Management



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- Jemima John, VP, Compliance, Shamrock Capital Advisors
- Daniel Kahl, Partner - Investment Funds Practice Group, Kirkland & Ellis
- Samantha Katz, General Counsel and Chief Compliance Officer, Argand Partners
- Brian Kesselman, Founder & CRO, Skematic
- Anne Kolton, Chief Sustainability Officer, SK Capital Partners
- Allison Miyake, Controller & Chief Compliance Officer, Velocity Capital Management
- Nicole Krea, Partner, Ropes & Gray
- John Marshall, Partner, WilliamsMarston
- Robert McGrail, Head of Legal and Compliance, DUMAC, Inc.
- Joseph Morrissey, Partner-Investment Management Group, Seward & Kissel
- Chase Paxton, Director of Finance & Valuations, NGP Energy Capital Management
- Neal Prunier, Managing Director, Industry Affairs, Institutional Limited Partners Association
- Kevin Rooney, Managing Director, Senior Compliance Officer, and Associate General Counsel, Cerberus Capital Management
- Jason Scoffield, Chief Compliance Officer, Audax Group
- Usman Shakeel, General Counsel and CCO, Wind Point Partners
- Todd Slattery, COO, Pantera
- David Smolen, Managing Director, General Counsel & Chief Compliance Officer, GI Partners
- Allison Soren, Chief Compliance Officer, GTIS Partners
- Ryan Toteja, Principal & Associate General Counsel, Platinum Equity
- Devi Vairavan, Director of Compliance, WM Partners
- Jamie Lynn Walter, Partner, Latham & Watkins
- Drew Weilbacher, Chief Compliance Officer, Managing Director, TSG Consumer

## Day 1 May 21

- |             |   |  |
|-------------|---|--|
| <b>8:30</b> | <b>Registration – continental breakfast</b> | <b>Kirkland &amp; Ellis: Woman’s Welcome<br/>Breakfast</b><br><br><b>Speaker:</b> Melissa Gainor, Partner - Investment<br>Funds Practice Group, Kirkland & Ellis |
| <b>9:30</b> | <b>Chair’s opening remarks</b>              |  |



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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.*

*Interviewed by Nicole Krea, Partner, Ropes & Gray*

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

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

**Speaker:** Brendan Hanifin, Partner, Ropes & Gray

11:25-11:45

## Networking coffee break

## Breakout panels

11:45-12:35

### Track A: Rules | Navigating Tariff and Trade Policy Shifts: The CCO's Role in Risk Management

- Staying updated on global trade developments, including tariff changes, trade agreements, and sanctions
- Communicating tariff-related risks transparently to investors
- Impact on cross-border dealmaking

### 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



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# Private Fund Compliance Regulatory Forum

**Speaker:** Eric DiFiore, Chief Compliance Officer,  
TZP Group

**Speaker:** Matthew Bloom, General Counsel / Legal  
and Compliance, Viking Global Investors

- Key challenges and regulatory considerations for SEC exams

**Moderator:** Chase Paxton, Director of Finance &  
Valuations, NGP Energy Capital Management

**Speaker:** Doug Chiciak, Chief Compliance Officer,  
Lightyear Capital

**Speaker:** John Marshall, Partner, WilliamsMarston

**Speaker:** Devin Holden, Chief Compliance Officer,  
NovaQuest Capital Management

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

**Moderator:** Daniel Kahl, Partner - Investment  
Funds Practice Group, Kirkland & Ellis

**Speaker:** Jason Scoffield, Chief Compliance  
Officer, Audax Group

**Speaker:** Allison Soren, Chief Compliance Officer,  
GTIS Partners

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

## 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

**Speaker:** Adam Felsenthal, General Counsel and  
Chief Compliance Officer, Great Point Partners

**Speaker:** Adan Araujo, Senior Managing Director  
and Chief Compliance Officer, Jasper Ridge  
Partners

**Speaker:** Devi Vairavan, Director of Compliance,  
WM Partners

1:30-2:30

## Networking luncheon

2:30-3:20

## Sustainability at a crossroads: political, economic, and regulatory challenges ahead



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- 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 Solution

**Speaker:** Michael Altschuler, Partner & General Counsel, Comvest Partners

**Speaker:** Anne Kolton, Chief Sustainability Officer, SK Capital Partners

3:20-4:10

## Limited partners perspectives: complex dynamics of potential private fund deregulation

- Current regulatory landscape for private funds and the potential for deregulation
- How does the industry need to respond?
- Industry engagement strategies that could foster innovation and maintain industry standards

**Moderator:** Neal Prunier, Managing Director, Industry Affairs, Institutional Limited Partners Association

**Speaker:** Robert McGrail, Head of Legal and Compliance, DUMAC, Inc.

4:10-4:30

## Networking coffee break

4:30-5:30

## 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



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**Facilitator:** Brian Anderson, Head of  
IR Network and Events, PEI Group

**Facilitator:** Brian Kesselman, Founder  
& CRO, Skematic

**5:30**            **Cocktail reception**

Day 2 May 22

**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 on March 18.*

*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**

**Facilitator:** Joseph Morrissey, Partner-Investment Management Group, Seward & Kissel

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

**Speaker:** Laura Frattaroli, Deputy CCO, General Atlantic

**Speaker:** Usman Shakeel, General Counsel and CCO, Wind Point Partners

**9:00-9:45**

## **Think Tank Sessions**



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*Designed to facilitate candid discussion, think tanks are closed-door sessions for GPs only. Discussions will be facilitated 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

**Facilitator:** Mary Anne Capo, Chief Financial Officer & Chief Compliance Officer, Capstreet

## Senior Compliance Professionals (GPs only)

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

9:55 **Chair's opening remarks**

## 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

**Interviewed by:** Aaron Gilbride, Partner, Latham & Watkins

## 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?



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**Keynote speaker:** Corey Schuster, Co-Chief, Asset Management Unit, Division of Enforcement at U.S. Securities and Exchange Commission

**Interviewed by:** Jamie Lynn Walter, Partner, Latham & Watkins

**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:
  - how compliance teams managed the challenges of preparing for overturned regulatory obligations in 2024
  - how to effectively prepare for new regulations expected in 2025

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

**Speaker:** James Gaven, General Counsel & Chief Compliance Officer, SK Capital Partners

**Speaker:** Drew Weilbacher, Chief Compliance Officer, Managing Director, TSG Consumer

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

- An interactive panel discussion fostering real-time collaboration and insightful exchanges on 2025 exam priority topics such as:
  - Emerging financial technologies
  - Cryptoassets, digital assets, blockchain
  - Operational resiliency
  - Fees and expenses
  - Disclosures
  - Amendments to Form PF

**Speaker:** Speaker: Todd Slattery, COO, Pantera

**Speaker:** David Smolen, Managing Director, General Counsel & Chief Compliance Officer, GI Partners

**Speaker:** Allison Miyake, Controller & Chief Compliance Officer, Velocity Capital Management

**Speaker:** Mederic Daigneault, VP, Private Fund Advisory Consulting Regulatory Services, COMPLY



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Private Funds  
CFO

# Private Fund Compliance Regulatory Forum

1:00

Luncheon & End of Conference



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