

**Private Funds
CFO**

Private Fund Compliance Operations Forum: New York

November 19-20, 2024
Convene, 360 Madison Avenue, New York

Keynotes

Arjuman Sultana, Assistant Regional Director of the New York Regional Office's Investment Adviser/Investment Company Program, U.S. Securities and Exchange Commission
Joann Harris, Firm Partner and Chief Compliance Officer, TPG
Bruce Karpati, Partner, Global Chief Compliance Officer, KKR

Speakers

Michael Altschuler, General Counsel, Comvest Partners
Brian Anderson, Senior Conference Producer, Private Equity International
Lindsay Antonello, Managing Director and Deputy Chief Compliance Officer, TPG
Adan Araujo, Senior Managing Director and Chief Compliance Officer, Jasper Ridge Partners
Noah Becker, VP and CFO, LLR Partners
Michelle Bergman, General Counsel & CCO, Vestar Capital Partners
Teresa Bernstein, Chief Operating Officer, General Counsel and CCO, ACON Investments
Laure Brasch, Managing Director and Chief Compliance Officer, Franklin Park
Ashleigh Brogan, Chief Compliance Officer, Declaration Partners
Jackie Cangero, Counsel, GI Partners
Joshua Cherry-Seto, Partner and CFO, StartUp Health
Douglas Chiciak, Managing Director, Chief Compliance Officer, Lightyear Capital
Adam Childers, CFO and CCO, Quad-C Management
Sarah Christensen, Deputy CCO, Bow River Capital
Jennifer Ciresi, General Counsel and CCO, Redmile Group
Lisa Costello, CAO, CCO & Managing Director, HCI Equity Partners
Kim Davis, Senior Director - Compliance & Compliance Counsel, UTIMCO
Eric DiFiore, CCO, TZP Group
Eric Feldman, Chief Information Officer, The Riverside Company
Adam Freedman, Managing Director, Chief Compliance Officer, Harbourvest
James Gaven, General Counsel & CCO, SK Capital Partners
Daniel Gewanter, General Counsel and Chief Compliance Officer, Kohlberg & Company
Ross Goffi, Chief Compliance Officer, ParkerGale Capital
Vivian Hadis, General Counsel & Chief Compliance Officer, Odyssey Investment Partners
Karen Hager, CCO, Blue Owl Capital
Mark Happe, Managing Director, CCO, MAI Capital Management
Sabina Haq, Chief Compliance Officer, Atalaya Capital Management
Greg Hegerich, Head of Compliance, North America Private Investments & Real Estate, Bain Capital
Michael Henry, Senior Managing Director, Chief Compliance Officer, Wafra
Devin Holden, Chief Compliance Officer, NovaQuest Capital Management
Tory Horton, Assistant General Counsel, Illinois State Treasurer Michael W. Frerichs
Nha-Uyen Hua, Compliance Director, Carlyle Aviation Partners
John Jacobs, Managing Director, CCO and Deputy General Counsel, Gryphon Investors
Jemima John, VP, Compliance, Shamrock Capital
Samantha Katz, General Counsel and CCO, Argand Partners
Sandra Suk-Kim, Chief Financial Officer and Chief Administrative Officer, Engine No. 1
Jesse Knapel, CFO and CCO, Prelude Growth Partners



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Nicole Krea, Partner, Ropes & Gray

Matthew Liposky, Chief Investment Operating Officer, Massachusetts Pension Reserves Investment Management Board

Letti de Little, Chief Compliance Officer, Grain Management

Renata Malavazzi, General Counsel and Chief Compliance Officer, Paine Schwartz Partners

Mary Catherine Manin, Managing Director and Head of Investor Relations, Stone Point Capital

Tara McCarthy, General Counsel and Chief Compliance Officer, Nitorum Capital

Bart McDonald, Executive Vice President and COO, Renaissance Regulatory Systems

Robert E. McGrail, Head of Legal and Compliance, DUMAC, Inc

Jennifer Mello, General Counsel and CCO, Altamont Capital

Martha Mensoian, General Counsel and CCO, Ethos Capital

Eve Mongiardo, Chief Financial Officer, Blue Wolf Capital Partners

Erin Nelson, Regional Head Compliance, Americas, Partners Group

Patty Nykodym, Chief Financial Officer/Chief Compliance Officer, FFL Partners

Darilyn Olidge, General Counsel and CCO, Brightwood Capital Advisors

Eric Perelman, Corporate Partner, Investment Funds Practice Group, Kirkland & Ellis

Sarah Pikover, Chief Compliance Officer & Director of Operations, 137 Ventures

Michele Reing, CFO, COO and CCO, Long Range Capital

David Richards, Senior Director, Alvarez & Marsal

Kevin Rooney, Managing Director, Cerberus Capital Management

Leigh Rovzar, Partner, General Counsel and CCO, BayPine LP

Giuliana Ruiz, Partner, General Counsel and Chief Compliance Officer, Trilantic North America

Nate Saint Victor, General Counsel, Chief Compliance Officer, Engine No. 1

Jerry Sanchez, CCO, New Enterprise Associates

Daren Schneider, CFO and CCO, JLL Partners

Jason Scoffield, Chief Compliance Officer, Audax Group

Kathleen Servidea, General Counsel and CCO, Gallatin Point

Usman Shakeel, General Counsel and CCO, Wind Point Partners

Steven Spencer, Partner, Chief Legal Officer and Chief Compliance Officer, Siris Capital Group

Charles Steerman, Co-founder and COO, Skematic

Junaid Subhan, Vice President, Legal Affairs and Chief Compliance Officer, Sagard

Heather L. Traeger, General Counsel & CCO, Teacher Retirement System of Texas

Michelle Vaughn, Chief Compliance Officer, Lubert-Adler

Whitney Vermeulen, Compliance Officer, Wellington Management

Haris Vrahliotis, Compliance Director, Towerbrook Capital Partners

Joel Wattenbarger, Partner, Ropes & Gray

Bradley West, Chief Operating Officer and General Counsel, Pritzker Private Capital

Sherwyn Williams, Head of IT and Cybersecurity, Siris Capital Group



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Private Fund Compliance Operations Forum 2024 Agenda

Day 1: November 19, 2024

8:00 Registration and breakfast

8:00-8:50 Breakfast meeting

A 15-minute panel discussion followed by a 30-minute interactive conversation between moderator, panellists and audience members.

Bringing along the troops: Communicating and training with employees: Approaches and processes that work

- Tailor training and information based on job function
- Evaluate effectiveness of different formats (e.g., live, recorded, written, in person or hybrid) for different outcomes
- Maintain ongoing communications with employees
- Completing training for compliance violations
- Engagement of senior leaders and establishing the importance of trainings

Moderator

Teresa Bernstein, Chief Operating Officer, General Counsel and CCO, **ACON Investments**

Panelists

- **Tara McCarthy**, General Counsel and Chief Compliance Officer, **Nitorum Capital**
- **Jemima John**, VP, Compliance, **Shamrock Capital**
- **Jason Scoffield**, Chief Compliance Officer, **Audax Group**
- **Daren Schneider**, CFO and CCO, **JLL Partners**

8:50 PEI welcome

Brian Anderson, Senior Conference Producer, **Private Equity International**

9:00 Welcome remarks

Bruce Karpati, Partner, Global Chief Compliance Officer, **KKR**
Joann Harris, Firm Partner and Chief Compliance Officer, **TPG**



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9:05-9:55

Keynote Fireside Chat

SEC Examination Illumination

- Addressing common misconceptions about what staff are doing
- Surveying 2025 exam priorities, especially recent trends or changes
- Identifying issues that are most often referred to enforcement
- Illuminating what proper and improper proactive preparation looks throughout process
- Providing the latest key takeaways from sweeps

Moderator

Laura Ferrell, Partner, **Latham & Watkins**

Keynote

Arjuman Sultana, Assistant Regional Director of the New York Regional Office's Investment Adviser/Investment Company Program, **U.S. Securities and Exchange Commission**

9:55-11:35

Roundtables I

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

Large departments

Compliance considerations during fundraising

- Where to go for research and guidance
- What is your role during fundraise
- How to review and approve marketing materials
- Milestones for backwards planning

Facilitator

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

Small departments

Compliance considerations during fundraising

- Where to go for research and guidance
- What is your role during fundraise
- How to review and approve marketing materials
- Milestones for backwards planning

Facilitator

- **Jackie Cangero**, Counsel, **GI Partners**
- **Bart McDonald**, Executive Vice President and COO, **Renaissance Regulatory Systems**

Protocols and solutions to off-channel communications

- What technologies work and don't work
- Explore user-friendly systems for maximum adoption and impact
- Learn why certain protocols work or don't work
- What's the ease of review once assortment records are being maintained accurately and completely

Protocols and solutions to off-channel communications

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- Explore user-friendly systems for maximum adoption and impact
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- Identifying and mitigating risks and how much is enough
- Discuss nuances of rules (e.g. screen captures)
- What does compliance do with additional data and does it comply with protocols you have in place already

Facilitator

Bradley West, Chief Operating Officer and General Counsel,
Pritzker Private Capital

Ongoing operations throughout the year that ensure SEC exam readiness

- Get the most out of your mock exams and audits
- Having the business ready for exam throughout year through continuing monitoring of processes
- Get compliance buy in from the rest of your firm and ensure they are doing their job
- Define and observe proactive transparency

Facilitators

Joel Wattenbarger, Partner, **Ropes & Gray**

Michael Henry, Senior Managing Director, Chief Compliance Officer, **Wafra**

- Identifying and mitigating risks and how much is enough
- Discuss nuances of rules (e.g. screen captures)
- What does compliance do with additional data and does it comply with protocols you have in place already

Facilitator

Vivian Hadis, General Counsel & Chief Compliance Officer,
Odyssey Investment Partners

Ongoing operations throughout the year that ensure SEC exam readiness

- Get the most out of your mock exams and audits
- Having the business ready for exam throughout year through continuing monitoring of processes
- Get compliance buy in from the rest of your firm and ensure they are doing their job
- Define and observe proactive transparency

Facilitator

Michele Reing, CFO, COO and CCO, **Long Range Capital**

Nha-Uyen Hua, Compliance Director, **Carlyle Aviation Partners**

11:35 **Networking break**

12:00-12:50 Breakout sessions I

Track A

Set up your compliance department for success

- Stay abreast of regulatory environment
- Develop customized policies and procedures
- Develop a robust training program
- How to partner with the business
- Determine how much to use outsourcing vs. in house
- Emphasizing the importance of networking and partnerships
- What experience, expertise or credentials, beyond a law degree, are needed to balance out group

Track B

Cross-department collaboration to manage risk at your firms

- At what point is compliance expected to interact to create timely and efficient interactions
- Where does compliance get it right and where do they get it wrong
- Breaking down silos to mitigate pain points
- Designing programs that are practical but provide what SEC needs
- Development of appropriate committees
- Training and awareness approaches that work

Moderator



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Moderator

Eric Perelman, Corporate Partner, Investment Funds Practice Group, **Kirkland & Ellis**

Panelists

- **Renata Malavazzi**, General Counsel and Chief Compliance Officer, **Paine Schwartz Partners**
- **Lindsay Antonello**, Managing Director and Deputy Chief Compliance Officer, **TPG**
- **Karen Hager**, CCO, **Blue Owl Capital**
- **Mark Happe**, Managing Director, CCO, **MAI Capital Management**

Ashleigh Brogan, Chief Compliance Officer, **Declaration Partners**

Panelists

- **Joshua Cherry-Seto**, Partner and CFO, **StartUp Health**
- **Mary Catherine Manin**, Managing Director and Head of Investor Relations, **Stone Point Capital**
- **Eric Feldman**, Chief Information Officer, **The Riverside Company**
- **Sherwyn Williams**, Head of IT and Cybersecurity, **Siris Capital Group**

12:50 **Networking luncheon**

1:40-2:35 **Think tanks**

GP-only gatherings for candid discussions in a closed-door setting. Join your peers for candid discussions in a closed-door setting, with no media, vendors, or service providers in the room.

Think tank A

CCOs (GPs only)

Designed to facilitate candid discussion, this closed-door session for CCOs targets the issues and challenges impacting your firm. Attendees can benchmark ideas and share best practices to help you gain solutions for common concerns facing your office. Expect to address the most pressing matters facing CCOs post-PFAR and postelection.

Facilitators

Martha Mensoian, General Counsel and CCO, **Ethos Capital**
Michelle Vaughn, Chief Compliance Officer, **Lubert-Adler**

Think tank B

Senior-level professionals (GPs only)

Designed to facilitate candid discussion, this closed-door session for senior compliance professionals targets the issues and challenges impacting your firm. Attendees can benchmark ideas and share best practices to help you gain solutions for common concerns facing your office. Expect to address the most pressing matters facing CCOs post-PFAR and postelection.

Facilitators

Greg Hegerich, Head of Compliance, North America Private Investments & Real Estate, **Bain Capital**

2:35-3:40 **Workshops I**

These sessions are more interactive than a traditional breakout panel discussion. The sessions begin with a 25-minute panel discussion and are followed by a 35-minute interactive peer-to-peer discussion group. In the final ten minutes group leaders will come back to the panel table to present key takeaways from each small group.



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Track A:

Build tech-enabled compliance programs and AI

- How should you use AI for public facing material
- Examine criteria and approval process that should be used
- Explore potential use cases and limitations and possibilities of AI
- Weigh the pros and cons of creating technological tools in house
- Discuss how AI may be used to eliminate forensic processes and testing, including NDA reviews
- Discuss different technologies peers are using or not using and why or why not

Moderator

Brian Rooder, Chief Compliance Officer & Counsel, **Stone Point Credit**

Panelists

- **Junaid Subhan**, Vice President, Legal Affairs and Chief Compliance Officer, **Sagard**
- **John Jacobs**, Managing Director, Chief Compliance Officer and Deputy General Counsel, **Gryphon Investors**
- **Sabina Haq**, Chief Compliance Officer, **Atalaya Capital Management**
- **Whitney Vermeulen**, Compliance Officer, **Wellington Management**

Track B:

Compliance strategies for using third-party technology

- Defining what you are trying to accomplish
- How to identify and familiarize yourself with the third-party technology landscape
- What does your vendor management plan look like
- Assess/review security environment of tools
- Address issues related to adoption (ease of use, relevance)
- Evaluate cost/benefit of using technology

Moderator

Ross Goffi, Chief Compliance Officer, **ParkerGale Capital**

Panelists

- **Kevin Rooney**, Managing Director, **Cerberus Capital Management**
- **Haris Vrahliotis**, Compliance Director, **Towerbrook Capital Partners**
- **Sarah Christensen**, Deputy CCO, **Bow River Capital**
- **James Gaven**, General Counsel & CCO, **SK Capital Partners**
- **Charles Steerman**, Co-founder and COO, **Skematic**

3:40 **Networking break**

4:05-4:55 **Breakout sessions II**

Track A

Hone your annual review process and testing strategies

- Areas of focus among compliance teams
- Frequency and scope of testing
- Engagement of third-party consultants
- Timing, completion and documentation of annual reviews
- Best practices for your annual review

Track B

Wearing multiple hats

- Learn what other hats are peers wearing (IT, ESG, Office Admin, CFO)
- Keep compliance issues in the foreground
- Streamline and manage multiple projects/tasks with technology that works for you
- Opportunities and resources to keep abreast of trends and developments



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Moderator

Kathleen Servidea, General Counsel and CCO, **Gallatin Point**

Panelists

- **Darilyn Olidge**, General Counsel and CCO, **Brightwood Capital Advisors**
- **Jerry Sanchez**, CCO, **New Enterprise Associates**
- **Patty Nykodym**, Chief Financial Officer/Chief Compliance Officer, **FFL Partners**
- **Sarah Pikover**, Chief Compliance Officer & Director of Operations, **137 Ventures**

Moderator

Laure Brasch, Managing Director and Chief Compliance Officer, **Franklin Park**

Panelists

- **Lisa Costello**, CAO, CCO & Managing Director, **HCI Equity Partners**
- **Eve Mongiardo**, Chief Financial Officer, **Blue Wolf Capital Partners**
- **Michael Altschuler**, General Counsel, **Comvest Partners**
- **Jesse Knapel**, CFO and CCO, **Prelude Growth Partners**

5:15 Panel: LP perspective on what makes a good compliance program

- What do they like to see in a compliance program during due diligence
- What are common areas of deficiencies
- What are best practices in compliance programs

Moderator

David Richards, Senior Director, **Alvarez & Marsal**

Panelists

- **Robert E. McGrail**, Head of Legal and Compliance, **DUMAC, Inc**
- **Heather L. Traeger**, General Counsel & CCO, **Teacher Retirement System of Texas**
- **Matthew Liposky**, Chief Investment Operating Officer, **Massachusetts Pension Reserves Investment Management Board**
- **Tory Horton**, Assistant General Counsel, **Illinois State Treasurer Michael W. Frerichs**
- **Kim Davis**, Senior Director - Compliance & Compliance Counsel, **UTIMCO**

6:05 Networking reception



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Day 2: November 20, 2024

8:00 Registration breakfast

8:00-8:50 Breakfast meetings

Meeting A

Firmwide risk-management strategies

- Distinguish between compliance risks and risks that are operational Assessment and re-assessment of key vendors
- Create and evaluate processes and policies to mitigate risks
- Hear common risks associated with different risk types
- Determine which safeguards to prioritize and when and how to implement them
- Best practices for post-PFAR and post-election (what to expect from federal government)

Moderator

Lisa Costello, CAO, CCO & Managing Director, **HCI Equity Partners**

Panelists

- **Adan Araujo**, Senior Managing Director and Chief Compliance Officer, **Jasper Ridge Partners**
- **Jennifer Mello**, General Counsel and CCO, **Altamont Capital**
- **Michelle Bergman**, General Counsel & CCO, **Vestar Capital Partners**
- **Adam Childers**, CFO and CCO, **Quad-C Management**

Meeting B

Technology potluck: Peer-to-Peer reviews of technological tools and service providers (GPs only)

- Comprehensive compliance software
- Discuss tracking LPA, side letters, and political contributions
- IR systems and modules, including marketing materials
- Third-party software monitoring
- Vendors for off-channel communications

Moderators

- **Sandra Suk-Kim**, Chief Financial Officer and Chief Administrative Officer, **Engine No. 1**
- **Steven Spencer**, Partner, Chief Legal Officer and Chief Compliance Officer, **Siris Capital Group**

9:00-10:15 Workshops II

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Track A:

Prepare for your exam and learn how to conduct your firm

- Determine your firm's exam team composition
- Hear examples of firm's steps and priorities when preparing
- Trends in referrals to enforcement and how to avoid it
- Hear lessons learned from sweeps
- What procedures should you have in place

Moderator

Aaron Gilbride, Partner, **Latham & Watkins**

Panelists

- **Leigh Rovzar**, Partner, General Counsel and Chief Compliance Officer, **BayPine LP**
- **Daniel Gewanter**, General Counsel and Chief Compliance Officer, **Kohlberg & Company**
- **Erin Nelson**, Regional Head Compliance, Americas, **Partners Group**
- **Usman Shakeel**, General Counsel and CCO, **Wind Point Partners**

Track B:

Determining to use compliance consultants and other third parties

- Questions to ask consultants when vetting/selecting and red flags to watch for
- Questions to ask yourself when determining what level of outsourcing you want
- Pros and cons of using regulatory arm of law firm vs using an independent consultant
- Strategies for supervising consultants
- Benefits and challenges related to off-shoring

Moderator

Cassandra Rizzo, Director, Compliance, **The Riverside Company**

Panelists

- **Adam Freedman**, Managing Director, Chief Compliance Officer, **Harbourvest**
- **Letti de Little**, Chief Compliance Officer, **Grain Management**
- **Devin Holden**, Chief Compliance Officer, **NovaQuest Capital Management**
- **Jennifer Ciresi**, General Counsel and CCO, **Redmile Group**

10:15 **Networking break**

10:45-11:35 **Keynote Fireside Chat**

Succeeding to and in the role of CCO

- Pathways to leadership and what figures into success
- Dealing with frictions that are inherent to the CCO role
- Effect changes with your teams and cope with disruptions
- Trends in exam preparation and systems that ensure preparedness
- Key points for implementing new regulations

Keynotes

Bruce Karpati, Partner, Global Chief Compliance Officer, **KKR**
Joann Harris, Firm Partner and Chief Compliance Officer, **TPG**



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11:35-12:45 Carousel- Efficiencies, best practices and hacks

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

Technology/Data Management

Brian Anderson, Senior Conference Producer, **Private Equity International**

12:50-1:40 Cybersecurity protocols that minimize risk

- Hear lessons learned from conducting pen testing and tabletop exercises
- Establish live and recorded trainings that bolster security
- Review impactful technological tools
- Increase awareness and get buy in from board and other stakeholders
- Work in concert with your CTO to put critical procedures in place
- Balance safeguards with the needs of company to work efficiently

Moderator

Eric DiFiore, CCO, **TZP Group**

Panelists

- **Giulianna Ruiz**, Partner, General Counsel and Chief Compliance Officer, **Trilantic North America**
- **Teresa Bernstein**, Chief Operating Officer, General Counsel and CCO, **ACON Investments**
- **Noah Becker**, VP and CFO, **LLR Partners**
- **Douglas Chiciak**, Managing Director, Chief Compliance Officer, **Lightyear Capital**

1:40

Luncheon

2:40

End of conference



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