

Private Funds
CFO

Private Fund Compliance Operations Forum: New York

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

Speakers

Michael Altschuler, General Counsel, Comvest Partners
Brian Anderson, Senior Conference Producer, PEI Media Group
Lindsay Antonello, Managing Director and Deputy Chief Compliance Officer, TPG
Adan Araujo, Senior Managing Director and Chief Compliance Officer, Jasper Ridge Partners
Teresa Bernstein, Chief Operating Officer, General Counsel and CCO, ACON Investments
Jackie Cangero, Counsel, GI Partners
Brian Caravello, Exam Manager, Private Funds Unit, U.S. Securities and Exchange Commission
Lisa Costello, CAO, CCO & Managing Director, HCI Equity Partners
Adam Freedman, Managing Director, Chief Compliance Officer, Harbourvest
Sabina Haq, Chief Compliance Officer, Atalaya Capital Management
Michael Henry, Senior Managing Director, Chief Compliance Officer, Wafra
Devin Holden, Chief Compliance Officer, NovaQuest Capital Management
John Jacobs, Managing Director, CCO and Deputy General Counsel, Gryphon Investors
Jae J. Lee, SVP, Internal Audit Groups, Brookfield Asset Management
Letti de Little, Chief Compliance Officer, Grain Management
Renata Malavazzi, General Counsel and Chief Compliance Officer, Paine Schwartz Partners
Tara McCarthy, General Counsel and Chief Compliance Officer, Nitorum Capital
Eve Mongiardo, Chief Financial Officer, Blue Wolf Capital Partners
Michele Reing, CFO, COO and CCO, Long Range Capital
Leigh Rovzar, Partner, General Counsel and CCO, BayPine LP and Declaration Partners LP
Giulianna Ruiz, Partner, General Counsel and Chief Compliance Officer, Trilantic North America
Nate Saint Victor, General Counsel, Chief Compliance Officer, Engine No. 1
Junaid Subhan, Vice President, Legal Affairs and Chief Compliance Officer, Sagard
Bradley West, Chief Operating Officer and General Counsel, Pritzker Private Capital
Heather Zuzenak, Chief Compliance Officer, Advent International

Private Fund Compliance Operations Forum 2024 Agenda

Day 1: November 19, 2024

8:00 Registration and breakfast



For program information:
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8:05-8:50 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

Panelists

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

09:00 PEI welcome

Brian Anderson, Senior Conference Producer

9:10 Welcome remarks

9:15 Keynote Fireside Chat

SEC Examination Illumination

- Addressing common misconceptions about what staff are doing
- Surveying 2024 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

Brian Caravello, Exam Manager, Private Funds Unit, **U.S. Securities and Exchange Commission**

10:00 - 11:30 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.



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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

Heather Zuzenak, Chief Compliance Officer, **Advent International**

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
- 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

Jae Lee, SVP, Internal Audit & Compliance Monitoring, **Brookfield Asset Management**

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

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**

Protocols and solutions to off-channel communications

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Facilitator

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



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11:30 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

Panelists

- **Renata Malavazzi**, General Counsel and Chief Compliance Officer, **Paine Schwartz Partners**
- **Lindsay Antoniello**, Managing Director and Deputy Chief Compliance Officer, **TPG**

Track B

Hear from leaders from other departments on cross-department collaboration to manage risk

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

12:50 Networking luncheon

1:50-2:50 Think tanks I

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 most pressing matters facing CCOs post-PFAR and postelection.

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 most pressing matters facing CCOs post-PFAR and postelection.



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2:50-3:55 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 40-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.

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

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**

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

3:55 Networking break

4:25-5:15 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

Panelists

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



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Eve Mongiardo, Chief Financial Officer, **Blue Wolf Capital Partners**

Michael Altschuler, General Counsel, **Comvest 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

6:00 Networking reception and end of day one

Day 2: November 20, 2024

8:00 Registration breakfast

8:10 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)

Panelists

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

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

Moderator

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

8:55 Opening remarks



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9:00-10:15 Workshops II

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 40-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.

Track A:

Prepare for your exam and how to conduct your firm

- Determine exam team composition and who is in the room
- Trends in referrals to enforcement and how to avoid it
- Hear lessons learned from sweeps
- What procedures should you have in place

Panelists

- **Leigh Rovzar**, Partner, General Counsel and Chief Compliance Officer, **BayPine LP and Declaration Partners LP**

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

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**

10:15 Networking break

10:45 Keynote session

11:30-12:45 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



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12:40-1:30 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
- Most critical procedures that you should have in place
- Working in concert with CTO
- Balance safeguards with the needs of company to work efficiently

Panelists

Giulianna Ruiz, Partner, General Counsel and Chief Compliance Officer, **Trilantic North America**
Teresa Bernstein, Chief Operating Officer, General Counsel and CCO, **ACON Investments**

1:30 Luncheon and end of conference

2:30 End of conference



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