

# RECORDINGS AND VIDEOS:

## 2010 MUTUAL FUNDS AND INVESTMENT MANAGEMENT CONFERENCE

### CONFERENCE OVERVIEW

The Investment Company Institute's 2010 Mutual Funds and Investment Management Conference, cosponsored by the Federal Bar Association, featured panels on a variety of mutual fund regulatory and compliance issues.

### CONFERENCE MATERIALS

#### ITEM #

#### MP3 CD

MF110 Complete conference audio on a single MP3 CD - \$99.00

#### DVD-ROM

MF10 DVD Includes all audio sessions, all available visual materials, and videos of the general sessions. For breakout sessions, audio is provided and you will be able to view the PowerPoint slides - \$179.00

#### **Welcoming Remarks**

Thomas P. Lemke  
Managing Director and General Counsel  
Legg Mason, Inc.

Jack D. Lockridge  
Executive Director  
Federal Bar Association

#### **President's Address**

Paul Schott Stevens  
President and CEO  
Investment Company Institute

#### **Keynote Address**

The Honorable Luis A. Aguilar  
Commissioner  
U.S. Securities and Exchange Commission

#### **Understanding the Impact of Legislative and Regulatory Changes on Mutual Funds**

Karrie McMillan  
General Counsel  
Investment Company Institute

Kenneth J. Berman  
Partner

Debevoise & Plimpton LLP

Peter V. Bonanno  
Managing Director and Associate  
General Counsel  
Goldman Sachs Asset Management,  
L.P.

Kenneth S. Cohen  
Senior Vice President and Deputy  
General Counsel  
Mass Mutual/OppenheimerFunds

Phillip S. Gillespie  
Executive Vice President and General  
Counsel  
State Street Global Advisors

#### **Risk Management for the Uninitiated**

Robert M. Zakem  
Managing Director, Global Wealth and  
Investment Management Compliance  
Bank of America Corp.

Kevin M. Carome  
Senior Managing Director and General  
Counsel  
Invesco Ltd.

Anthony S. Evangelista  
Partner  
PricewaterhouseCoopers LLP

David Martin  
Senior Vice President  
Alliance Bernstein, L.P.

#### **Managing Litigation Exposure in Today's Environment**

Daniel T. Steiner  
Executive Vice President and General  
Counsel  
ICI Mutual Insurance Company, RRG

Jonathan Eisenberg  
Of Counsel  
Skadden, Arps, Slate, Meagher & Flom  
LLP

Mark A. Perry  
Partner  
Gibson, Dunn & Crutcher LLP

Dana N. Pescosolido  
Vice President, Deputy General  
Counsel (Litigation)  
Legg Mason, Inc.

#### **What Tax Developments are Impacting Funds?**

Keith Lawson  
Senior Counsel  
Investment Company Institute

Stephen D. Fisher  
Senior Vice President and Deputy  
General Counsel  
Fidelity Investments

Deanna J. Flores  
Principal, Washington National Tax  
KMPG, LLP

Jacqueline M. Porter  
Vice President, Virtus Funds and  
Director, Fund Administration  
Virtus Investment Partners

Karl Walli  
Senior Counsel, Office of Tax Policy  
U.S. Department of the Treasury

**What's in Store for Target Date  
Funds and Retirement Income  
Products?**

Anna Driggs  
Associate Counsel  
Investment Company Institute

David M. Abbey  
Managing Counsel and Vice President  
T. Rowe Price Associates, Inc.

Geoffrey H. Bobroff  
Principal  
Bobroff Consulting, Inc.

Bradford P. Campbell  
Of Counsel  
Schiff Hardin LLP

E. Thomas Johnson, Jr.  
Senior Vice President – Retirement  
Income Security  
New York Life Insurance Company

**What Issues Arise When Funds Invest  
and Trade Globally?**

Susan M. Olson  
Senior Counsel  
Investment Company Institute

Liliane Corzo  
Vice President and Senior Counsel  
Capital Research and Management  
Company

Rebecca O'Brien Radford  
Partner  
K&L Gates

Nancy G. Stetson  
Senior Vice President  
Brown Brothers Harriman

Stephen J. Tate  
Senior Vice President  
Putnam Investments

**What's on the Horizon for the  
Derivatives Markets?**

Daniel N. Budofsky  
Partner  
Davis Polk & Wardwell LLP

Nathan J. Greene  
Partner  
Shearman & Sterling LLP

J. Stephen King, Jr.  
Senior Vice President, Legal and  
Compliance  
PIMCO LLC

Robert G. Zack  
Executive Vice President and General  
Counsel  
OppenheimerFunds, Inc.

Susan C. Ervin  
Senior Advisor, Division of Investment  
Management  
U.S. Securities and Exchange Commission

**Hardy Perennials – Thorny Issues  
that Don't Go Away**

Heidi Stam  
Managing Director and General  
Counsel  
Vanguard

Barry P. Barbash  
Partner  
Willkie Farr & Gallagher LLP

Thomas P. Lemke  
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Susan McGee  
President and General Counsel  
U.S. Global Investors, Inc.

Andrew J. Donohue  
Director, Division of Investment  
Management  
U.S. Securities and Exchange  
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**Legal and Compliance Challenges  
Arising from Managing Multiple  
Types of Products**

Michael J. Downer  
Senior Vice President, Secretary and  
Coordinator of Legal and Compliance  
Capital Research and Management  
Company

Jack W. Murphy  
Partner  
Dechert LLP

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Managing Director and Global Head  
of Legal  
Deutsche Asset Management

Howard Surloff  
General Counsel of U.S. Funds  
BlackRock, Inc.

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Associate Director and Chief Counsel,  
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**Impact of Government and  
Regulatory Policies on the Money  
Market and Money Market Funds**

Brian Reid  
Chief Economist  
Investment Company Institute

Laurie F. Brignac  
Managing Director and Senior  
Portfolio Manager  
Invesco Fixed Income

Peter G. Crane  
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Crane Data LLC

Stephen A. Keen  
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Reed Smith LLP

Robert E. Plaze  
Associate Director, Division of  
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**The Changing Landscape for Trading  
and Market Structure**

Ari Burstein  
Senior Counsel  
Investment Company Institute

William Baxter  
Senior Vice President, Head of Equity  
Fidelity Management and Research

Steve Sachs  
Director of Trading  
Diamond Hill Investments

Steven W. Stone  
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Morgan, Lewis & Bockius LLP

David S. Shillman  
Associate Director, Division of  
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U.S. Securities and Exchange  
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**Navigating Communication  
Opportunities Using Social Media**

Dorothy Donohue  
Senior Associate Counsel  
Investment Company Institute

Melissa Callison  
Vice President, Complinace  
Charles Schwab & Co., Inc.

Amy Dobra  
Principal, Marketing  
Vanguard

Joseph E. Price  
Senior Vice President, Advertising  
Regulation/Corporate Financing  
FINRA

Lawrence P. Stadulis  
Partner  
Stradley Ronon Stevens & Young, LLP

**What's New in OCIE and  
Enforcement?**

Frank J. Nasta  
Managing Director, Head of JPMorgan  
Funds Management Legal  
J.P. Morgan Investment Management,  
Inc.

Paul S. Atkins  
Managing Director  
Patomak Partners LLC

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Chief Legal Officer  
Prudential Investments

Carlo V. di Florio  
Director, Office of Compliance  
Inspections and Examinations  
U.S. Securities and Exchange  
Commission

**Emerging Ethics Issues for Lawyers,  
Compliance Officers, and Chief  
Financial Officers**

Alison E. Baur  
Senior Associate General Counsel  
Franklin Templeton Investments

Paul G. Cellupica  
Chief Counsel, Securities Regulation &  
Corporation Services  
MetLife, Inc.

Timothy T. Lupfer  
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