

# RECORDINGS:

## 2009 MUTUAL FUNDS AND INVESTMENT MANAGEMENT CONFERENCE

### CONFERENCE OVERVIEW

The Investment Company Institute's 2009 Mutual Funds and Investment Management Conference, cosponsored by the Federal Bar Association, featured panels on a variety of mutual fund regulatory and compliance issues.

Robert E. Plaze  
Associate Director, Division of  
Investment Management  
U.S. Securities and Exchange Commission

MFI0309-4

#### **Current Tax Developments**

Karen Lau Gibian  
Associate Counsel – Tax Law  
Investment Company Institute

### CONFERENCE MATERIALS

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Catherine Barré  
Director, Associate General Counsel & Tax  
Counsel to the Funds  
Legg Mason & Co., LLC

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Michael Novey  
Associate Tax Legislative Counsel,  
Office of Tax Policy  
U.S. Department of Treasury

MFI0309-1 **Welcoming Remarks**  
Amy R. Doberman  
Managing Director  
Morgan Stanley

William M. Paul  
Partner  
Covington & Burling LLP

Jack D. Lockridge  
Executive Director  
Federal Bar Association

Gwen Shaneyfelt  
Senior Vice President – Global Taxation  
Franklin Templeton Investments

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

Paul Schott Stevens  
President and CEO  
Investment Company Institute

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#### **401(k) Plans at a Crossroads**

Michael L. Hadley  
Associate Counsel – Pension Regulation  
Investment Company Institute

MFI0309-2 **Keynote Address**  
Andrew J. Donohue  
Director  
Division of Investment Management  
U.S. Securities and Exchange  
Commission

Ralph Derbyshire  
Senior Vice President and Deputy  
General Counsel  
Fidelity Investments

MFI0309-3 **Impact of the Credit Crisis –  
Responses and Lessons Learned**  
Brian Reid  
Chief Economist  
Investment Company Institute

Catherine L. Heron  
Senior Vice President and Senior Counsel,  
Fund Business Management Group  
Capital Research and Management Company

Robert Deutsch  
Managing Director  
JPMorgan Asset Management

Joanne Medero  
Global Head of Government Relations  
Barclays Global Investors, N.A.

Stephen A. Keen  
Partner  
Reed Smith LLP

Brigen Winters  
Principal  
Groom Law Group

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#### **Opportunities and Challenges for Fund Managers in China and India**

Murray L. Simpson  
Executive Vice President  
Franklin Templeton Investments

Laura J. Merianos  
Senior Counsel  
The Vanguard Group, Inc.

Janaki Rege Catanzarite  
Associate  
Pepper Hamilton LLP

Victor Ho  
Partner  
Allen & Overy LLP

David Oestreicher  
Chief Legal Counsel  
T. Rowe Price Associates, Inc.

Benjamin F. Phillips  
Partner  
Casey, Quirk & Associates LLC

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**Recent Market Events and Their  
Effect on Fund Valuation Practices**

Dorothy Donohue  
Senior Associate Counsel – Securities  
Regulation  
Investment Company Institute

Elizabeth Duggan  
Chief Operating Officer, Evaluation  
Services  
Interactive Data Corporation

Anthony S. Evangelista  
Partner  
PricewaterhouseCoopers LLP

Thomas S. Harman  
Partner  
Morgan, Lewis & Bockius LLP

Frank Knox  
Chief Compliance Officer  
John Hancock Financial Services

Douglas Scheidt  
Chief Counsel, Division of Investment  
Management  
U.S. Securities and Exchange  
Commission

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**U.S. Financial Services Regulatory  
Reform**

Karrie McMillan  
General Counsel  
Investment Company Institute

Jeffrey T. Brown  
Senior Vice President, Office of  
Legislative and Regulatory Affairs  
Charles Schwab & Co., Inc.

Stuart J. Kaswell  
Executive Vice President and General  
Counsel  
Managed Funds Association

Jonathan Katz  
Former Secretary  
U.S. Securities and Exchange  
Commission

Peter J. Wallison  
Arthur F. Burns Fellow in Financial  
Policy Studies  
American Enterprise Institute

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**Recent Developments in Fund  
Disclosure**

Judy Hogan  
Senior Vice President and Associate  
General Counsel  
MFS Investment Management

Brian Brogan  
Vice President and Associate General  
Counsel  
American Century Investments

Ruth S. Epstein  
Partner  
Dechert LLP

Scott C. Goebel  
Senior Vice President and General  
Counsel  
Fidelity Management & Research  
Company

Susan Nash  
Associate Director, Division of  
Investment Management  
U.S. Securities and Exchange Commission

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**Future of the OTC Derivatives  
Markets**

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

Gerald T. Lins  
General Counsel  
ING Investment Management

Patricia Meyer  
Vice President and Associate General  
Counsel  
Goldman, Sachs & Co.

Mark D. Perlow  
Partner  
K&L Gates LLP

Dean R. Sackett III  
Government Affairs Officer  
Investment Company Institute

MFI0309-11 **Mutual Fund Civil Litigation: The Current Landscape**  
Daniel Steiner  
General Counsel  
ICI Mutual

Charles Etherington  
General Counsel  
American Century Investments

Sean M. Murphy  
Partner  
Milbank, Tweed Hadley & McCloy LLP

Janet D. Olsen  
General Counsel  
Artisan Partners Limited Partnership

Robert A. Skinner  
Partner  
Ropes & Gray

MFI0309-12 **Funds' Use of Leverage During Volatile Markets**  
Robert C. Grohowski  
Senior Counsel – Securities Regulation  
Investment Company Institute

Ed Blount  
Executive Director  
Center for the Study of Financial  
Market Evolution

Margery K. Neale  
Partner  
Willkie Farr & Gallagher LLP

Barry I. Pershkov  
Vice President and Legal Counsel  
ProFunds Group

Paul Williams  
Managing Director  
Nuveen Investments, LLC

MFI0309-13 **Continuing Evolution of Fund and Adviser Compliance Programs**  
Thomas Lemke  
Managing Director and General  
Counsel  
Legg Mason, Inc.

Kathleen T. Barr  
Chief Compliance Officer  
Allegiant Funds

A. Thomas Smith  
Global Head of Asset  
Management Legal  
Deutsche Asset Management, Inc.

Marianne Smythe  
Senior Counsel  
WilmerHale

John Walsh  
Chief Counsel, Office of Compliance,  
Inspections and Examinations  
U.S. Securities and Exchange Commission

MFI0309-14 **Avoiding Problems Before They Become Headlines**  
Laurence Cranch  
Senior Vice President and General Counsel  
AllianceBernstein, L.P.

Elizabeth Baird  
Partner  
O'Melveny & Myers LLP

Thomas A. Biolsi  
Associate Regional Director, Northeast  
Regional Office  
U.S. Securities and Exchange Commission

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

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