

# RECORDINGS:

## 2011 OPERATIONS AND TECHNOLOGY CONFERENCE

### CONFERENCE OVERVIEW

The theme of the Investment Company Institute's 2011 Operations and Technology Conference was "The Way Forward with Fund Investors." The conference was designed for operations, transfer agent, technology, and compliance professionals from the mutual fund industry.

Highlights, selected presentations, photos, and videos from the conference are available at <http://gmm.ici.org/gmm/highlights>.

### CONFERENCE MATERIALS

<b>ITEM #</b> OCX0511-126	<b>MP3 COMPUTER CD</b> Complete conference audio on a single MP3 CD - \$99 or \$79 for download
GMM/ OCX0511-126	<b><u>GMM and Operations &amp; Technology</u></b> Complete audio for BOTH conferences on a single MP3 CD - \$149 or \$129 for download

### CONFERENCE RECORDINGS

#### **Welcoming Remarks and Chairman's Address**

Greg Johnson  
Chairman  
GMM Planning Committee  
President and CEO  
Franklin Resources, Inc.

Edward Bernard  
Chairman  
Investment Company Institute  
Vice Chairman  
T. Rowe Price Group, Inc.

#### **GMM Policy Forum**

Timothy F. Geithner  
Secretary  
United States Department  
of the Treasury

Paul Schott Stevens  
President and CEO  
Investment Company Institute

#### **Leadership Panel: The Way Forward**

George Gatch  
CEO  
J.P. Morgan Funds

William F. Glavin  
Chairman, President, and CEO  
OppenheimerFunds, Inc.

Ronald P. O'Hanley  
President, Asset Management and  
Corporate Services  
Fidelity Investments

James I. Robertson  
Senior Managing Director, Director and  
CEO  
Invesco Perpetual (UK)

#### **Luncheon Keynote Speaker**

John Micklethwait  
Editor-in-Chief, *The Economist*

#### **A Regulatory Update**

Mary Schapiro  
Chairman  
U.S. Securities and Exchange Commission

#### **Operations and Technology Leadership Roundtable**

Stuart Bowers  
Chief Operating Officer  
DST Brokerage Solutions

Robert Adams  
Executive Vice President  
National Financial Services

Gudrun Neumann  
Senior Vice President and Chief  
Technology Officer  
American Century Investments

Gerard F. Scavelli  
President, Mutual Fund Services  
Broadridge

#### **DTCC and the Fund Industry: Meeting the Needs of Investors**

Donald Boteler  
Vice President, Operations  
Investment Company Institute

Donald F. Donahue  
CEO  
Depository Trust & Clearing  
Corporation

Ann Bergin  
Managing Director and General  
Manager, Wealth Management  
Services  
Depository Trust & Clearing  
Corporation

**The Operational Impact of Key  
Regulatory Initiatives**

Jim Volk  
Chief Accounting Officer and Chief  
Compliance Officer  
SEI Investment Manager Services

Mary Corcoran  
Senior Vice President  
Invesco Investment Services

James Waters  
Vice President  
Goldman Sachs Asset Management

Robert Zack  
EVP and General Counsel – Corporate  
OppenheimerFunds, Inc.

**Intelligent Risk Management: Why it is  
Everyone's Responsibility**

Kate Ives  
Senior Vice President and Deputy  
General Counsel  
OppenheimerFunds, Inc.

Robert Baillargeon  
Executive Vice President and Chief  
Risk Officer  
State Street Global Markets

Deborah Seidel  
Vice President  
T. Rowe Price Services

Robert W. Smith  
Senior Vice President  
Franklin Templeton Investor Services

**The Brave New World of Electronic  
Communications**

Pauline Scalvino  
Chief Compliance Officer  
Vanguard

Joe Boerio  
Senior Vice President, Chief  
Technology Officer  
Franklin Templeton

Mark Diamond  
President and CEO  
Contoural

Larry Stadulis  
Partner-In-Charge  
Stradley Ronon Stevens & Young, LLP

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