



## 2024 ACA Conference

Navigating the Future of Governance,  
Risk, and Compliance

Nashville | April 10 - 12, 2024

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### Chart a Course Through New Horizons

Join us in downtown Nashville, Tennessee for three days of insightful sessions and engaging conversations with compliance and performance experts, leading attorneys, and most importantly, your peers.

Investment advisers of all sizes are facing increasing regulatory burdens, and the pressure to adapt to new and ongoing concerns like AI, ESG, and Cybersecurity is greater than ever.

**This conference will be your compass, guiding you through a variety of topics that will help you:**

- » **Foster Innovation:** Explore emerging technologies and concepts, such as AI, and how they will impact compliance in the future.
- » **Adapt to Regulation:** Dive into critical topics like the new Private Fund Adviser Rules, Marketing Rule, upcoming Cyber Rule, and explore strategies and solutions to help you and your teams adapt.
- » **Harness Technology:** Discover how your peers are evolving their compliance programs by leveraging technology to simplify and streamline their processes.

Our conference will provide you with the knowledge, tools, and insights needed to chart a course through challenging new horizons. Join us in this exciting journey as we collectively navigate the future of governance, risk and compliance.

**LEARN FROM THE BEST IN THE INVESTMENT MANAGEMENT INDUSTRY**

## Experience the ACA Difference

Join us in downtown Nashville, Tennessee for three days of insightful sessions and engaging conversations with compliance and performance experts, leading attorneys, and most importantly, your peers.

Investment advisers of all sizes are facing increasing regulatory burdens, and the pressure to adapt to new and ongoing concerns like AI, ESG, and Cybersecurity is greater than ever.

## Why Should You Attend?

### 1. Stay informed about regulatory updates

Learn from our panels of experts about new rules and guidance from various regulators, SEC examinations and enforcement efforts, trends in adviser compliance best practices, and more.

### 2. Expand your knowledge on industry hot topics

You'll have the opportunity to hear panel discussions covering of-the-moment topics as well as participate in peer groups to learn more about best practices and how peers are facing the challenges these issues present.

### 3. Earn CLE and CPE credits

ACA will apply for CLE and CPE credits in the states requested by our attendees.

### 4. Cost-effective registration

We are sensitive to your budgetary constraints and continue to maintain our low registration fees.

### 5. Outstanding networking opportunities

One of the biggest factors that differentiates our conference from others is the intimate setting. You will have access to speakers, including attorneys from well-recognized law firms, expert consultants, and fellow compliance professionals. You will also have the opportunity to join peer groups to meet with like-minded firms and see where you stand compared to others in the industry.

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LEARN FROM THE BEST IN THE INVESTMENT MANAGEMENT INDUSTRY

# Conference Agenda

Wednesday, April 10, 2024

**1:00 PM - 1:15 PM**

**Conference Opening Remarks**

**1:15 PM - 2:10 PM**

**The Evolution of Communications Surveillance**

From the mid-1990s, compliance professionals have struggled to keep pace with the revolutionary changes in the way we communicate: first with email, then instant messaging, followed by social media, text messaging, and the proliferation of end-to-end encrypted messaging apps. Regulations and compliance programs originally crafted for an analog age must be kept up to date to satisfy the demands of an increasingly digital world. Join us as we trace the evolution of communications surveillance, from the early days of random sampling and lexicon-based detection to the vastly improved surveillance capabilities now enabled by Artificial Intelligence.

**Panelists:** Peter Kenny, ACA Group, Josh Broaded, ACA Group, Tom Venezia, LeapXpert

**2:15 PM - 3:05 PM | Choose one of the following:**

**Navigating the SEC's Cybersecurity Priorities**

With the ever-increasing volume and severity of cyber attacks, it's no surprise that cybersecurity continues to be one of the hottest topics for CCOs. However, CCOs are not only being forced to respond to the ongoing threat of cybersecurity incidents, they must also update their programs to ensure alignment with the SEC's recent rulemaking proposals and continued focus on information security in examinations.

This panel discussion will outline some of the key elements of the SEC's recent cybersecurity rulemaking proposals, common challenges firms face in achieving compliance, and cybersecurity best practices that will help firms meet these increasing regulatory requirements.

**Panelists:** Mike Pappacena, ACA Group, Scott Jilek, ACA Group, Jason Gordon, Cinctive Capital, Avi Gesser, Debevoise & Plimpton

**Workshop: Kickstart your Compliance Monitoring Program with Technology**

This interactive session will walk you through how to set up your compliance monitoring program using regulatory technology. We will demonstrate common scenarios that CCOs experience and how you can leverage ComplianceAlpha to meet challenges in an ever-evolving regulatory environment.

**Panelists:** Leigh Emery, ACA Group, Marissa Probst, ACA Group

**3:05 PM - 3:35 PM**

**Exhibitor and ACA Lounge Showcase**

Join us in the Exhibitor Hall and ACA Lounge to meet some of our industry partners and ACA's team. Plus, practice your perfect swing on our mini putting green.

### 3:35 PM – 4:25 PM | Choose one of the following:

#### Investment Performance Concepts for the Compliance Officer

Discover the calculations and statistics required when performance takes center stage in your advertising materials. This session is your key to a basic understanding of the fundamental metrics required when performance meets advertising materials. Join us and unlock the secrets to impactful advertising through essential calculations.

**Panelists:** Karen Foley, ACA Group, Bree Pollard, ACA Group, Amy Bourdeau, ACA Group, Brian Hourian, Brookfield Asset Management

#### Mitigating ESG Risk from Unmonitored Private Investments, CLOs, and Other Hard-to-Cover Assets

This session will discuss practical approaches for addressing ESG risk from unmonitored investments in private markets, CLOs, and other hard-to-cover assets. We will cover pros and cons of different approaches and when to consider each. The session will also cover changing investor reporting expectations for these areas and commonly asked questions from ACA clients about ESG data and reporting for these assets.

**Panelists:** Luke Wilcox, ACA Group, Alyssa Briggs, ACA Group, Keri Riemer, K&L Gates, Eduardo Deschappelles, Georgetown University

### 4:30 PM – 5:25 PM | Choose one of the following “Chat with the Mentors” Sessions

These smaller group break-out sessions are designed to be interactive and informal. Join these roundtable discussions and workshops to learn more about these compelling topics.

#### Chat with the Mentors: How to Survive and Thrive in a Long-Term Compliance Career

This session is designed to be an interactive round table discussion for anyone looking to grow and change in their compliance career. You will have an opportunity to hear from long-standing leaders in the compliance field.

Some of the topics we will cover include:

- » Challenges we face as compliance professionals
- » How to keep cool and remain confident under pressure
- » How to create “Buy In” to help foster and maintain a culture of compliance
- » How and When to Ask for Help”

**Panelists:** Tracy Abbott, ACA Group, Myles Blechner, ACA Group, Steve Farmer, Confluence

#### Chat with the Mentors: Get Smart with your Compliance Budget

Chat with your peers about how to manage a smart compliance budget and get the most from your compliance resources. This session will cover how firms can leverage internal and external tools and resources efficiently to meet growing regulatory expectations, particularly with budget pressure.

**Panelists:** Roseanne Harford, ACA Group, Doug Chiciak, Lightyear Capital, Lior Kosovski, IEQ Capital

#### Chat with the Mentors: Private Fund Adviser Rule Q&A

Chat with your peers in a candid discussion about navigating compliance with the new Private Fund Adviser Rules. This session offers an open forum to share successes and challenges encountered while collaborating with internal teams and external vendors in the creation of quarterly statements. We'll also explore the implications of other components of the new rules, such as restricted activities and preferential treatment. Don't miss this opportunity to gain valuable insights and exchange ideas with industry colleagues.

**Panelists:** Julia Reyes, ACA Group, Chase Frei, ACA Group, Shivani Choudhary, ACA Group, Matthew Shepherd, ACA Group

### Chat with the Mentors: Compliance Challenges for Wealth Managers

Spend time with the ACA | Wealth team in an intimate setting. Chat with your peers about important compliance topics directly impacting the Wealth Management space. Key topics include current compliance challenges facing advisors, emerging enforcement actions and best practices in building and maintaining a best-in-class compliance program. In this collaborative setting, you will have the opportunity to learn from the experts as well as discuss key compliance topics with your peers.

**Panelists:** Dave Rishel, ACA Group, John Vekich, ACA Group  
Stacy Howell, ACA Group

### Chat with the Mentors: Harnessing Technology for Streamlined Compliance in the ACA Lounge

This session is an open forum for live demos and questions regarding ACA's ComplianceAlpha platform. Join our team of experts where we will cover:

- » Creating and managing an Off-Channel Communication Compliance Program - learn how technology can help to better manage a firm's policies and testing programs; administer Certifications for employees to attest to these policies, as well as training; facilitate the capture and archiving of any approved channels; and surveil for instances where employees look to be using unmonitored communication channels.
- » Harnessing Unified Surveillance - explore how technology can help bring together employee activities, firm/client trading, deals/meetings/MNPI events, and eComms to create a more effective, efficient, and defensible compliance program.
- » Managing and monitoring marketing materials - find out how technology can streamline the review/approval/tracking of marketing material and surveil for unapproved materials being distributed by employees.

**Panelists:** Kyle Strong, ACA Group

**5:30 PM - 7:30 PM**

Welcome Networking Reception

Thursday, April 11, 2024

7:15 AM - 8:15 AM

### Breakfast Buffet with optional Peer Group Meet-Ups

Grab a seat at a table of like-minded peers from firms like yours at our informal peer group breakfast. We'll have tables for hedge funds, private equity firms, wealth managers, and more – pull up a seat and make a new connection.

8:20 AM - 8:30 AM

### Opening Remarks

8:30 AM - 9:30 AM

### Navigating the SEC's Rule-Making, Exam and Enforcement Priorities

The SEC's rule-making agenda is one of the most aggressive in years, with many new rules potentially falling on investment advisers all at once. This panel will provide an update on the status of key rule proposals and what to expect. In addition, the SEC's Exams Division has set forth a very broad set of priorities, and this panel will explore key risks, trends and compliance strategies. Finally, the SEC Enforcement Division has brought a record number of cases and obtained nearly \$5 billion in financial remedies, the second highest amount in SEC history, second only to 2022. Join our panelists as they discuss this dynamic regulatory landscape and share insights for navigating new rules, exam priorities and lessons learned from enforcement actions.

**Panelists:** Carlo di Florio, ACA Group, Anthony Conte, Prudential Global Investment Management (PGIM) Private Capital, Gail Bernstein, Investment Adviser Association (IAA), Kristin Snyder, Partner, Debevoise & Plimpton and former Deputy Director, SEC Exams Division

9:30 AM - 10:30 AM

**Keynote Speaker:** Ben Schreiner, Head of Business Innovation, US Strategic Sales, Amazon Web Services (AWS)

### AI Risks and Opportunities in Financial Services

In the last decade, financial services company executives have grappled with increasingly complex risk and compliance challenges, including the need to navigate evolving regulatory landscapes and mitigate potential threats to data security and customer privacy. The rise of AI poses significant risks to risk and compliance in financial services, stemming from issues such as data quality, AI/ML attacks, and the ethical implications of AI-driven decision-making. However, it also offers the potential for benefits such as enhanced customer service personalization, expedited processes, and more tailored financial products, if implemented responsibly.

### Join us in the ACA Lounge

Stop by ACA's lounge to learn more about how our advisory, managed services, and regulatory technology can help you to foster innovation, adapt to regulatory change, and harness technology to enhance your compliance program. Plus get a special prize if you hit a hole in one at our product fair putting green.

**10:30 AM – 10:45 AM**

**Coffee Break**

**10:45 AM – 11:45 AM | Choose one of the following:**

**Next Gen Holistic Surveillance: Harness New Tech to Enhance Programs and Keep Pace with Regulators**

Today, regulators expect firms to have moved beyond the basic collection and storage of data. Instead, they are expected to collect and leverage the data available to develop actionable insights which better manage risk. Centralized data capture through the cloud sets the stage for firms to take better advantage of artificial intelligence capabilities, from behavioral analytics and natural language processing to more recent advances with large language models and voice recognition. Join us for an exploration of how compliance professionals can harness new technologies that will strengthen their surveillance programs.

**Panelists:** Peter Kenny, ACA Group, Marc Salter, ACA Group

**The Marketing Rule - One Year Later**

This panel will cover lessons learned over the past year on the new marketing rule. We will discuss interpretations and best practices.

**Panelists:** Julia Reyes, ACA Group, Matthew Shepherd, ACA Group, Katie Cianciolo, ACA Group, Josh Levit, Invesco, Manny Halberstam, Simpson Thacher & Bartlett LLP

**11:45 AM – 1:00 PM**

**Buffet Lunch**

**1:00 PM – 2:00 PM | Choose one of the following:**

**The Evolving AML Landscape: Navigating Regulatory Changes**

The AML compliance landscape is witnessing significant shifts due to dynamic regulatory change. Many are grappling with updates such as the Bank Secrecy Act (BSA) in the United States, and ever-changing sanctions landscape. Hear from our panel of experts on how to navigate this complex regulatory maze.

**Panelists:** Bryan Chapman, ACA Group, Ginny Voos, ACA Group, Wendy Toribio-Torres, ACA Group, Alvaro Soto, White Wolfe Capital Group

**The Art of Innovation**

In today's rapidly evolving market landscape, it's imperative for companies to cultivate a mindset geared towards innovation and establish robust mechanisms to ensure they remain relevant and competitive. Join Glenn Holland, an Innovation Principal with Amazon Web Services, as he delves into the inner workings of Amazon's "Culture of Innovation" - the tenets that empower teams to challenge norms, think big, and deliver groundbreaking solutions. Attendees will gain insights into how Amazon's iterative approach and customer obsession have spurred the creation of diverse and transformative businesses, from AWS's revolutionary cloud services to their advances in AI and logistics. This session covers actionable strategies for fostering an environment where innovation thrives, drawing lessons from Amazon's journey to drive your own disruptive projects and competitive edge.

**Speaker:** Glenn Holland, Digital Innovation Principal, Amazon Web Services (AWS)

## 2:05 PM – 3:05 PM | Choose one of the following:

### Demystifying the Private Fund Adviser Rules: Action Items and Best Practices

With just six to twelve months before the Private Fund Adviser Rule's most important compliance dates, we will discuss what CCOs need to do now to help their firms prepare. The Private Funds Rule represents the biggest change in private fund regulation in more than a decade. Meeting the new rule's requirements will require skill, planning, and collaboration across your firm and key service providers. Join us for a conversation about what it will take to get it right, and what you should do now to prepare.

**Panelists:** Josh Broaded, ACA Group, Chase Frei, ACA Group, Chuck Daly, Sidley Austin

### Launching Innovative 40 Act Products in Today's Market

Expert panelists representing the perspectives of an Investment Company Trustee, Fund Officer, Regulatory and Enforcement Attorney, moderated by a leader in Fund Distribution discuss the latest developments in not only the registered fund space, but the continued emergence of traditional private fund managers in the registered fund space. Panelists will discuss product trends within Open-end Mutual Funds, ETFs, Interval Funds, Private Funds and Crypto, and how Compliance Staff at Investment Advisers ought to be thinking about and preparing for the regulatory requirements of launching investment vehicles in this environment.

**Panelists:** Andrew Strnad, ACA Group, Jim Nash, ACA Group, Elaine Richards, US Bank, David Adams, Mintz

## 3:05 PM – 3:20 PM

Coffee Break

## 3:20 PM – 4:20 PM | Choose one of the following:

### Code of Ethics Monitoring Like a Pro

This session will cover areas of the "Code of Ethics" monitoring landscape that are a must know! We will discuss RegTech features that can help you manage your code of ethics program, regulatory background, and perspective from your peers on do's and don'ts. There will be open Q&A to share insights and discuss best practices as a group.

**Panelists:** Ben Huber, ACA Group, Enrique Alvarez, ACA Group, Doug Chiciak, Lightyear Capital

### Regulatory Changes in Filings and Disclosure Requirements for Investment Advisers

This session will equip you with the knowledge to navigate new and enhanced filings and disclosure requirements for investment advisers, including private funds. We will discuss best practices and available technology for monitoring when filings must be made and for making accurate and timely filings. You will also gain critical insights on coordinating disclosure obligations and maintaining consistency among your various regulatory filings, client and investor reporting, and legal/contractual documents.

**Panelists:** Hayden Moyer, ACA Group, Myles Blechner, ACA Group, Kevinraj Bhatia, Bridgewater Associates



**4:25 PM – 5:25 PM | Choose one of the following:**

**Trends in Outsourcing and Managed Services: Regulatory Headwinds and Tailwinds**

This session will equip you with the knowledge to navigate the complexities of outsourcing while maintaining compliance with regulatory standards. You'll gain critical insights into the regulatory landscape of outsourcing, understand investment adviser regulatory obligations and best practices, and discover strategic approaches to mitigate risks.

**Panelists:** **Nicole Morton**, ACA Group, **Kenny Clowers**, ACA Group, **Kim Lorenz**, Mercer

**Making ESG Compliance Easy: How to Build an Effective ESG Data Management and Monitoring Program**

As investor and regulatory demands increase, there is greater scrutiny around ESG data and reporting. This session will take a compliance lens on ESG data, highlight key risks in collecting and reporting ESG data, and practical solutions ACA clients are implementing today to mitigate risks.

**Panelists:** **Dan Mistler**, ACA Group, **Peyun Kok**, ACA Group, **Jeff Wade**, LS Power, **Kristine Martinez**, Hellman & Friedman

**5:30 PM – 6:30 PM**

**Networking Cocktail Hour**

**Friday, April 12, 2024**

**8:00 AM - 8:45 AM**

**Breakfast**

**8:45 AM - 9:45 AM**

**Opening Remarks**

**8:30 AM - 9:30 AM | Choose one of the following:**

**Case Studies in Tech: Using Technology to Optimize Your Compliance Program**

Learn how your peers are leveraging technology to bolster their compliance program.

**Panelists:** Leigh Emery, ACA Group, Enrique Alvarez, ACA Group  
Brian Meyer, Fir Tree,

**Reduce Your Risk of Breaches with Penetration Testing: What You Should Know**

Cybersecurity remains one of the top risks that compliance and security professionals are expected to manage. With an increasingly complex threat landscape and greater scrutiny from regulators, it's an issue that deserves significant attention. However, many firms struggle to develop their offensive strategy against cyber threats, feeling like they are constantly chasing the most recent threat or learning from the latest breach.

This session will cover the importance of engaging in penetration testing as a tool to test the strength of a firm's network, internal controls and systems, and applications against cybersecurity threats, and to help proactively manage cybersecurity risk. The session will provide real world examples of the testing outputs and how they can be used by compliance and cybersecurity professionals. It will also include an overview and demonstration of ACA Aponix's penetration testing services and provide insight into various testing techniques available.

**Panelists:** Christine Tetherly-Lewis, ACA Group, Jeff Standley, ACA Group

## 9:50 AM - 10:50 AM | Choose one of the following:

### ESG Reporting Alphabet Soup: How to Efficiently Report on ESG to the Growing Number of ESG Regulations and Investor Requirements

The ESG goalposts keep shifting. Whether from changing regulatory requirements, varying investor demand, or new and changing reporting frameworks, ESG practitioners must stay on their toes. This session will cover the universe of ESG frameworks and regulations, what aspects of ESG are changing most quickly, and how ACA clients are cutting through the noise.

**Panelists:** **Julian Seelan**, ACA Group, **William Nelson**, Investment Adviser Association (IAA), **Charlotte Peyraud**, Houlihan Lokey, **Christine Wong**, BlackRock

### Charting your European Expansion: Exploring Pathways to New Markets

Expanding your international presence and setting up in a new jurisdiction may feel daunting but the rewards can be significant. With the right local partners, the journey to upgrading your firm to international status can be straightforward and simple, regardless of your current business size.

This session is designed to provide practical insights and actionable steps for U.S.-based firms contemplating building a presence in the UK or seeking to market to EU investors without a permanent presence. It will outline strategies to help you launch, grow, and protect your business, including:

- » Concise steps to setting up a European presence, from conceptualization to operation
- » Selecting your most appropriate route to market, for example a hosted investment advisory platform or full regulatory authorization?
- » Clarifying compliance obligations within an unfamiliar local regulatory, reporting, fiscal, and employment environments
- » When and where to engage third-party support
- » Advice from experienced market practitioners and participants

**Panelists:** **Raj Somal**, ACA Mirabella, **Andy Welch**, ACA Group, **Ant Bennett**, ACA Mirabella, **Christopher Christian**, Dechert

## 10:50 AM - 11:05 AM

Break

## 11:05 AM - 12:20 PM

### Building a Gold Standard Compliance Program: Best Practices for a Scalable Program and Real Life Examples From Your Peers in the Trenches

Compliance is a team sport and an interdisciplinary science. It requires deep technical knowledge, careful systems design, and meaningful connections across and beyond your firm. A good compliance program pairs influence with internal controls, and brings to bear both training and technology. We hope you will join us for a conversation about practical steps you can take to build a compliance program that is truly best-in-class.

**Panelists:** **Josh Broaded**, ACA Group, **Violetta Cerasuolo**, Commonfund, **Todd Spillane**, CIBC Private Wealth, **Lisa Lange**, State of Wisconsin Investment Board

## 12:20 PM - 12:30 PM

Closing Remarks

## Registration & Pricing

- » 3 days of insightful sessions with experts in the field
- » Customized mobile app
- » Breakfast, lunch, and receptions throughout the event
- » Networking opportunities with your peers

EARLY BIRD REGISTRATION	January 16 – Feb 8	\$2,000
REGULAR REGISTRATION	February 9 – March 8	\$2,250
LATE REGISTRATION	After March 8	\$2,500

For registration questions or more information regarding discounts, refunds, or cancellations, please contact:  
Sue Parsons at [Susan.Parsons@acaglobal.com](mailto:Susan.Parsons@acaglobal.com)

## Conference App

ACA Group has partnered with Attendee Hub by Cvent to provide an interactive mobile for conference attendees. The app allows attendees to create their own agenda, download presentations, and network with colleagues during the conference. Attendees will be able to download the app two weeks before the conference.



## Conference Details

### LOCATION

#### Omni Nashville Hotel

250 Rep. John Lewis Way S, Nashville, TN 37203, United States

### HOTEL RESERVATIONS

There is a block of rooms available at a discounted rate of \$315 and up/night plus applicable taxes at Omni Nashville Hotel.

[Book now](#) to secure the lowest rates before our room block sells out.



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[www.nasba.org](http://www.nasba.org).

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