



**2024** Investment Adviser  
Compliance Conference

MARCH 6-8 / WASHINGTON, DC

**EFFECTIVE STRATEGIES  
& BEST PRACTICES**



**REGISTRANT LIST BY FIRM**

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Martin Hunt	Operations and Compliance Associate	1607 Capital Partners, LLC	Richmond	VA	Attendee
Jane Morrow	Compliance Manager	A. Montag & Associates, Inc.	Atlanta	GA	Attendee
Shivani Choudhary, CFA, CIPM	Managing Director	ACA Group	New York	NY	Sponsor
Kenneth Clowers	Managing Director	ACA Group	Silver Spring	MD	Sponsor
Carlo di Florio	Global Advisory Leader	ACA Group	New York	NY	Attendee
James R. Diercksen	Managing Director	ACA Group	New York	NY	Sponsor
Gregory Mekanik	Partner	ACA Group	Silver Spring	MD	Sponsor
Dan Mistler	Partner, Head of ESG Services	ACA Group	New York	NY	Speaker
Neha Pasricha, Esq.	Principal Consultant	ACA Group	N. Bethesda	MD	Attendee
Jack Rader	Partner and Diversified Financial Practice Leader	ACA Group	Silver Spring	MD	Sponsor
Julia Reyes, CIPM	Partner	ACA Group	New York	NY	Speaker
Adam Rimmer	Associate Director of Client Development	ACA Group	New York	NY	Sponsor
Charlie Stout	Partner	ACA Group	Silver Spring	MD	Sponsor
Lee Ann Wilson	Deputy CCO	Adage Capital Management, L.P.	Boston	MA	Attendee
Michele L. Riggs	Sr. Compliance Administrator	Adviser Compliance, LLC	Boston	MA	Attendee
Ash Foster	Privacy Counsel and Counsel	AE Wealth Management, LLC	Topeka	KS	Attendee
Kasie VanDonge	Regulatory Counsel	AE Wealth Management, LLC	Topeka	KS	Attendee
Manoroth Mohlke	Sr. Compliance Officer	Allianz Investment Management LLC	Lakeville	MN	Attendee
Lejeana Love	Compliance	Alphastar Capital Management, LLC	Cornelius	NC	Attendee
Matthew Sutula	Senior Compliance Analyst	ALPS Mutual Funds Services, Inc.	Denver	CO	Attendee
Anthony Mastri	Chief Compliance Officer	Altrinsic Global Advisors, LLC	Stamford	CT	Attendee
Luisa Haratani Bittencourt	Compliance Analyst	Ameraudi Asset Management, Inc.	New York	NY	Attendee
Tracy M. Soehle	Managing Director, Senior Counsel	AMG, Inc.	Boston	MA	Attendee
Yana Karalnik	SVP, Deputy Head of US Compliance	Amundi Asset Management US, Inc.	Boston	MA	Attendee
Kathleen Scully	Compliance Officer	Antares Capital Advisers LLC	Bronxville	NY	Attendee
A. Valerie Mirko, Esq.	Partner & Co-leader Securities Regulation and Litigation Practice	Armstrong Teasdale LLP	Washington	DC	Speaker
Kristen Niebuhr	Chief Compliance Officer	ARS Investment Partners, LLC	New York	NY	Attendee
Michelle Paz	Compliance Specialist	Artisan Partners Limited Partnership	Milwaukee	WI	Attendee
Amanda E. White	Chief Compliance Officer and Associate General Counsel	Ascension Investment Management	St. Louis	MO	Attendee
Shannon Brady	Compliance Associate	Asgard Regulatory Group, LLC	Melville	NY	Attendee
Olivia Scuteri, CAMS	Associate Director	Asgard Regulatory Group, LLC	Melville	NY	Attendee
Alexander W. Patseliev, CPA	Controllor	Ashford Capital Management Inc	Wilmington	DE	Attendee

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Anthony Petrucci	Chief Compliance Officer, Chief Financial Officer, Director	Ashford Capital Management Inc	WILMINGTON	DE	Attendee
Ted Angus	EVP and General Counsel	AssetMark, Inc.	Concord	CA	Attendee
David Olson	Compliance Manager	AssetMark, Inc.	Concord	CA	Attendee
Dawn E. Plas	Compliance Specialist   Advisor Compliance	AssetMark, Inc.	Concord	CA	Attendee
Erin Harris	Compliance Director	Atomic Invest LLC	Gilbert	AZ	Attendee
Jason Scoffield	Chief Compliance Officer	Audax Group	Boston	MA	Attendee
Ian McPherson	Head of Legal—Americas	Aviva Investors Americas LLC	Chicago	IL	Speaker
James Easton	Compliance Senior Manager – North America	Baillie Gifford Overseas Limited	New York	NY	Attendee
Patricia Watson, IACCP	Chief Compliance Officer	Baker Ellis Asset Management LLC	Vancouver	WA	Attendee
Hannah Ackels, IACCP	Chief Compliance Officer	Barrow, Hanley, Mewhinney & Strauss, LLC	Dallas	TX	Attendee
Hank Sanchez	Managing Director	Bates Group LLC	Portland	OR	Attendee
Kurt Wachholz, IACCP	Managing Director	Bates Group LLC	Beaufort	SC	Speaker
Jemima John	Compliance Manager	BC Partners LLC	New York	NY	Attendee
Scott Comeau	Sr. Manager, Operations & Compliance	BCU Wealth Advisors	Vernon Hills	IL	Attendee
Ritu Gupta	Vice President	Bessemer Investment Management LLC	New York	NY	Attendee
Seth Rosenbloom	General Counsel	Betterment LLC	New York	NY	Speaker
Nicole Dutkus	Chief Compliance Officer	Biondo Investment Advisors, LLC	Milford	PA	Attendee
Paul J. Donovan, CFP	Chief Compliance Officer & Chief Administrative Officer	Birch Hill Investment Advisors LLC	Boston	MA	Attendee
William J. Powers	Chief Compliance Officer	Bitterroot Capital Advisors LLC	Sonoma	CA	Attendee
Johanna Collins-Wood	Senior Counsel, Chief Compliance Officer	Bitwise Investment Manager, LLC	San Francisco	CA	Attendee
Doug Palenchar	Chief Compliance Officer, Senior Vice President - Operations	Bivium Capital Partners, LLC	San Francisco	CA	Attendee
Benjamin Tecmire	Director	Blackrock Investment Management, LLC	New York	NY	Attendee
Lydia Beyoud	Reporter	Bloomberg Industry Group	Washington	DC	Press
Andrew Ramonas	Senior Reporter, Corporate Disclosure	Bloomberg Industry Group	Washington	DC	Press
Elizabeth Smart	Chief Compliance Officer	Blue Chip Partners, LLC	Farmington Hills	MI	Attendee
Suzanne Kellogg, IACCP	Compliance Officer	Bogart Wealth, LLC	McLean	VA	Attendee
Melinda Christian	SVP Operations	Bookends Financial Planning	Indianapolis	IN	Attendee
Heidi W. Hargis	Chief Compliance Officer	Bookends Financial Planning	Indianapolis	IN	Attendee
Darren Beals	Chief Compliance Officer & Chief Operating Officer	Boston Family Office, LLC	Boston	MA	Attendee
James Kerr	Chief Compliance Officer & Senior Counsel	Bow River Asset Management, Inc.	Denver	CO	Attendee
Thomas J. Tarantino	General Counsel	Boyd Watterson Asset Management L.L.C.	Cleveland	OH	Attendee
Kristina D. Sherman	CCO	Brandywine Managers, LLC	Hockessin	DE	Attendee
Jeffrey Feitt	National Account Director	Broadridge Financial Solutions	Pittsburgh	PA	Attendee
Robert Marotta	Director, Account Management	Broadridge Financial Solutions	Edgewood	NY	Attendee

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Michael Muirhead	Sr. Director, Learning & Development	Broadridge Financial Solutions	New York	NY	Attendee
Philip Pollina	Account Manager	Broadridge Financial Solutions	New York	NY	Attendee
Rui Han	Compliance Officer	Brown Advisory	Herndon	VA	Attendee
Elizabeth Sharp, CFP, IACCP	Compliance Administrator	Brown Miller Wealth Management, LLC	Mclean	VA	Attendee
Jake Fechter	Director, Compliance	Buckingham Strategic Wealth	Clayton	MO	Attendee
Harsha Mahawela	Senior Manager - Legal & Compliance	Burgundy Asset Management Ltd.	Toronto	Ontario	Attendee
Kevin Smiley, CPA, CFP	Managing Partner	Burkett Financial Services, LLC	Rock Hill	SC	Attendee
Aaron Pattison	Associate Attorney	Buttonwood Legal Adviser, PLLC	Portsmouth	NH	Sponsor
Cooper Stouch	Associate Attorney	Buttonwood Legal Adviser, PLLC	Portsmouth	NH	Sponsor
Jenny Huskey	CCO	C&J Wealth Advisors	Knoxville	TN	Attendee
Laree P. Kennedy	VP, Investment Services/ERM Compliance and Risk Manager	Cadence Bank	Birmingham	AL	Attendee
Jeremy Bolf	Director of Compliance	Cain Watters & Associates, LLC	Frisco	TX	Attendee
Patrick D. Hayes	Partner	Calfee, Halter & Griswold LLP	Cincinnati	OH	Speaker
Eric Myers	Compliance Operations and Risk Analyst	Calfee, Halter & Griswold LLP	Cincinnati	OH	Attendee
Robin J. Harrison, IACCP	Chief Compliance Officer & Vice President, Operations	Campbell Newman Asset Management, Inc.	Milwaukee	WI	Attendee
Charles Ray	Financial Analyst	Cannon Financial Strategists, Inc.	Athens	GA	Attendee
Nicholas Semeria	Director, Individual Client Services Delivery	Cannon Financial Strategists, Inc.	Athens	GA	Attendee
Katie Gorham	Associate Counsel, Global Technology & Cybersecurity	Capital Group	Los Angeles	CA	Speaker
Naseem Nixon	Vice President and Associate Counsel	Capital Group	Los Angeles	CA	Speaker
Holly Mallory, IACCP	Chief Compliance Officer	Capital Investment Advisors	Franklin	CA	Attendee
John Carr	Partner	Carr Butterfield, LLP	Portland	OR	Attendee
Jessica L. Thompson, Esq.	Chief Compliance Officer	Cary Street Partners Investment Advisory LLC	Richmond	VA	Attendee
Michael Bauer	Associate General Counsel, Compliance Officer	Caspian Capital LP	New York	NY	Attendee
Dory Bowers	Head of Operations	Catalytic Wealth RIA, LLC	Cambridge	MA	Attendee
Jessica R. Hale	Chief Legal and Compliance Officer	Catalytic Wealth RIA, LLC	Cambridge,	MA	Attendee
Michael Brophy	Chief Compliance Officer	CenterSquare Investment Management	Plymouth Meeting	PA	Attendee
Karyn Vincent, CFA, CPA, CIPM	Senior Head, Global Industry Standards	CFA Institute	Charlottesville	VA	Speaker
Ariel Reque	Compliance Analyst	CG Advisor Network	Haslett	MI	Attendee
Matthew Garcia	Partner and Chief Compliance Officer	Champlain Investment Partners, LLC	Burlington	VT	Attendee
Breanne McLernan	Associate Compliance	Champlain Investment Partners, LLC	Burlington	VT	Attendee
Michael Rasmussen	CCO; General Counsel	Chandler Asset Management Inc	San Diego	CA	Attendee
Beth Hunter	Director, Compliance	Charles Schwab & Co., Inc.	Oak Harbor	WA	Attendee
Stephen Johnson	Vice President, Associate General Counsel, Corporate Legal Services	Charles Schwab & Co., Inc.	Austin	TX	Speaker
Staci Price	Director, Compliance	Charles Schwab & Co., Inc.	Phoenix	AZ	Attendee
Stephanie Secor	Director	Charles Schwab & Co., Inc.	Southlake	TX	Attendee

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Daniel Trainor	Strategic Account Manager	Charles Schwab & Co., Inc.	Denver	CO	Exhibitor
Jennifer King	Senior Vice President, Operations & Corporate Secretary	Chase Investment Counsel Corporation	Charlottesville	VA	Attendee
Stacey Sargent	Partner	Chicago Capital, LLC	Chicago	IL	Attendee
Vicki G. Tunstall	Compliance Lead	Chicago Capital, LLC	Chicago	IL	Attendee
Jyothi San Juan	Senior Manager, Co-Head of Compliance Management	CI Segall Bryant & Hamill Asset Management	Chicago	IL	Speaker
Philip W. Cecil	Deputy General Counsel	CIBC Private Wealth Management	Chicago	IL	Attendee
Devin Langham, IACCP	AVP, Compliance Officer	CIM Capital, LLC	Los Angeles	CA	Attendee
Richard Munoz	Compliance Manager	CIM Capital, LLC	Los Angeles	CA	Attendee
Mukya Porter	Managing Director, CCO	CIM Capital, LLC	Los Angeles	CA	Speaker
Aaron Somers	VP, Deputy Chief Compliance Officer	CIM Capital, LLC	Phoenix,	AZ	Attendee
Catrina Reagan	US Chief Compliance Officer	City of London Investment Management Compar	West Chester	PA	Attendee
Sam Bojarski	Reporter	Citywire USA	New York	NY	Press
Andrew J. Gould	Information Technology Manager	Clarkston Capital Partners, LLC	Bloomfield Hills	MI	Attendee
Leslie Vazquez	Compliance Administrator	Clarkston Capital Partners, LLC	Rochester	MI	Attendee
Gretchen E. Lee	Chief Compliance Officer	Clifford Swan Investment Counsel	Pasadena	CA	Speaker
Sara Beier	Managing Director	Cloudbreak Compliance Group	White Plains	NY	Attendee
Jami Jack	Regulatory Compliance Consultant	Cloudbreak Compliance Group	Dallas	TX	Attendee
Cheryll Calaguio	Chief Compliance Officer	Columbia Pacific Advisors	Seattle	WA	Attendee
Brandon Zatopek	Commonwealth Financial Network	Commonwealth Financial Network	Waltham	MA	Attendee
Leigh Niebuhr	Principal, Senior Portfolio Manager, & CCO	Compass Capital Management, Inc.	Minneapolis	MN	Attendee
Nils Dafniet	Account Executive	COMPLY	New York	NY	Attendee
Stephanie Esposito	Registration Sales Manager	COMPLY	New York	NY	Exhibitor
Richard Houanche	Account Executive	COMPLY	New York	NY	Exhibitor
Madeline Jacobs	Marketing Manager	COMPLY	New York	NY	Attendee
Max Mejiborsky	Vice President Compliance Services, Executive Consultant	COMPLY	New York	NY	Speaker
Nancy E. Renshaw	Chief Compliance Officer	Compton Wealth Advisory Group, LLC	Virginia Beach	VA	Attendee
Daniel W. Miller	Vice President, Compliance	Concurrent Investment Advisors, LLC	St Petersburg	FL	Attendee
Steve Farmer	CCO	Confluence Investment Management LLC	St. Louis	MO	Speaker
Rachel Swope	Compliance Associate	Cooke & Bieler, L.P.	PHILADELPHIA	PA	Attendee
Chad Estep	Chief Compliance Officer	Corient Private Wealth LLC	New York	NY	Speaker
James Karayanis	VP, Head of Assurance	Corient Private Wealth LLC	Morristown	NJ	Attendee
Laura M. Barnhill, Esq.	Vice President Legal affairs and Compliance	Cornell Pochily Investment Advisors, Inc	Ithaca	NY	Attendee
Ana-Maria Ignat, Esq.	Chief Compliance Officer and General Counsel	Covestor Limited	Arlington	VA	Attendee
Irene Zeng	Deputy Chief Compliance Officer	Covestor Limited	Washington	DC	Attendee
Bliss M. Bernal	Chief Compliance Officer	Crestone Capital LLC	Boulder	CO	Speaker

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Roger Crain	Enterprise Sales Director	CSS, A Confluence Company	Salisbury	CT	Sponsor
Jonathan Addington	President	CyberSecureRIA	Knoxville	TN	Exhibitor
Tom Chitwood	Chief Operations Officer	CyberSecureRIA	Knoxville	TN	Exhibitor
Kamala Asay	Senior Compliance Officer	Cynasure Management, LLC	Salt Lake City	UT	Attendee
Nichole Bennett	Executive Assistant	Cynasure Management, LLC	Salt Lake City	UT	Attendee
Emily Teran	Chief Compliance Officer	Cynasure Management, LLC	SALT LAKE CITY	UT	Attendee
Michael Price	CFO/CCO	David Vaughan Investments, LLC	Peoria	IL	Attendee
Michael G. McDonald	Associate	Davis Wright Tremaine LLP	Washington	DC	Attendee
Lisandra Richardson	Project & Due Diligence Manager	DbCom Inc.	Princeton	NJ	Attendee
Charu A. Chandrasekhar	Counsel	Debevoise & Plimpton LLP	Washington	DC	Speaker
Sheena Paul	Counsel	Debevoise & Plimpton LLP	Washington	DC	Attendee
Marc Ponchione	Partner	Debevoise & Plimpton LLP	Washington	DC	Attendee
David Bartels	Partner	Dechert LLP	Washington	DC	Speaker
Lindsay Grossman	Associate	Dechert LLP	Boston	MA	Attendee
Michael McGrath	Partner	Dechert LLP	Boston	MA	Speaker
Paul Stevens	Partner	Dechert LLP	Washington	DC	Attendee
Mel Cosio	CCO / Director of Compliance	DFP Partners	New York	NY	Attendee
Tara Horne	Director	DFP Partners	Reno	NV	Exhibitor
Jonathan Lee	Associate Director	DFP Partners	New York	NY	Exhibitor
Nicole Solinga-Stasi, IACCP	Partner, Chief Operating Officer, Chief Compliance Officer	Douglas Lane & Associates, Inc.	New York	NY	Attendee
Kathleen Warner, IACCP	Chief Administrative Officer and Chief Compliance Officer	Doyenne Wealth Advisors	Chicago	IL	Attendee
Kathleen Hegyi	Chief Compliance Officer	Duff & Phelps Investment Management Co.	Chicago	IL	Attendee
Colin Kinney	Global Chief Compliance Officer, Virtus Investment Partners	Duff & Phelps Investment Management Co.	Hartford	CT	Attendee
Tanya A. Kerrigan, Esq.	General Counsel and Chief Compliance Officer	Eaglebrook Advisors	Miami	FL	Attendee
Patricia Buchholtz	Chief Compliance Officer	Eclectic Associates, Inc.	Fullerton	CA	Attendee
Nick DeVore	Manager, Financial Services	Egnyte	Raleigh	NC	Exhibitor
Jordan Parker	Account Executive	Egnyte	Mountain View	CA	Exhibitor
Krisy Lee	Vice President	EIG Global Energy Partners	Falls Church	VA	Attendee
Sean R. Murphy	Senior Vice President & Chief Compliance Officer & Senior Counsel	EIG Global Energy Partners	Washington	DC	Speaker
Juli-Ann Marquette	Operations Manager	Element Wealth	Ridgeland	MS	Attendee
Albert Abanza	VP, Compliance Officer	Energy Impact Partners	New York	NY	Attendee
Alexandra Acosta	CCO	Ethic Inc.	New York	NY	Attendee
Jennifer Reiche	Chief Compliance Officer	Eventide Asset Management, LLC	Boston	MA	Speaker
Kris L. Sumner	Chief Compliance Officer	Evermay Wealth Management, LLC	Brambleton	VA	Attendee
Ethan D. Corey	Senior Counsel	Eversheds Sutherland LLP	New York	NY	Attendee
Michael B. Koffler	Partner	Eversheds Sutherland LLP	New York	NY	Speaker

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Michael S. Timmermans, Esq.	General Counsel	F.L. Putnam Investment Management Co.	Lynnfield	MA	Attendee
Chris Hufman	CCO	Facet	Baltimore	MD	Attendee
Veena K. Jain	Partner	Faegre Drinker Biddle & Reath LLP	Philadelphia	PA	Attendee
Rachel C. Anderson	Chief Compliance Officer	Fairhaven Financial Advisory Corporation	East Lansing	MI	Attendee
Amber Allen	General Counsel and Executive Vice President; President, Fairview Cyber	Fairview, LLC	Raleigh	NC	Sponsor
Ellen Harvin	CEO, Compliance Administration and Performance Services	Fairview, LLC	Raleigh	NC	Sponsor
Amarjot S. Saigal	Head of Operations	FalconX	San Mateo	CA	Attendee
Robert L. Heidel, Jr.	VP Finance	Falfurrias Management Partners	Charlotte	NC	Attendee
Jessica Duhamel	Vice President, Asset Management Compliance	Fidelity Investments	Boston	MA	Attendee
Heather Foidart	Director of Sales	Fidelity Investments	Mesa	AZ	Attendee
Vall Herard	Senior Vice President	Fidelity Investments	Nyack	NY	Attendee
Brandon Lamb	Compliance Officer	Fidelity Investments	Burlington	MA	Attendee
Andrew McCaffrey	Director of SAAS Sales, Fidelity Labs - Saifr	Fidelity Investments	Seattle	WA	Attendee
Brian Scarpa	Director of Fiduciary Oversight, PI & FPWA Compliance	Fidelity Investments	Jersey City	NJ	Attendee
Stuart Schwartz	Regional Vice President of Sales	Fidelity Investments	Boston	MA	Attendee
Jennifer Suellentrop	Vice President, Associate General Counsel	Fidelity Investments	Smithfield	RI	Attendee
Kyle Verma	Director of Sales, Fidelity Labs - Saifr	Fidelity Investments	Boston	MA	Attendee
Wei Zhao	Chief Compliance Officer	Fiera Capital Inc.	New York	NY	Speaker
Tracey Longo	Washington Editor	Financial Advisor Magazine	Washington	DC	Press
Jessica Roeper	Senior Compliance Officer	FinTech Law, LLC	Cincinnati	OH	Attendee
Eryn Blake	Audit Project Manager	First Citizens Bank	Durham	NC	Attendee
Steven A. Yadegari	Founder and CEO	FiSolve, LLC	Roslyn	NY	Speaker
NIKOLAY BALAYAN	Associate	Foley & Lardner LLP	NEW YORK	NY	Attendee
Michael D. MacArthur, IACCP	Director of Compliance and Risk Management, CCO	Forest Investment Associates	Atlanta	GA	Attendee
Mary J. Giconi	Chief Compliance Officer	Fort Pitt Capital Group LLC	Pittsburgh	PA	Attendee
Diana H. Inman	Compliance Officer	Franklin Street Advisors, Inc.	Chapel Hill	NC	Attendee
Alison E. Baur	Deputy General Counsel	Franklin Templeton	San Mateo	CA	Speaker
Max Gokhman, CFA	Head of MosaiQ Investment Strategy	Franklin Templeton	San Mateo	CA	Speaker
Michael L. Sherman	Partner, Asset Management	Fried, Frank, Harris, Shriver & Jacobson LLP	Washington	DC	Attendee
Robert E. Phay, Jr.	Chief Compliance Officer and General Counsel	Frontier Capital Management Company	Boston	MA	Attendee
Kevin Fogarty	Editor	Fund Directions	New York	NY	Press
Chris Fadeff	CCO and VP Operations	Galvanize Climate Solutions	San Francisco	CA	Attendee
Charlotte Castro	Deputy Chief Compliance Officer	Garcia Hamilton & Associates, L.P.	Houston	TX	Attendee
Brady Daggett	Chief Compliance Officer	Garda Capital Partners LP	Wayzata	MN	Attendee

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Gina Lamancusa	Compliance Director	Garda Capital Partners LP	Wayzata	MN	Attendee
Tricia G. Tomich	Chief Compliance Officer, General Counsel	Gateway Investment Advisers, LLC	Cincinnati	OH	Attendee
Maria R. McGarry	Managing Director	Glenmede Investment Management, LP	Philadelphia	PA	Attendee
Asha Gooden	CCO - US	GLP Capital Partners	Santa Monica	CA	Attendee
Kimberly Larin	Global Chief Compliance Officer	GLP Capital Partners	Santa Monica	CA	Attendee
Courtney Myers, IACCP	Compliance and Operations Manager	Glynn Capital	Menlo Park	CA	Attendee
Eric Ciarlante	Managing Director	Graham Partners, Inc.	Newtown Square	PA	Attendee
Letti de Little	Chief Compliance Officer	Grain Management, LLC	Washington	DC	Speaker
Jaime Harris	Director Digital Business and Innovation	Grain Management, LLC	Washington	DC	Attendee
Jeffrey Prioleau	IT Operations Manager	Grain Management, LLC	Washington	DC	Attendee
Christopher Casdia	CCO	Gratus Capital, LLC	Canton	GA	Attendee
John E. Beale	Compliance Administrator	Greenwood Capital Associates, LLC	Greenwood	SC	Attendee
Jill Grenda	Director & CCO	Greycourt & Company, Inc	Wexford	PA	Attendee
Jennifer Eller	Principal	Groom Law Group, Chartered	Washington	DC	Speaker
Elisabeth Miller	Managing Director	Guggenheim Partners, LLC	Rockville	NY	Attendee
Robert Saperstein	Senior Managing Director	Guggenheim Partners, LLC	New York	NY	Speaker
Lewis Collins	Partner, General Counsel	GW&K Investment Management	Boston	MA	Speaker
Adia F. Finn	Senior Manager, Compliance and Risk Management	GW&K Investment Management	Boston	MA	Speaker
Rosa D. Cadena	Chief Compliance Officer	GYL Financial Synergies	Westport	CT	Attendee
Som Mohapatra	Founder & COO	Hadrius	New York	NY	Exhibitor
Ryan Stevenson	Founding Sales Lead	Hadrius	Atlanta	GA	Exhibitor
Matthew Cross	Code of Ethics Officer	Harbor Capital Advisors, Inc.	Chicago	IL	Attendee
Chelsea Lewis-Bahr	Compliance Analyst	Harbor Capital Advisors, Inc.	Chicago	IL	Attendee
Robert Simoldoni	Compliance Officer	Harding Loevner LP	Bridgewater	NJ	Attendee
Sarah Grimm	Head of Regulatory Filings & Marketing Compliance	Harris Associates L.P.	Chicago	IL	Attendee
Michael J. Pietras	Deputy CCO & Compliance Manager	Harris Associates L.P.	Chicago	IL	Attendee
Anita K. Bost	Chief Compliance Officer	Heartwood Wealth Advisors	Richmond	VA	Attendee
Benjamin C. Gurley, CFP	Director	Heartwood Wealth Advisors	Richmond	VA	Attendee
Christopher Hill	Compliance	Heritage Investors Management Corporation	Bethesda	MD	Attendee
Zhe Liang	Compliance	Himalaya Capital	Seattle	WA	Attendee
Sarah Ronnenberg, IACCP	Compliance Director	Horizon Investments, LLC	Charlotte	NC	Attendee
Maureen Quigley, CFA	Portfolio Manager, CCO	Howland Capital Management LLC	Boston	MA	Attendee
Kristin Burnett	CCO	Human Interest Advisors LLC	San Francisco	CA	Attendee
Jessica Hurley	Sr. Compliance Analyst	Human Interest Advisors LLC	San Francisco	CA	Attendee
Lori Merritt, FPQP	Senior RIA Compliance Analyst	Human Interest Advisors LLC	Fairview	NC	Attendee
Jillian Woods	Compliance Analyst	Human Interest Advisors LLC	Charlestown	MA	Attendee
Michael R. Smith	President & CCO	iA Private Wealth (USA) Inc.	Toronto	Ontario	Attendee
Hugh Kennedy	Author	IA Week	Gaithersburg	MD	Press

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Brian Dunefsky	CCO	ICV Partners, LLC	Irvington	NY	Attendee
Laurel Resendez	Compliance Specialist - Advisory	IFG Advisory, LLC	Atlanta	GA	Attendee
Ivy W. Duke, JD, LL.M	General Counsel	ImpactAssets	Bethesda	MD	Attendee
Paul Mulholland	Reporter	Institutional Shareholder Services, Inc.	Rockville	MD	Press
Josh Levit	CCO, ISSM and Private Markets	Invesco Ltd.	Atlanta	GA	Speaker
Karen L. Barr	President & Chief Executive Officer	Investment Adviser Association	Washington	DC	Speaker
Gail Bernstein	General Counsel	Investment Adviser Association	Washington	DC	Speaker
Monique S. Botkin	Associate General Counsel	Investment Adviser Association	Washington	DC	Speaker
Chris Brownlowe	Manager, Finance and Operations	Investment Adviser Association	Washington	DC	Staff
Anastasia Brunk	Membership Coordinator	Investment Adviser Association	Washington	DC	Staff
Sarah Buescher	Special Counsel	Investment Adviser Association	Washington	DC	Staff
Brad Feldman	VP, Finance & Operations	Investment Adviser Association	Washington	DC	Staff
Lisa Gillette	Director of Meetings and Events	Investment Adviser Association	Washington	DC	Staff
Laura L. Grossman	Associate General Counsel	Investment Adviser Association	Washington	DC	Speaker
Nicole Hadfield	Events Team	Investment Adviser Association	Washington	DC	Staff
Nancy Hancock	VP, Business Practices	Investment Adviser Association	Washington	DC	Staff
Erica Hunter	Manager, Member Engagement	Investment Adviser Association	Washington	DC	Staff
Alex Ioannidis	Manager, Marketing & Partnerships	Investment Adviser Association	Washington	DC	Staff
Nelea Johnson	Executive Assistant to the President and CEO	Investment Adviser Association	Washington	DC	Staff
Nana Kharabadze	Administrative Coordinator	Investment Adviser Association	Washington	DC	Staff
Sanjay Lamba	Associate General Counsel	Investment Adviser Association	Washington	DC	Speaker
William A. Nelson	Associate General Counsel	Investment Adviser Association	Washington	DC	Speaker
Janay Rickwalder	VP, Communications & Marketing	Investment Adviser Association	Washington	DC	Staff
Neil A. Simon	Vice President for Government Relations	Investment Adviser Association	Washington	DC	Speaker
Alain Taylor	VP, Membership	Investment Adviser Association	Washington	DC	Staff
Hasika Wije	Marketing and Membership Coordinator	Investment Adviser Association	Washington	DC	Staff
Meredith Wise	Senior Manager, Communications & Marketing	Investment Adviser Association	Washington	DC	Staff
Mitra Surrell	Associate General Counsel	Investment Company Institute	Washington	DC	Attendee
Kevin Teng	Associate General Counsel	Investure, LLC	Charlottesville	VA	Attendee
Jeff L. Bernier	Partner	J.M. Forbes & Co. LLP	Boston	MA	Attendee
Paul M. Kendrigan	Chief Compliance Officer	J.M. Forbes & Co. LLP	Boston	MA	Attendee
Nyana Simpson	Project Manager	J.M. Forbes & Co. LLP	Boston	MA	Attendee
Michael Choi	Global Head of Wealth Management Solutions Compliance	J.P. Morgan Investment Management	New York	NY	Attendee
Andrea M. Santoriello	Executive Director and Assistant General Counsel	J.P. Morgan Investment Management	New York	NY	Speaker
Mara L. Shreck	Head of Regulatory Affairs – Asset & Wealth Management	J.P. Morgan Investment Management	Washington	DC	Speaker
Brad Daniels	Managing Director	J.S. Held LLC	Tinley Park	IL	Attendee



NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Stephen Strombelline	Managing Director	J.S. Held LLC	Key Biscayne	FL	Attendee
Michelle Jacko	CEO & Managing Partner	Jacko Law Group, PC	San Diego	CA	Speaker
Margaret Spalding	Senior Regulatory Specialist, Compliance	Jackson National Asset Management, LLC	Chicago	IL	Attendee
Sarah Doxsee	Compliance Officer	Jensen Investment Management Inc.	Lake Oswego	OR	Attendee
Todd Schoen	Senior Compliance Officer	Jensen Investment Management Inc.	Lake Oswego	OR	Attendee
August Santillo	Chief Compliance Officer	JFS Wealth Advisors, LLC	Camp Hill	PA	Attendee
Gregory Zivkovich	Compliance Specialist	JFS Wealth Advisors, LLC	Pittsburgh	PA	Attendee
Andrew Collins	Manager, Private Markets Distribution Compliance – U.S.	John Hancock Personal Financial Services, LLC	Boston	MA	Attendee
Robert Hartigan	Chief Compliance Officer	John Hancock Personal Financial Services, LLC	Boston	MA	Attendee
John P. Moore	Senior Compliance Consultant, Digital Advice	John Hancock Personal Financial Services, LLC	Boston	MA	Attendee
Scott J. Bischoff	Chief Compliance Officer, Chief Operations Officer, Director - Operations, Owner, Principal	Johnson Investment Counsel, Inc.	Cincinnati	OH	Attendee
Davie Baccei	Partner, Chief Compliance Officer	Jordan Park	San Francisco	CA	Speaker
Mark C. Amorosi	Partner	K&L Gates LLP	Washington	DC	Attendee
Cheryl L. Isaac	Partner	K&L Gates LLP	Washington	DC	Attendee
Jennifer Klass	Partner	K&L Gates LLP	New York	NY	Speaker
Pablo Man	Partner	K&L Gates LLP	Boston	MA	Attendee
Keri E. Riemer	Of Counsel	K&L Gates LLP	New York	NY	Attendee
Fatima Sulaiman	Partner	K&L Gates LLP	Boston	MA	Attendee
Adam Bolter	Counsel	Katten Muchin Rosenman LLP	Glenview	IL	Attendee
Alex Egan	Director	Kaufman Rossin Wealth, LLC	Boca Raton	FL	Attendee
Alex Nguyen	Manager, Risk Advisory Services	Kaufman Rossin Wealth, LLC	Miami	FL	Exhibitor
Illeana R. Perez, CIPM	Senior Risk Advisor	Kaufman Rossin Wealth, LLC	Boca Raton	FL	Attendee
Lisa Reid	Senior Manager	Kaufman Rossin Wealth, LLC	Boca Raton	FL	Attendee
Stephanie Richards	Senior Manager	Kaufman Rossin Wealth, LLC	Miami	FL	Attendee
Maria Socarras	Director of Client Experience	Kaufman Rossin Wealth, LLC	Miami	FL	Exhibitor
Michael Shoemaker	Chief Compliance Officer	Kayne Anderson Rudnick Investment Managemen	Los Angeles	CA	Attendee
Steven R. Blau	Counsel	King & Spaulding LLP	New York	NY	Attendee
Melissa S. Gainor	Partner	Kirkland & Ellis LLP	Washington	DC	Attendee
Sofia D. Martos	Partner	Kirkland & Ellis LLP	Chicago	IL	Speaker
Jennie L. Morawetz	Partner	Kirkland & Ellis LLP	Washington	DC	Attendee
Alpa Patel	Partner, Investment Funds	Kirkland & Ellis LLP	Washington	DC	Speaker
Maria Chambers, IACCP	Vice President, Chief Compliance Officer	Klingenstein Fields Advisors	New York	NY	Speaker
Jacob Prudhomme	Director	KPMG LLP	New York	NY	Speaker
Lynne Carreiro	Managing Director, Compliance Consulting	Kroll, LLC	Silver Spring	MD	Sponsor
Ken C. Joseph, Esq.	Managing Director	Kroll, LLC	New York	NY	Speaker
Tiffany Le Bote	Vice President, Compliance Consulting	Kroll, LLC	New York	NY	Sponsor

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Laura Ferrell	Partner	Latham & Watkins LLP	Chicago	IL	Attendee
Aaron T. Gilbride	Partner	Latham & Watkins LLP	Chicago	IL	Attendee
Jamie L. Walter	Partner	Latham & Watkins LLP	Washington	DC	Speaker
Jefferson H. West	Chief Compliance Officer	Legacy Wealth Management, LLC	Boise	ID	Attendee
Scott Fitzhenry	Vice President and Chief Compliance Officer	Liberty Mutual Investments	Boston	MA	Attendee
Jeffrey R. Gates	Chief Compliance Officer	Liberty Mutual Investments	Hingham	MA	Attendee
Martin Bingisser	Head Legal, Risk & Compliance	Lloyd Capital LLC	Kilchberg	Switzerland	Attendee
Anthony Monaco	Head of Compliance US	LMR Partners	Eastchester	NY	Attendee
Stephanie Catule	Internal Auditor	Loring, Wolcott & Coolidge Fiduciary Advisors LLI	Boston	MA	Attendee
Edmond Romulus	Compliance Associate	Loring, Wolcott & Coolidge Fiduciary Advisors LLI	Boston	MA	Attendee
Hillary R. Jarlis	Senior Legal Analyst	Los Angeles Capital Management LLC	Los Angeles	CA	Attendee
Natalie Maniaci Roberts	Associate Counsel	Los Angeles Capital Management LLC	Los Angeles	CA	Attendee
Ryan Burch	Senior Vice President, Associate General Counsel, Chief Privacy Officer	LPL Financial LLC	Boston	MA	Speaker
Danny Flaherty	Legal Officer	LSV Asset Management	Chicago	IL	Attendee
Drew D. Kellner	Managing Member	Lumbard Investment Counseling LLC	Hollis	NH	Attendee
Anna Nikiforova, CFA, IACCP	Associate Compliance Officer	Luther King Capital Management	Fort Worth	TX	Attendee
Natalie McMahon	CCO/COO	Main Street Research, LLC	Sausalito	CA	Attendee
Tito Pombra	CCO	Main Street Research, LLC	Sausalito	CA	Attendee
Robert W. Mairs	President, General Counsel, Chief Compliance Officer	Mairs & Power, Inc.	St. Paul	MN	Attendee
Barbara Mallon	Principal	Mallon & Johnson	Chicago	IL	Attendee
Thomas E. Stickley	CCO	Marble Harbor Investment Counsel, LLC	Boston	MA	Attendee
Travis J. Pearson, ASLI, AIAF, AIDA	Senior Director Commercial Financial Institutions	Markel	Glen Allen	VA	Attendee
Kristy Thom	Compliance Officer	Marquette Asset Management, LLC	Minneapolis	MN	Attendee
Jennifer N. Cooper, IACCP	President, CFO & CCO	Martingale Asset Management, L.P.	Boston	MA	Attendee
Marisa N. Vicario, CPA, IACCP	VP, Finance and Compliance	Martingale Asset Management, L.P.	Boston	MA	Attendee
Adam Kanter	Partner	Mayer Brown LLP	Washington	DC	Attendee
Aline M. McCullough	Associate	McGuireWoods LLP	Richmond	VA	Attendee
Eric Robens	Head of Compliance and Enterprise Risk Controlling	MEAG New York Corporation	New York	NY	Attendee
Dawn Hatch	Operations Manager & Chief Compliance Officer	Means Wealth Management	Bangor	ME	Attendee
Benjamin Bramer	Deputy CCO	Mercer Global Advisors Inc.	Denver	CO	Attendee
Torian Erker, CIA	Compliance Monitoring and Testing Manager	Mercer Global Advisors Inc.	Midlothian	VA	Speaker
Donna Thompson, IACCP	M&A Sr. Compliance Analyst - Monitoring & Testing	Mercer Global Advisors Inc.	Elkhorn	WI	Attendee
Bruna Bradshaw	Corporate Compliance Officer	Meridiam	Annapolis	MD	Attendee

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Doug Baxley	Chief Compliance Officer	Merit Financial Advisors	Alpharetta	GA	Attendee
Russell J. Handelman	Chief Compliance Officer	Meyer Handelman Company LLC	Rye Brook	NY	Attendee
William Beaudoin	Counsel	MFS Investment Management	Boston	MA	Attendee
Nevis Bregasi	Senior Vice President and Deputy General Counsel	MFS Investment Management	Boston	MA	Speaker
Jessica Howell	Vice President and Senior Counsel	MFS Investment Management	Sherborn	MA	Attendee
Matthew Stowe	Senior Vice President and Senior Managing Counsel	MFS Investment Management	Boston	MA	Attendee
Anya Alvarado	Client Concierge	Milestone Wealth	Greenville	NC	Attendee
Steve Cooper	Chief Compliance Officer and Director of Operations	Millennium Advisory Services, Inc.	Glen Allen	VA	Attendee
Matthew Kiggins	SVP & Regional Director, Custody Services	Millennium Trust Company	Chelmsford	MA	Attendee
Langston Emerson	Partner	Mindset DC	Washington	DC	Speaker
Katherine M. McGinley	Chief Compliance Officer	Mitchell, McLeod, Pugh & Williams, Inc.	Mobile	AL	Speaker
Leah Nelson	Operations	Mitchell, McLeod, Pugh & Williams, Inc.	Mobile	AL	Attendee
Ron Medley	President	Moloney Securities Asset Management	Manchester	MO	Attendee
Andrew Robbins	Chief Compliance Officer	Moreton Asset Management	Salt Lake City	UT	Attendee
Rachel D. Garber	Executive Director	Morgan Stanley Investment Management, Inc.	New York	NY	Attendee
Kelly L. Gibson	Partner	Morgan, Lewis & Bockius LLP	Philadelphia	PA	Speaker
Becki Koldsbaek	CCO	Multnomah Group, Inc.	Portland	OR	Attendee
Jill Veenstra	Director of Compliance	My RIA Lawyer	Alpharetta	GA	Attendee
Tom Fisher	Senior Sales Executive	MyComplianceOffice	New York	NY	Exhibitor
David Kubersky	CRO	MyComplianceOffice	Sea Girt	NJ	Attendee
Craig Neal	Sales Director	MyComplianceOffice	New York	NY	Exhibitor
Martin Anderson	Senior Sales Executive	Naehas	Palo Alto	CA	Attendee
Kimberly Versace	Chief Compliance Officer	National Real Estate Advisors, LLC	Washington	DC	Speaker
Madeline Koelbl	Associate Counsel	Natixis Investment Managers	Boston	MA	Attendee
Tim Walsh	Paralegal	Natixis Investment Managers	Boston	MA	Attendee
Brian J. Yu	Chief Compliance Officer	NFP Retirement	Aliso Viejo	CA	Attendee
William Lang	Compliance	Nikko Asset Management Americas, Inc.	New York	NY	Attendee
Amber Netherton, FPQP	VP of Operations	Nikulski Financial, Inc.	Bettendorf	IA	Attendee
Richard Dolson, CFA, CIPM	Chief Compliance Officer	NISA Investment Advisors, L.L.C.	St. Louis	MO	Attendee
Amy D. Eisenbeis	Assistant General Counsel	Northwestern Mutual Life Insurance Company	Milwaukee	WI	Attendee
Cheryl Slusarchuk	CEO	NumerixS Quant	Vancouver	BC	Attendee
Kai Lee	Managing Director, Chief Compliance Officer & Deputy General Counsel	Oak Hill Advisors, L.P.	New York	NY	Attendee
Amberly Treibert	Deputy Chief Compliance Officer	Oak Hill Advisors, L.P.	New York	NY	Attendee
Ricardo Chavez	Assistant Vice President	Oaktree Capital Management, L.P.	Los Angeles	CA	Attendee
Logan Reitz	Compliance Associate	Oaktree Capital Management, L.P.	New York	NY	Attendee
Charlton Rugg	Chief compliance, legal, and technology officer	Obermeyer Wood Investment Counsel, LLLP	Denver	CO	Attendee

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Stephen A. Kirkwood	Senior Managing Director, Chief Legal Officer & Chief Compliance Officer	Obra Capital Management, LLC	New York	NY	Attendee
Richard Davies, CFP, IACCP	COO & CCO, Principal	O'Brien Wealth Partners	Waltham	MA	Attendee
Brett Miguel	AVP, Compliance	OFS Capital Management, LLC	Chicago	IL	Attendee
Kelly Handschumacher	Director, Legal & Compliance	OMERS Infrastructure US Limited	New York	NY	Attendee
Cynthia Schlanger	CCO	Onyx Bridge Wealth Group LLC	Spring	TX	Attendee
Shae Beard	Administrative Assistant	Onyx Financial Advisors, LLC	Idaho Falls	ID	Attendee
Lyndsay Goody, CPA/PFS, CFP	Managing Director	Onyx Financial Advisors, LLC	Idaho Falls	ID	Attendee
Caroline P. Jankowski	Chief Compliance Officer	Operose Advisors LLC	Milwaukee	WI	Speaker
Adam J. Reback	Partner	Optima Partners Compliance Advisory	New York	NY	Speaker
Brian E. Franc	Compliance, Director	Orix Advisers	Chicago	IL	Attendee
Michele Halickman	Chief Compliance Officer, ORIX Advisers	Orix Advisers	Harrison	MA	Attendee
Jean-Paul Migrditchian	Deputy CCO	Osterweis Capital Management	San Francisco	CA	Attendee
Travis Armstrong	Portfolio Implementation and Strategy Manager	Oxford Financial Group, LTD	Indianapolis	IN	Attendee
Robin L. Burian	Director, Private Market Services	Oxford Financial Group, LTD	Brownsburg	IN	Attendee
Jennifer Emery	Chief Compliance Officer	Oxford Financial Group, LTD	Indianapolis	IN	Attendee
Catherine E. Farley	Chief Financial Officer	Oxford Financial Group, LTD	Indianapolis	IN	Attendee
Zephram Yowell	Senior Vice President, Senior Counsel	Pacific Investment Management Company LLC	Newport Beach	CA	Speaker
Downey Blount	Deputy CCO	Parnassus Investments	San Francisco	CA	Attendee
Carolyn Greenwalt	CCO	Patient Square Capital	San Francisco	CA	Attendee
Stephanie P. Graham, CPA, CGMA	Principal, Chief Financial Officer & Chief Compliance Officer	Patten and Patten, Inc.	Chattanooga	TN	Attendee
Reza Pishva	General Counsel and Chief Compliance Officer	Payden & Rygel	Los Angeles	CA	Speaker
Courtney Degen	Washington Reporter	Pensions & Investments	Washington	DC	Press
Gwendolyn A. Williamson	Partner	Perkins Coie LLP	Washington	DC	Attendee
Alison Gould	Director of Operations	Persium Group	Atlanta	GA	Attendee
Kate W. Sigler	Office Manager, Assistant Compliance Officer	Pettyjohn, Wood & White, Inc.	Lynchburg	VA	Attendee
Christopher Chin, CPA, CRCP	Vice President, Internal Audit	PGIM, Inc.	Newark	NJ	Attendee
Beata Markowicz	Assistant Vice President - Compliance, Jennison Associates LLC	PGIM, Inc.	New York	NY	Attendee
Anthony L. McElynn	Chief Compliance Officer, Retail Investment Adviser Compliance, Prudential Financial	PGIM, Inc.	Newark	NJ	Attendee
Alejandro Staroselski	Senior Manager, Internal Audit	PGIM, Inc.	Newark	NJ	Speaker
Mari-Anne Pisarri, Esq.	Partner	Pickard Djinis and Pisarri LLP	Washington	DC	Speaker
Joseph W. Shea	Chief Compliance Officer	Pinnacle Associates, Ltd.	New York	NY	Attendee
Jonathan Fox	Supervisory Principal	Pinnacle Investments, LLC	East Syracuse	NY	Attendee

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Wesley W. Garton	Chief Financial Officer & Chief Compliance Officer	Plancorp, LLC	St. Louis	MO	Attendee
James Whetzel	Managing Chief Counsel	PNC Capital Advisors, LLC	Pittsburgh	PA	Attendee
Rose Maravelias, IACCP	Compliance Manager	Polen Capital Management, LLC	Waltham	MA	Attendee
Francisco Fuster	Chief Compliance Officer	Popular Asset Management	San Juan	PR	Attendee
Julio Prieto	Compliance Officer	Popular Securities, Inc.	San Juan	PR	Attendee
Dana Crane	Compliance Analyst	Porter White Investment Advisors, Inc.	Birmingham	AL	Attendee
Victoria Paris	Senior Legal Counsel	Portfolio Management Association of Canada	Toronto	Ontario	Attendee
Amanda Sweis	Compliance Associate, Legal & Compliance	PPM America, Inc.	Chicago	IL	Attendee
Justin Taylor	Associate Attorney	PPM America, Inc.	Chicago	IL	Attendee
Karen A. Aspinall	Partner	Practus LLP	Leawood	KS	Speaker
Robert Moreiro	Partner	Practus LLP	Ponte Vedra Beach	FL	Attendee
Jennifer Ottosen	CCO	PRIMECAP Management Company	Pasadena	CA	Attendee
Michael Castiello	Chief Compliance Officer	Principle Wealth Partners	Madison	CT	Attendee
Deepa Gibbons	Compliance Officer	Private Advisor Group	Lake Ronkonkoma	NY	Attendee
Jeffrey E. Sassoon, CPA, CGMA	Chief Operating Officer	QTrade Holdings, LP	Westfield	NJ	Attendee
Alexander Drzewiecki	Sales & Strategic Accounts Manager	Quest CE	Milwaukee	WI	Exhibitor
Kade McGilvray	Sales Executive	Quest CE	Milwaukee	WI	Exhibitor
C. Dabney O'Riordan	Partner	Quinn Emanuel Urquhart & Sullivan, LLP	Washington	DC	Speaker
Caleb C.B. DuBois, Esq.	Deputy General Counsel & Chief Compliance Officer	R.M. Davis, Inc.	Portland	ME	Attendee
Wendy A. Laidlaw, CFP	Vice President, COO, CFO & Portfolio Manager	R.M. Davis, Inc.	Portland	ME	Attendee
Brett Scheller	Compliance Officer	RA Capital Management	Boston	MA	Attendee
Meghan Irmiler	Associate General Counsel	Raymond James Financial Services Advisors, Inc.	St. Petersburg	FL	Attendee
Elizabeth Klimuc	Director, Compliance	Raymond James Financial Services Advisors, Inc.	Boston	MA	Attendee
Krista Leonard	Compliance	Raymond James Financial Services Advisors, Inc.	St. Petersburg	TN	Attendee
Holly Moriarty	Supervision	Raymond James Financial Services Advisors, Inc.	St. Petersburg	FL	Attendee
Ed Parks	VP, Advisory Supervision	Raymond James Financial Services Advisors, Inc.	St. Petersburg	FL	Attendee
Rebekah J. Powers	VP, Sustainable Investing Compliance	Raymond James Financial Services Advisors, Inc.	St. Petersburg	FL	Attendee
Rob Studzin	Senior Manager   Compliance Testing and Internal Controls	Raymond James Financial Services Advisors, Inc.	St. Petersburg	FL	Attendee
Selina M. O'Neil	Compliance Officer	Reaves Asset Management	Linden	NJ	Attendee
Lance Huntley	Vice President   Business Development	Red Oak Compliance Solutions, LLC	Cedar Park	TX	Exhibitor
Jordan Knight	Director of Business Development	Red Oak Compliance Solutions, LLC	Cedar Park	TX	Exhibitor
Carmela Ravi	Vice President   Business Development	Red Oak Compliance Solutions, LLC	Cedar Park	TX	Exhibitor
Allen Eickelberg	Managing Director, Capital Markets	Redbrick LMD	Washington	DC	Attendee
Carl Ayers	Publisher	Regulatory Compliance Watch	Gaithersburg	MD	Press
William Myers	Reporter	Regulatory Compliance Watch	Rockville	MD	Press
Christina MacQuarrie	VP, Compliance & Operations	Relative Value Partners, LLC	Northbrook	IL	Attendee

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Trish Ettin	Operations & Compliance Manager	Reliant Wealth Planning, LLC	Louisville	KY	Attendee
Anh Lam, IACCP, CSCP	Chief Compliance Officer	Rembert Pendleton Jackson	Falls Church	VA	Attendee
Bart J. McDonald, CRCP, CSCP, CAM	Executive Vice President	Renaissance Regulatory Services, Inc.	Deerfield Beach	FL	Exhibitor
Susan Terenzio	Senior Compliance Consultant	Renaissance Regulatory Services, Inc.	Boca Raton	FL	Exhibitor
Jean Tucker	Compliance and Investor Relations	Renovus Associates, LLC	Wayne	PA	Attendee
Christopher Gilkerson	President	RiAdvantage / Gilkerson Law	San Francisco	CA	Speaker
Brian DeDonato	Project Manager	Ridgeline	New York	NY	Exhibitor
Andrew J. Rodriguez	Senior Sales Executive	Ridgeline	New York	NY	Exhibitor
Scott A. Bennewitz	Chief Compliance Officer/Controller	RK Capital Management, LLC	Denver	CO	Attendee
Daniel Ferrett	Assistant General Counsel	Rock Springs Capital Management LP	Baltimore	MD	Attendee
John McMullan	General Counsel	Rockland Capital	The Woodlands	TX	Attendee
Jason E. Brown	Partner	Ropes & Gray LLP	Boston	MA	Speaker
James E. Thomas	Partner	Ropes & Gray LLP	Boston	MA	Speaker
Jeremiah Williams	Partner	Ropes & Gray LLP	Washington	DC	Sponsor
Craig Lukin, CFA	Chief Compliance Officer	Roumell Asset Management, LLC	Chevy Chase	MD	Attendee
Veronica Maguire	Chief Financial Officer	S Squared Technology, LLC	New York	NY	Attendee
Justin Thigpen	Compliance Officer	SA Stone Investment Advisors Inc.	Birmingham	AL	Attendee
Katarina Benecke	Pre-sales Engineer	Saifr	Boston	MA	Exhibitor
Pui Chi Wong	Vice President of Marketing	Saifr	Boston	MA	Exhibitor
Matt Calabro	Managing Director	Salus GRC	New York	NY	Exhibitor
Jacqueline Hallihan	Chief GRC Officer	Salus GRC	Salisbury	CT	Exhibitor
Alan Knepper	Chief Revenue Officer	Salus GRC	New York	NY	Exhibitor
Ariana Monchick	Managing Director	Salus GRC	New York	NY	Exhibitor
Edward J. Yezak, CISA, CISM, CRIS	Managing Director	Salus GRC	Salisbury	CT	Speaker
Jennifer Specter	Chief Operations Officer	Schultz Financial Group Inc.	Reno	NV	Attendee
Dagmara Frankowska	Deputy Chief Compliance Officer	Securities America Advisors, Inc.	Jersey City	NJ	Attendee
Cheryl Kotlarz	Chief Compliance Officer	Seizert Capital Partners, LLC	Birmingham	MI	Attendee
Colin Hill	Associate Attorney	Seward & Kissel LLP	Washington	DC	Attendee
Paul Miller, Esq.	Partner	Seward & Kissel LLP	Washington	DC	Speaker
Ranah Esmaili	Investment Funds, Securities Enforcement and Regulatory	Sidley Austin LLP	New York	NY	Speaker
Andrew Corless	Compliance Associate	Sierra Investment Management Inc	Santa Monica	CA	Attendee
Kevin Ehrlich	Managing Director	SIFMA Asset Management Group	Washington	DC	Attendee
Veronica LeDuc, Esq., CRCP	Chief Compliance Officer & Senior Associate	Signal Advisors	Omaha	NE	Attendee
David Campbell	General Counsel	Silvercrest Asset Management Group LLC	New York	NY	Attendee
Amy Bulger	Director	Simpluris	Morristown	NJ	Attendee
Paul Saroj	SVP Regulatory Enforcement and Remediation	Simpluris	Costa Mesa	CA	Attendee
Paul E. Rasmussen	Vice President, CCO	Sit Investment Associates, Inc.	Minneapolis	MN	Attendee

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Gordon Eng	General Counsel & Chief Compliance Officer	SKY Harbor Capital Management, LLC	Greenwich	CT	Speaker
Michael M. Sullivan	Managing Director, Global Head of Compliance and Governance	Slate Asset Management (US) L.P.	Chicago	IL	Attendee
Louis R. Brooks	CCO	SMART Wealth LLC	Omaha	NE	Attendee
Dominic M. Hulse	Partner	Snell & Wilmer L.L.P.	Denver	CO	Attendee
Candice Gilman	CCO	SoFi Wealth, LLC	Claymont	DE	Attendee
Getzamani Pantoja	Senior Compliance Specialist	SoFi Wealth, LLC	San Francisco	CA	Attendee
Bruce Mumford	Chief Financial Officer & Chief Compliance Officer	SpiderRock Advisors LLC	Chicago	IL	Attendee
Matt Ahlstrand	VP Product Management & Solutions Consulting	SS&C Advent	New York	NY	Speaker
Joe LaFemina	Senior Manager	SS&C Advent	New York	NY	Speaker
Cathy Richardson	Regulatory Analyst	State Farm Investment Management Corp.	Bloomington	IL	Attendee
Grace Sorensen	Regulatory Analyst	State Farm Investment Management Corp.	Bloomington	IL	Attendee
Katie Wills	Sr. Risk and Compliance Analyst	State Farm Investment Management Corp.	Bloomington	IL	Attendee
Mary Belcher	Deputy Insurance Commissioner	State of Montana	Helena	MT	Attendee
Douglas D. Peabody	President/ COO/CCO	Stegner Investment Associates, Inc.	Louisville	KY	Attendee
Pam Rudd	Controller/Compliance Manager	Stegner Investment Associates, Inc.	Louisville	KY	Attendee
Todd Ferguson	SVP- Associate General Counsel	Stephens Inc.	Little Rock	AR	Attendee
Gary Bagin	Chief Marketing & Business Development Officer	Stradley Ronon Stevens & Young, LLP	Washington	DC	Exhibitor
Sara Crovitz	Partner	Stradley Ronon Stevens & Young, LLP	Washington	DC	Speaker
Heather Lewis	Chief Compliance Officer	Sunstone	Irvine	CA	Attendee
Anna Brown	Compliance Associate	Sustainable Growth Advisers, LP	Stamford	CT	Attendee
Daniel C.Callaway	Chief Compliance Officer & General Counsel	Sustainable Growth Advisers, LP	Stamford	CT	Attendee
Carla P. Vogel, Esq.	General Counsel and Chief Compliance Officer	Sycamore Partners	New York	NY	Attendee
Sarah Dietz, IACCP	Senior Compliance Consultant	Synergy RIA Compliance Solutions	Chicago	IL	Attendee
Scott P. Gill, IACCP	Owner, CEO	Synergy RIA Compliance Solutions	Charlotte	NC	Attendee
Mark E. Clarke, II	Compliance Consultant	T. Rowe Price	Baltimore	MD	Attendee
Erin M. Hogan, IACCP	Financial Advisor	T. Rowe Price	Thurmont	MD	Attendee
Christine M. Morgan	Deputy General Counsel	T. Rowe Price	Baltimore	MD	Attendee
Melissa Moroney	Legal - Global Advisory , Senior Legal Counsel	T. Rowe Price	Baltimore	MD	Attendee
Michelle M. Nelson	Legal Department   Senior Legal Counsel	T. Rowe Price	Owings Mills	MD	Attendee
Aliya Robinson	Senior Legal Counsel, Legislative and Regulatory Affairs	T. Rowe Price	Baltimore	MD	Speaker

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Danielle N. Smith	Vice President and Managing Legal Counsel – U.S. Communications and Digital Services	T. Rowe Price	Owings Mills	MD	Speaker
Andrew J. Bowden	General Counsel	TCW Asset Management Company	Los Angeles	CA	Speaker
Zohaib Behram	Vice President	TD Epoch	Toronto	Ontario	Attendee
Michelle Warneke	Operations Manager	Tealwood Asset Management	Minneapolis	MN	Attendee
Peter M. Mai	COO and CCO	TGS Financial Advisors	Radnor	PA	Attendee
Torey Harris	Client Services Associate	The Patten Group	Chattanooga	TN	Attendee
Aynur Idrisova	Leading Compliance Specialist	The State Oil Fund of the Republic of Azerbaijan	Baku	Azerbaijan	Attendee
Jesse H. Ruiz	Partner, General Counsel & Chief Compliance Officer	The Vistria Group	Chicago	IL	Attendee
Stephanie B. Solomon	Director of Finance	The Vistria Group	Chicago	IL	Attendee
Melanie Waddell	Washington Bureau Chief	ThinkAdvisor.com/Investment Advisor Magazine	Washington	DC	Press
Kay O'Driscoll, IACCP	Senior Compliance Officer	Thompson Siegel & Walmsley LLC	Richmond	VA	Attendee
Douglas Gillison	U.S. Financial Regulation Correspondent	Thomson Reuters	New York	NY	Press
Alexander Byrne	Director of Compliance	Thrive Operations, LLC	New York	NY	Attendee
David Belotte	Chief Compliance Officer	Thrivent Advisor Network	Minneapolis	MN	Attendee
Morotoluwa Adebisi	VP, Chief Compliance Officer	Thrivent Financial for Lutherans	Minneapolis	MN	Attendee
Jenna Burfeind	Senior Counsel, Investment Advisory	Thrivent Financial for Lutherans	Minneapolis	MN	Attendee
Jessica Mazza	Managing Director, Internal Audit	TIAA & Nuveen	Chicago	IL	Attendee
Joseph Pak	Managing Director - Regulatory Compliance and Risk Management	TIAA & Nuveen	Charlotte	NC	Attendee
Joy M. Langdon	President	TillieStar Compliance Solutions, Inc	Boston	MA	Attendee
Sarah Holton	Chief Accounting Officer	Tiverton Advisors, LLC	Raleigh	NC	Attendee
Dan Schillaci	Chief Compliance Officer	Tiverton Advisors, LLC	Raleigh	NC	Attendee
Yu Jin Kim	Chief Compliance Officer	Toews Corporation	Northfield	NJ	Attendee
Sam Oudeh, Esq.	Compliance Officer	Touchstone Advisors, Inc.	Cincinnati	OH	Attendee
Mark Matthes	Assistant General Counsel	Transamerica Asset Management, Inc.	Houston	CO	Attendee
Erica Day, CPA, CFE	Compliance Analyst	Trillium Asset Management LLC	Dallas	TX	Attendee
Nancy Denney	CCO	Trillium Asset Management LLC	Wilmington	DE	Attendee
Luke Sohl	Compliance Specialist	Trinity Investors Fund Advisors, LLC	Southlake	TX	Attendee
Elizabeth Gardner	Managing Director, Compliance	Twin Focus Capital Partners, LLC	Waltham	MA	Attendee
Zeena Abdul-Rahman	Branch Chief, Division of Investment Management	U.S. Securities and Exchange Commission	Washington	DC	Speaker
William Birdthistle	Director, Division of Investment Management	U.S. Securities and Exchange Commission	Washington	DC	Speaker
Gary Gensler	Chair	U.S. Securities and Exchange Commission	Washington	DC	Speaker
Y. Rachel Kuo	Senior Counsel, Division of Investment Management	U.S. Securities and Exchange Commission	Washington	DC	Speaker
Chris Mulligan	IA/PF Senior Advisor, Division of Examinations	U.S. Securities and Exchange Commission	Washington	DC	Speaker



NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Corey Schuster	Co-Chief, Asset Management Unit, Division of Enforcement	U.S. Securities and Exchange Commission	Washington	DC	Speaker
Robert Shapiro	Assistant Director, Chief Counsel's Office, SEC Division of Investment Management	U.S. Securities and Exchange Commission	Washington	DC	Speaker
Samuel Thomas	Senior Counsel, Investment Adviser Regulation Office, Division of Investment Management	U.S. Securities and Exchange Commission	Washington	DC	Speaker
Natasha Vij Greiner	Deputy Director and National Associate Director, IA/IC Examination Program, Division of Examinations	U.S. Securities and Exchange Commission	Washington	DC	Speaker
Patrick Lannon, AIF	Vice President of Operations & Chief Compliance Officer	Valley Forge Financial Group	Audubon	PA	Attendee
Lalaine Le	Assistant CCO and Portfolio Administrator	Van Strum & Towne, Inc.	San Francisco	CA	Attendee
James F. Marquess	Senior Legal Analyst	Vanguard Group, Inc.	Malvern	PA	Attendee
Kathryn Mellinger	Assistant General Counsel, Global Privacy and Records Management	Vanguard Group, Inc.	Malvern	PA	Speaker
Derek B. Newman	Assistant General Counsel	Vanguard Group, Inc.	Washington	DC	Attendee
Jesse Weintraub	Attorney	Vanguard Group, Inc.	Malvern	PA	Attendee
Joseph M. Mannon	Shareholder	Vedder Price P.C.	Chicago	IL	Speaker
Beverly Langley, JD	Chief Compliance Officer	VELA Investment Management	New Albany	OH	Attendee
Holly Kamm, JD	Chief Operation Officer/Compliance Manager	Verde Capital Management, Inc.	Clarkston	MI	Attendee
Karen Donnelly	Deputy Chief Compliance Officer	Vident Asset Management	Alpharetta	GA	Attendee
Erik Olsen	Chief Compliance Officer	Vident Asset Management	Alpharetta	GA	Speaker
Charles Martin	Chief Operating Officer	VIGILANT, LLC	Chadds Ford	PA	Attendee
Christofer Schaible	Vice President of Sales and Business Development	VIGILANT, LLC	Chadds Ford	PA	Attendee
Dimple Anderson	Chief Compliance Officer	Vise AI Advisors, LLC	New York	NY	Attendee
Gursimarjit Singh	Senior Vice President, Head of Compliance & Senior Counsel	Vista Equity Partners	San Francisco	CA	Attendee
Julissa R. Majka, IACCP, AAMS	Consultant	Vista360	Oswego	IL	Attendee
Dan Weitzel	Partner, Consulting Manager	Vista360	East Troy	WI	Attendee
Sylvester Marbey	Chief Compliance Officer	Vontobel Asset Management, Inc.	New York	NY	Attendee
Joshua T. Jones, IACCP, CSCP	Chief Compliance Officer	Vulcan Value Partners, LLC	Birmingham	AL	Attendee
Stephanie Suttles	Chief of Staff	Vulcan Value Partners, LLC	Birmingham	AL	Attendee
Mary E. Keegan, Esq., IACCP	Chief Compliance Officer	Waldron Private Wealth	Bridgeville	PA	Attendee
Diane Currie	Senior Compliance Consultant	Warner Norcross & Judd LLP	Southfield	MI	Attendee
Marie Milligan	Chief Compliance Officer	WaterEquity LLC	Kansas City	MO	Attendee
Galen M. Moore	VP Investment Operations & Client Services	Wealthgate Family Office LLC	Boulder	CO	Attendee
Patrick Donachie	Senior Reporter	WealthManagement.com	New York	NY	Press

NAME	TITLE	FIRM	CITY	STATE	REGTYPE
Karen Smith	Vice President, Legal & Compliance	Wealthspire Advisors	Potomac	MD	Attendee
Chantal E. Decker, CPA	Senior Vice President – Compliance	WEDGE Capital Management L.L.P.	Charlotte	NC	Attendee
Bradley W. Horstmann, CFA, CPA	CCO, General Partner	WEDGE Capital Management L.L.P.	Charlotte	NC	Attendee
Georgiy Nikitin	CCO	Weiss Asset Management	Boston	MA	Attendee
Yury Epstein	Senior Analyst - Investment Compliance	Wespath	Glenview	IL	Attendee
James Cox	Chief Compliance Officer	WestEnd Advisors, LLC	Charlotte	NC	Attendee
Matthew C. Beardwood, CFP	CCO/Director of Wealth Management	Westover Capital Advisors, LLC	Wilmington	DE	Attendee
Jennifer L. Reichner	Client Services Director	Westover Capital Advisors, LLC	Wilmington	DE	Attendee
Sheila A. Stanton	CCO	Westwood Global Investments	Boston	MA	Attendee
Jennifer McGoey	Chief Compliance Officer	Whitehorse Liquidity Partners	Toronto	Ontario	Attendee
Jeff Schweon	Partner, Chief Legal Officer	Williams Jones Wealth Management	New York	NY	Attendee
Adam Aderton	Partner	Willkie Farr & Gallagher	Washington	DC	Speaker
Stephanie Avakian	Chair, Securities and Financial Services Department	WilmerHale	Washington	DC	Speaker
Amy Doberman	Partner	WilmerHale	Washington	DC	Attendee
Andreane V. Reynolds	Associate	WilmerHale	New York	NY	Attendee
Joseph Toner	Special Counsel	WilmerHale	Washington	DC	Attendee
Seth Waxman	Partner	WilmerHale	Boston	MA	Speaker
Aaron Felmet	Business Risk Manager II	Wilmington Trust Investment Management, LLC	Buffalo	NY	Attendee
Emily K. Silva	Vice President, Asset Management , Business Risk Manager	Wilmington Trust Investment Management, LLC	Wilmington	DE	Attendee
Carol R. Newman, IACCP	Compliance Officer	Wingate Wealth Advisors, LLC	Lexington	MA	Attendee
Kimberly Roberts, CIPM, CEBS	CCO	Winslow Asset Management	Beachwood	OH	Attendee
Stephanie Bartlett	Events Marketing Manager	Wolf & Company, P.C.	Boston	MA	Exhibitor
Doug Gerth	Senior Business Development Manager	Wolf & Company, P.C.	Boston	MA	Exhibitor
Kimberly Bright, CRCP	Chief Compliance Officer	Woodley Farra Manion Portfolio Management	Indianapolis	IN	Attendee
Christian Kelly	Chief Technology Officer	Xantrion	Oakland	CA	Speaker
Terria Heng	Senior Compliance Consultant	XY Compliance Solutions	Bozeman	MT	Attendee
Rosanna Bennett, IACCP	Chief Compliance Officer	Yousif Capital Management, LLC	Bloomfield	MI	Attendee
Manny Batalla, CIPM, IACCP	Senior Compliance Analyst	Zevenbergen Capital Investments LLC	Edmonds	WA	Attendee
Ethan Sell	Compliance Analyst	Zevenbergen Capital Investments LLC	Seattle	WA	Attendee
LeeAnna Glessing, IACCP			Sammamish	WA	Attendee
Danielle Ryea			Philadelphia	PA	Attendee
Alina Sayre			Chicago	IL	Attendee