

RECORDINGS:

2009 MUTUAL FUND COMPLIANCE PROGRAMS CONFERENCE

CONFERENCE OVERVIEW

The Investment Company Institute's 2009 Mutual Fund Compliance Programs Conference was designed for experienced mutual fund industry professionals with regulatory compliance responsibilities.

CONFERENCE MATERIALS

MP3 FORMAT CD
MFCC09-100MP Complete conference audio on a single MP3 CD - \$99.00

Opening Remarks

The Big Picture: What's on the Horizon?

James M. Davis
Director, Global Compliance
Franklin Templeton Investments

David Kempes
Vice President, Washington Affairs
Lincoln Financial Group

Karrie McMillan
General Counsel
Investment Company Institute

What's New in Fund Regulation?

Selwyn J. Notelovitz
Chief Compliance Officer
Wellington Management Company, LLP

Michael P. O'Hare
Partner
Stradley Ronon Stevens & Young, LLP

Elizabeth G. Osterman
Associate Director
Division of Investment Management
U.S. Securities and Exchange Commission

Deborah D. Seidel
Vice President
Compliance & Risk Operations Manager
T. Rowe Price Services, Inc.

Compliance Challenges with Complex Investments

Randall Fillmore
Former Chief Compliance Officer
Schwab Funds, Laudus Funds, Excelsior Funds, and Charles Schwab Investment Management

Susan C. Ervin
Partner
Dechert LLP

Gene A. Gohlke
Associate Director
Office of Compliance Inspections and Examinations
U. S. Securities and Exchange Commission

Joseph McGill
Chief Compliance Officer
UBS Global Asset Management (US) Inc.

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

Luncheon: What Just Happened on Wall Street: A Conversation with Michael Lewis

Michael Lewis
Journalist and Author

Challenges Impacting the Effectiveness of the CCO – Part 1, Dealing with Limited Compliance Resources

James L. Love
Chief Compliance Officer
U.S. Global Investors, Inc.

James B. Kimmel
Senior Vice President, General Counsel and Chief Compliance Officer
Olstein Capital Management

Amy J. Lynch
President
FrontLine Compliance, LLC

Steven J. Paggioli
Trustee
Professionally Managed Portfolios

Challenges Impacting the Effectiveness of the CCO – Part 2, Dealing with Shifting Compliance Responsibilities

Manoj Tito Pombra
Chief Compliance Officer
Matthews International Funds

Kathleen T. Barr
Chief Administrative Officer & Chief
Compliance Officer
Allegiant Funds

Elizabeth R. Krentzman
Principal
Regulatory & Capital Markets Consulting
Deloitte & Touche LLP

Robert R. Leveille
Managing Director & Chief Compliance
Officer
Putnam Investments

**Detecting and Preventing Fraud – Are
There Lessons for Mutual Funds from
the Recent Hedge Fund Scandals?**
Michael Ocrant
Director, Alternative Investment Conferences
Institutional Investor

A Regulatory Update
Mary Schapiro
Chairman
U.S. Securities and Exchange Commission

**Addressing Everyday Compliance
Issues**
Pauline C. Scalvino
Chief Compliance Officer
The Vanguard Group, Inc.

Maria R. Gattuso
Partner
Willkie Farr & Gallagher LLP

Alison Micucci
Senior Managing Director and Chief
Compliance Officer
New York Life Investment Management LLC

Christopher Phillips
President and Senior Consultant
Plan Sponsor Group, Inc.

Robert P. Scales
General Counsel
Columbia Acorn Funds

Thomas M. Mistele
General Counsel
Dodge & Cox

Amy J. Lynch
President
FrontLine Compliance, LLC

Alison Micucci
Senior Managing Director and Chief
Compliance Officer
New York Life Investment Management LLC

Robert P. Scales
General Counsel
Columbia Acorn Funds

Pauline C. Scalvino
Chief Compliance Officer
The Vanguard Group, Inc.

Bibb Strench
Partner
Sutherland Asbill & Brennan LLP

HOW TO ORDER

To place an order, please send a check or money order
(payable to: **Rollin' Recording**), or credit card
information (Visa, Mastercard, or American Express)
with your completed order form to:

Rollin' Recording
ATTN: Lou Houck
208 River Ranch Road
Boerne, TX 78006
Phone: 1-800-798-5468
Fax: 1-830-537-5495
Email: rollin@gvvc.com

You also may order online at www.rollinrecording.com.

*The Investment Company Institute reserves the right to
change prices at any time without notice.*



1401 H Street, NW, Suite 1200
Washington, DC 20005-2148
202/326-5800

CONFERENCE MATERIALS ORDER FORM

PLEASE PRINT CLEARLY

Order/Item #	Quantity	Unit Price	Price
		Subtotal	
		Shipping/Handling	\$15.00
		(Canada - \$20)	
		(Outside U.S. - \$29)	
		Total Enclosed	

Please provide a street address and zip code, as UPS will not deliver to post office boxes. Be sure to include shipping/handling charges. Thank You!

For shipments outside the U.S., omit \$15.00 charge and add \$20.00 for Canada or \$29.00 for all other countries to the total order amount for "Airmail" delivery. All international orders must be prepaid in U.S. currency.

METHOD OF PAYMENT

Check or Money Order (payable to: *Rollin' Recording*)

Charge to: American Express Visa MasterCard Discover

Card Number: _____ Exp. Date: _____

Cardholder's Name: _____

Signature: X _____
(Required for all charge orders)

SHIPPING INFORMATION

Name _____

Company _____

Address _____

City/State _____ Zip _____ Country _____

Telephone _____ Fax _____

Send completed order form, with payment to:

Rollin' Recording
ATTN: Lou Houck
208 River Ranch Road
Boerne, TX 78006
Phone: 800/798-5468
Fax: 830/537-5495

Email: lou@rollinrecording.com