



THE NATIONAL ASSOCIATION OF U.S. INVESTMENT COMPANIES

2011 Mutual Funds and Investment Management Conference

Co-sponsored by the Federal Bar Association
Marriott Desert Ridge - Phoenix, Arizona

DIGITAL AUDIO RECORDINGS

MONDAY, MARCH 28

- 1. WELCOMING REMARKS, GENERAL COUNSEL'S ADDRESS (Lemke, Lockridge, McMillan)
INTRODUCTORY REMARKS (Eileen Rominger, Director Division of Investment Management, U.S. Securities and Exchange Commission)
- 2. A DIALOGUE ON GLOBAL FINANCIAL SERVICES REGULATORY REFORM (Stevens, Waters)
- 3. THE REGULATORY REVOLUTION (McMillan, Bej, McHugh, Neale, Tyle)
- 4. (1-A) SHORT TERM MARKETS AND MONEY MARKET FUNDS (Reid, Hammalain, Keen, Lind, Plaze)
- 5. (1-B) CURRENT TAX DEVELOPMENTS (Gibian, Cohn, Hinkle, Matter, Novey)
- 6. (1-C) SEA CHANGE FOR MUTUAL FUNDS IN 401(k) PLANS AND IRAs? (Podesta, Breyfogle, Combs, Davis, Lattan)
- 7. (1-D) POST-CRISIS REGULATORY CHANGE - IT'S HAPPENING OUTSIDE THE U.S. TOO (Mykolenko, Fross, Tate, Werths)
- 8. (2-A) HOT TOPICS: ANTI-CORRUPTION & BUSINESS ETHIC (Downer, Becker, Bogle, Thelander)
- 9. (2-B) FUND BOARD DYNAMICS, GOVERNANCE & KEY ISSUES (Lancelotta, Bateman, Nasta, Veerjee)

TUESDAY, MARCH 29

- 10. NEW RULES, NEW REGULATORS: HOW THE DODD-FRANK ACT WILL IMPACT THE FUND INDUSTRY (Graham, Cellupica, Goebel, Kini, Shenker)
- 11. (3-A) MUTUAL FUND CIVIL LITIGATION: THE YEAR IN REVIEW (Steiner, Carome, Martin, Murphy, Zack)
- 12. (3-B) MODERNIZING THE U.S. PROXY SYSTEM: WINNERS & LOSERS (Donohue, Collins, Dunn, Goldfarb, Tartikoff)
- 13. (4-A) TRADING & MARKET STRUCTURE 101: WHAT FUND LAWYERS NEED TO KNOW (Mizen, Hardin, Lyons)
- 14. (4-B) NAVIGATING THE NEW SWAPS MARKET (Traeger, Budofsky, Jordal, Yun)
- 15. (4-C) ETFs: FACTS AND MYTHS (Shreck, Doberman, Lewellyn, Wojnar)
- 16. (4-D) ACCOUNTING ISSUES (Wixted, Fabio, Gazillo, Ricci)
- 17. (4-E) THE NEW FACE OF FIXED INCOME (Cunningham, Levine, Polebaum)

WEDNESDAY, MARCH 30

- 18. THE CONTINUING EVOLUTION OF OCIE & ENFORCEMENT UNDER CHAIRMAN SCHAPIRO (Salmon, Biolsi, Kirstein, McKown, Stadulis)
- N/A BRACING FOR THE RISING TIDE OF ETHICAL DILEMMAS (Marshall)

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