

**INSTITUTIONAL  
INVESTOR**



# CFO-COO Roundtable

May 14-15, 2024

St. Regis

Chicago, IL

US Institute



# Welcome

As the asset management industry sharpens its management tools and financial accountability, this Roundtable will focus on ‘best practices’ and developing trends from both the COO and CFO perspective. COOs and CFOs will gather, sharing solutions to common concerns that shape the future of asset management.

## Agenda

Tuesday, May 14, 2024

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7:30 – 8:30

**Registration & Breakfast**

Astor Ballroom Foyer

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8:30 – 8:45

**Welcome and Audience Polling**

Astor Ballroom

**Opening remarks:**

Jim McCaughan, Chair, **US Institute**

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8:45 – 9:35

**Striking the Balance: Effective Balance Sheet Management for Sustainable Growth**

Astor Ballroom

**Moderator:**

Marc Giuliano, Senior Managing Director, Head of Finance, **Nuveen**

**Panelists**

Graham Ward, Chief Financial Officer, **Polen Capital**

Charles Daley, Chief Financial Officer, **Artisan Partners**

In an environment of volatility, fee compression, and cost pressures, achieving sustainable growth requires astute balance sheet management. Firms must adopt nuanced strategies to capital allocation, liquidity management, risk mitigation, and innovation in financial instruments. This panel discussion will unravel the complexities of funding for growth and maintaining equilibrium in a dynamic financial landscape.

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9:35 – 10:20

**Mid-Year Industry & Market Update**

Astor Ballroom

**Presenters:**

Amanda Nelson, Principal, **Casey Quirk**

Tyler Cloherty, Managing Director, **Casey Quirk**

Casey Quirk will deliver a preview of the findings of the 2024 “Performance Intelligence” Study, taking a look at how firms performed in the past year and how markets and industry trends are shaping the year ahead.

10:20 – 11:10

**Strategic Priorities for 2024-25**

Astor Ballroom

**Moderator:**

Jim McCaughan, Chair, **US Institute**

**Panelists**

Amanda Nelson, Principal, **Casey Quirk**

Mark Goodwin, Chief Executive Officer, **North Square Investments**

Lynne Kostakis, Global Head of Client Strategy & Enablement, **Northern Trust Asset Management**

As the global landscape of asset management continues to evolve, strategic decision-making is paramount for sustained success. Senior leaders are faced with an array of challenges and opportunities that demand foresight and innovative approaches. From global market dynamics and product diversification and specialization, to technology integration and sustainable investing, CEOs are reimagining their organizations. We'll hear from a panel of leaders on their top priorities for the coming year, and how they are partnering with finance and operations leadership to achieve success.

11:10 – 11:30

**Coffee Break**

Astor Ballroom Foyer

11:30 – 12:20

**Breakouts:  
Finding/Funding Growth**

**AUM under \$50B**

Astor

**AUM \$50 - \$300B**

Morgan

**AUM Over \$300B**

Carnegie

**Moderator**

Mae Morgan, Partner, Chief Financial Officer, **The London Company**

**Moderator**

Daniel Finnegan, Director of Finance, **William Blair Investment Management**

**Moderator**

Michael Yick, Chief Financial Officer, **MetLife Investment Management**

12:20 – 1:30

**Lunch**

Rockefeller

1:30 – 2:15

**Outsourcing – Going from Defense to Offense**

Astor Ballroom

**Fireside Chat:**

Stephanie Farrell, VP, Head of Integrated Trading Solutions, North America, **Northern Trust**

Fabian Gomez, President & COO, **Westwood Holdings Group**

As the industry continues to grapple with volatility, shortened settlement cycles, and the race to keep up with the latest developments in technology, the paradigm is shifting towards a proactive approach to outsourcing as an offensive play. Leaders are evaluating where to make short term investments to best position their firms for a rapidly transforming industry. This panel will explore how asset managers can deploy outsourcing beyond traditional cost-cutting, including leveraging it for access to specialized expertise, risk mitigation and compliance, and innovation.

2:15 – 3:05

**Catalyzing Change: Driving Digital Transformation & Operationalizing AI**  
Astor Ballroom

**Moderator:**

Federico Invernizzi, Chief Operating Officer, **MDOTM, Ltd.**

**Panelists**

Pete McEvoy, Managing Director & Partner, **Boston Consulting Group**

Matthew Kamburowski, Global Head of Business Transformation, **JP Morgan Asset Management**

Jennifer Murphy, CEO & Founder, **Runa Digital Assets**

This panel will delve into the digital transformation journeys of institutional asset managers, exploring how organizations are crafting strategic roadmaps to harness technology for enhanced operational efficiency, client engagement, and risk mitigation. What can firms do to operationalize emerging technologies like generative AI, and harness them to move away from antiquated, unauthenticated processes? And how can they overcome resistance to change both internally and externally? Our panelists will share some best practices and lessons learned as they support their organizations through transformative times.

3:05 – 3:30

**Coffee Break**

Astor Ballroom Foyer

3:30 – 4:30

**Breakouts on Digitizing**

**Firm Names A-G**

Astor

**Moderator**

Jared Anello, Partner, Director of Operations, **Champlain**

**Investment Partners**

**Firm Names H-N**

Morgan

**Moderator**

David Brenner  
Chief Operating Officer

**TIFF Investment  
Management**

**Firm Names O-Z**

Carnegie

**Moderator**

Melissa Stolfi  
Chief Operating Officer

**The TCW Group**

4:30 – 5:30

**Keynote Address: Gen AI: The Next Frontier in Business, Policy, and Culture**

Astor Ballroom

**Presenter:**

Dr. Ramesh Srinivasan

Professor, **UCLA Department of Information Studies**

Director, **UC Digital Cultures Lab**

Ramesh Srinivasan speaks about the intersection of technology, innovation, politics, business, and society. He is a leading voice pointing the way toward a digital world that supports democracy, economic security and business interests. He blends his skills as a leading academic, author, engineer, social scientist, storyteller, policy adviser, and thought leader to shine a light on the transformative impact of technology and innovation. In this talk, Professor Srinivasan will provide context on the history and path forward for this emerging technology, and on the very real applications, opportunities and risks it presents for business leaders and policy makers.

5:30 – 6:00

**Time at Leisure**

6:00 – 9:00

**Dinner**

Rockefeller

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## CFO - COO Roundtable Agenda

### Wednesday, May 15, 2024

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7:45 – 8:30

**Breakfast**  
Astor Ballroom Foyer

8:30 – 9:20

**Shifting Gears – Positioning Organizations for New Products & Clients**  
Astor Ballroom

**Moderator:**  
Jim McCaughan, Chair, **US Institute**

**Panelists**  
George Wilbanks, Managing Partner, **Wilbanks Partners**  
Matthew Apkarian, Associate Director – Product Development, **Cerulli Associates**  
Barbara Wenig, Executive MD, Global Head of Operations and Services, **Principal Asset Management**

In order to position themselves for future success, investment managers must foster new products, new processes, new clients and new skills for their workforce, all the while contending with tight margins and evolving regulatory frameworks. How can they leverage product innovation strategies, technology enablers, and strategic partnerships to ready themselves for the future? Our panel of industry experts will dissect the dynamic landscape of asset management, exploring innovative strategies to position organizations for the introduction of new products and the acquisition of diverse clients.

9:20 – 10:10

**Up, Up, Up! Strategies for Managing the Rising Costs of Technology, Regulations and Data**  
Astor Ballroom

**Moderator:**  
Jim McCaughan, Chair, **US Institute**

**Panelists**  
Jeremy Baskin, Managing Director, Head of Buy-Side Client Segments, **MSCI**  
Vikas Verma, VP & Global Head of Research, **Sutherland Global Services**  
Patricia Barron, Executive Director and COO, **Barrow Hanley Global Investors**

The asset management industry has been marked by a surge in the cost of data and technology that far outpaces inflation. Swelling data governance and compliance costs combined with an aggressive SEC agenda mean regulatory costs have risen exponentially as well. Our panel will take a look at tools like improved data infrastructure, vendor relationships and negotiations, technological enablers and human capital deployment to create some best practices as firms navigate the financial and operational challenges in an increasingly digitized investment landscape.

10:10 – 10:40

**Coffee Break**  
Astor Ballroom Foyer

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**10:40 – 11:30****Breakouts on Making the Most of Your Data Investment****Breakout A**

Astor

**Moderator:** Melissa Carlucci, Partner & COO, **The London Company****Breakout B**

Morgan

**Moderator:** Vikas Verma, VP & Global Head of Research, **Sutherland Global Services**

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**11:30 – 12:15****Mainstreaming Alts – Solving for Operational and Financial Challenges**

Astor Ballroom

**Moderator:**Kenny King, Global Head of Alternatives Relationship Management, **BNY Mellon****Panelists**Tuppence Russo, Head of Client Technology and Operations, **AllianceBernstein**Michael Peters, Chief Operating Officer, **Voya Investment Management**Michael Germano, Global COO & Head of North America, **Newton Investment Management**

As client appetite for alternative investment products grows, managers are met with a set of complexities inherent in blending alternative investments with traditional asset management strategies. Alternatives have their own infrastructure, which affects everything from building and delivery of investment products to talent compensation and culture. How can firms harmonize their systems across both worlds? Our panel will investigate ways to bring oil and water together, in the quest to service and manage clients in a holistic way.

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**12:15 – 1:00pm****Closing Lunch**

Rockefeller