ASECA
Association of Securities and Exchange Commission Alumni, Inc.

Presents

The Twenty-Sixth Annual ASECA Dinner
And William O. Douglas Award Presentation

Friday, February 23, 2018

The Ronald Reagan Building
And International Trade Center
Alan L. Beller is the 2018 recipient of the William O. Douglas Award. Alan served as the Director of the Division of Corporation Finance and as Senior Counselor to the Commission from January 2002 until February 2006. During his four-year tenure, Mr. Beller led the Division in producing the most far-reaching corporate governance, financial disclosure and securities offering reforms in Commission history. Among his accomplishments were the implementation of the corporate provisions of the Sarbanes-Oxley Act of 2002, the adoption of corporate governance standards for listed companies and the successful completion of comprehensive securities offering reforms.

Mr. Beller is a trustee of the IRFS Foundation, which is responsible for governance and oversight of the International Financial Accounting Standards Board and International Financial Reporting Standards, the global system of accounting standards used in more than 130 countries. Mr. Beller is a member of the Sustainability Accounting Standards Board, which is developing industry-specific sustainability accounting standards that help public companies disclose materials and provide useful information to investors.

Mr. Beller is currently senior counsel at Cleary Gottlieb which he joined in 1976, became partner in 1984 and returned to Cleary Gottlieb in August 2006. From 1977 to 1981, he was resident in the Paris office and from 1990 to 1993, he was resident in the Tokyo office. Mr. Beller received a J.D. degree, *magna cum laude*, from the University of Pennsylvania Law School and graduated from Yale College, *cum laude*, in 1971.
# Program

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<td>Opening Remarks and Welcome</td>
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<td>• SEC Staff Scholarships</td>
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<td>SEC Alumni &amp; Staff Remembered</td>
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<td>Closing Remarks</td>
<td>Brian V. Breheny</td>
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Please join us online...
DINNER MENU

Mini Lobster Roll with Raw Vegetable Slaw
Tarragon Aioli

Freshly Baked Bread and Butter

Oven Roasted Veal Loin
Potatoes, Leeks and Asparagus “Risotto Style”
with Morel Mushroom Sauce

Turkish Coffee Verrine
Espresso Sponge,
Fresh Orange Custard,
Poached Apricots, Pistachio Tuile

Freshly Brewed Regular and Decaffeinated Coffees
Assorted Harney and Sons Teas

WINES

Roux Pere et Fils Bourgogne Blanc; Burgandy, France
Bordeaux, Chateau Fayan Puisseguin; Saint Emilion, France
ASECA Congratulates
2018 winners of the annual ASECA Awards

**Brooklyn Law School Scholarships**
- Alexa Tyler Bordner

**Georgetown University School of Law**
- John Fieldsend – Division of Corporation Finance

**Howard University School of Law**
- Marva Graham
- Elijah D. Jenkins

**Northwestern University School of Law Scholarship**
- Josephine Park – SEC Honors, CRO

**Southern Methodist University Dedman School of Law Scholarship**
- Hayden M. Baker
- Logan J. Weissler

**Stanford Law School**
- Michael Clegg

**UCLA School of Law Scholarship**
- Justin Allison – SEC Summer Honors, SFDO
2018 Securities Law Writing Competition Winners

• First Place: M. Dalton Downing, “Picket Signs Versus Pocket Books: Using U.S. Securities Law to Compel Corporate Lobbying Disclosure”

• Second Place: Shaun M. Bennett, “Whistling Loud and Clear: Applying Chevron to Subsection 21F of Dodd-Frank”

• Third Place: Philip Spencer, “Price Impact & Halliburton II: An Update on Lower Court Interpretation”

SEC Staff Scholarships

• Jennifer L. Patterson
  Program Support Assistant
  Fort Worth District Office

• Vernita Rogers
  Legal Technician
  Division of Enforcement
  Chicago Regional Office
SAVE THE DATE!

THE TWENTY-SEVENTH ANNUAL
ASECA DINNER
AND
WILLIAM O. DOUGLAS AWARD
PRESENTATION

WILL BE HELD ON
THURSDAY, FEBRUARY 21, 2019

IN THE
RONALD REAGAN BUILDING
AND
INTERNATIONAL TRADE CENTER
<table>
<thead>
<tr>
<th>Year</th>
<th>Winner</th>
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<tbody>
<tr>
<td>1992</td>
<td>Irving M. Pollack</td>
</tr>
<tr>
<td>1994</td>
<td>Stanley Sporkin</td>
</tr>
<tr>
<td>1995</td>
<td>Kevin T. Duffy</td>
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<tr>
<td>1996</td>
<td>A.A. Sommer, Jr.</td>
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<tr>
<td>1997</td>
<td>Arthur F. Mathews</td>
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<tr>
<td>1998</td>
<td>Frank M. Wheat</td>
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<td>1999</td>
<td>Stephen L. Hammerman</td>
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<td>2000</td>
<td>Arthur Levitt</td>
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<td>2001</td>
<td>Richard Phillips</td>
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<tr>
<td>2002</td>
<td>Alan B. Levenson</td>
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<tr>
<td>2003</td>
<td>Aulana L. Peters</td>
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<tr>
<td>2004</td>
<td>Theodore A. Levine</td>
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<tr>
<td>2005</td>
<td>Edward F. Greene</td>
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<tr>
<td>2006</td>
<td>Paul Gonson</td>
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<td>2007</td>
<td>David S. Ruder</td>
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<tr>
<td>2008</td>
<td>Mary L. Schapiro</td>
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<td>2009</td>
<td>Richard G. Ketchum</td>
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<td>2010</td>
<td>William R. McLucas</td>
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<tr>
<td>2011</td>
<td>Harvey L. Pitt</td>
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<tr>
<td>2012</td>
<td>Daniel L. Goelzer</td>
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<td>2013</td>
<td>Elisse B. Walter</td>
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<tr>
<td>2014</td>
<td>Jacob H. Stillman</td>
</tr>
<tr>
<td>2015</td>
<td>Kathryn B. McGrath</td>
</tr>
<tr>
<td>2016</td>
<td>Richard C. Breeden</td>
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<tr>
<td>2017</td>
<td>Roberta Karmel</td>
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</table>
ASECA would like to keep track of the deaths of all SEC alumni so that they may be honored at the Annual Awards Dinner. If you observe an omission in this list or learn of the death of a former colleague, please send that information, along with any published death notice, to info@secalumni.org.

Thank you.
ASECA Thanks Lifetime Members*

Brandon Becker
David Becker
Alan Beller
Edmund Bergan, Jr.
Bradley Bondi
Richard Breeden
Jane Cobb
Marti Cochran
Robert Cook
Meredith B. Cross
Robert Curley
Jeff Dinwoodie
Melanie Dolan
James Doty
Kimberley Drexler
Paul Dudek
Trish Flynn
Cindy Fornelli
Felice B. Friedman
Robert C. Friese
Cynthia Glassman
Daniel Goelzer
Amy L. Goodman
Edward F. Greene
Paul Haaga, Jr.
Leslie Hakala
Jeffrey Hiller
Douglas W. Hyman
Ken C. Joseph

Richard Ketchum
Henry Klehm III
Robert Knuts
Simon Lorne
Helen Mangano
Stewart Mayhew
Thomas McGonigle
Kathryn Bradley McGrath
Christopher Michailoff
Patricia Murphy
Annette L. Nazareth
John F. Olson
Joseph Paolo
Mark M. Pesta
Aulana L. Peters
Marvin Pickholz
Harvey Pitt
Robert W. Pommer
Mary Revell
Lori Richards
Thomas L. Riesenberg
Richard Roberts
Erik Sirri
Marianne Smythe
Carol Tate
Linda Chatman Thomsen
Elisse B. Walter
John W. White

*as of January 30, 2018
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AlixPartners is proud to support the 2018 ASECA awards dinner.

Congratulations to Alan L. Beller, recipient of the William O. Douglas award.

When it really matters. alixpartners.com
Allen & Overy would like to congratulate Alan L. Beller on his receipt of the William O. Douglas award.

Allen & Overy is a truly global law practice. Our people work in 44 offices across 31 countries. It's an international network that helps the world's most successful businesses implement their strategies on a global stage. The fact that our lawyers are based on the ground in every region means that we can combine our global reach with in-depth local knowledge. Which means we can keep our clients up to speed with local legislative and regulatory developments as soon as they occur, as well as providing the global perspective that makes us such experts in the field of cross-border work. In short, we're an international practice of local experts.

Allen & Overy means Allen & Overy LLP and/or its affiliated undertakings.
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Alan L. Beller

as the 2018 recipient of the
ASECA William O. Douglas Award

ANKURA SEC ALUMNI

Jim Barratt
Marc Ferzan
Jason Flemmons
Linda MacDonald
Steve Richards
Marty Wilczynski

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Arnold & Porter Kaye Scholer LLP is proud to support

ASECA

We congratulate the 2018 recipient of the William O. Douglas Award

Alan L. Beller

We honor your distinguished career, public service, and longstanding commitment to securities regulation.
Thank you for your service,
Alan L. Beller

Best wishes,
Greg Bruch, Sandra Hanna,
Khiran Sidhu, Rory Flynn,
Lara Burke, Andrea Gordon,
Sitota Langford, Lindsay Arrieta,
Lucian Grove

Bruch Hanna LLP
Washington, D.C.

Vision. Fairness. Results.
The CAQ is proud to support the 26th Annual ASECA Dinner

Congratulations to Alan L. Beller, recipient of the William O. Douglas Award
We proudly support the Association of Securities and Exchange Alumni, Inc.
and join in congratulating our esteemed colleague and senior counsel

Alan Beller

on his selection as this year’s recipient of the William O. Douglas Award
Congratulations

We are pleased to support ASECA and congratulate tonight’s honoree, Alan L. Beller.
Davis Polk proudly supports ASECA and joins in special recognition of Alan L. Beller.
Debevoise is pleased to support the Association of Securities and Exchange Commission Alumni

We join in honoring Alan L. Beller

www.debevoise.com
Dechert congratulates

Alan L. Beller

Recipient of the 2018
William O. Douglas Award
Drinker Biddle is proud to support ASECA’s Twenty-Sixth Annual Dinner and congratulates Alan L. Beller, recipient of the William O. Douglas Award.

Best wishes from our partners:

Mary P. Hansen – former Assistant Director, Division of Enforcement, Philadelphia

Marc A. Leal – former Counsel to Commissioner Luis A. Aguilar

James G. Lundy – former Senior Trial Counsel, Division of Enforcement, Chicago

Brian J. Lynch – former Attorney-Adviser, Office of Chief Counsel, Division of Corporation Finance

Our transactional, regulatory and litigation legal services and insights in the financial services industry help our clients stay ahead of today’s ever-changing economic and regulatory environment.
DTCC Congratulates

ALAN L. BELLER

on receiving the
William O. Douglas Award
for his years of service
and dedication.
Some things can't be bought, sold or traded.

Clients have relied on Duff & Phelps to help protect these fundamental ideals for more than 80 years. We deliver objective advice in the areas of valuation, disputes and investigations, M&A, restructuring, and compliance and regulatory consulting. Balancing proven technical skills with deep industry expertise, we help our clients address their most complex business needs. Learn more at www.duffandphelps.com
Congratulations to
Alan L. Beller
on receiving the
William O. Douglas Award.

We are proud to sponsor the
26th Annual ASECA Dinner.


eversheds-sutherland.com
EY is proud to congratulate Alan L. Beller on his receipt of the 2018 26th Annual William O. Douglas Award.

Thanks, Alan, for your years of service to the SEC and your enormous contributions to investor protection.

Visit ey.com
FINRA Congratulates

Alan L. Beller

2018 William O. Douglas Award Recipient

At FINRA, we have an enduring commitment to investor protection and market integrity. We commend former Director of the Division of Corporation Finance and Senior Counselor to the SEC Alan L. Beller for transforming and strengthening federal securities law during an era of strong investor protection.

We salute Mr. Beller’s accomplishments, and congratulate him as this year’s William O. Douglas Award honoree.
Foley & Lardner LLP congratulates Alan L. Beller on receiving the 2018 William O. Douglas Award.

Congratulations and best wishes from Foley’s Securities Enforcement & Litigation Practice, whose members include the following:

Beth I.Z. Boland
Allison D. Charney
Brooke D. Clarkson
Melissa B. Coffey
Christopher M. Cutler
Patrick D. Daugherty
Joseph D. Edmondson
Jeremy D. Freeman
Jonathan H. Friedman
Bryan B. House
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Margaret G. Nelson
Samuel J. Winer

For more information about Foley, please contact:
Samuel (Sandy) Winer in our Washington D.C. office at swiner@foley.com or 202.672.5508 or Chris Cutler in our Tampa office at ccutler@foley.com or 813.225.4109.
FTI Consulting is honored to sponsor the

Twenty-sixth Annual ASECA Dinner

and is proud to congratulate

Alan L. Beller

2018 William O. Douglas Award recipient
GIBSON DUNN
congratulates
ALAN L. BELLER
recipient of the
2018 William O. Douglas Award

www.gibsondunn.com
The SEC alumni at Hogan Lovells are proud to support ASECA and congratulate Alan L. Beller on being honored with the William O. Douglas award in recognition of his service to the SEC community.

Peter Romeo, Douglas Paul, Michael McTiernan, Amy Bowerman Freed, Alan Dye, and Joseph Connolly
Jones Day
is proud to support ASECA
and congratulates
Alan L. Beller
on being honored
with this year’s
William O. Douglas Award.
A WELL-DESERVED HONOR FOR A REMARKABLE INDIVIDUAL AND ATTORNEY

We are pleased to congratulate our dear friend and colleague, 

Alan Beller, 

this year’s most-deserving William O. Douglas Award honoree.

In doing so, we joyfully add our voices to those of ASECA, Alan’s legions of admirers, and SEC Alums.

Kalorama Partners, LLC
Kalorama Legal Services, PLLC
Washington, D.C.
Leading the Way

King & Spalding proudly supports ASECA and joins in honoring the 2018 William O. Douglas Award recipient, Alan L. Beller.

We applaud your contributions to the development of the federal securities laws. Congratulations, Alan from your many friends at K&S.

kslaw.com
CONGRATULATIONS

We are very proud to join the Association of Securities and Exchange Commission Alumni in saluting

Alan L. Beller

recipient of ASECA’s 2018 William O. Douglas Award

K&L Gates LLP. Global legal counsel across five continents. Learn more at klgates.com.
Kirkland & Ellis and all the SEC alumni at the Firm congratulate Alan L. Beller as he receives the prestigious William O. Douglas Award.

It is an honor to celebrate with our friends and former colleagues at the ASECA 26th Annual Dinner.
One person can make all the difference.

At KPMG LLP we never underestimate the power of an individual. We congratulate Alan L. Beller on receiving the William O. Douglas Award.

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Congratulations
to

Alan L. Beller

Recipient of the 2018
William O. Douglas Award

* In association with the Law Office of Salman M. Al-Sudairi
Our best wishes for continued success.

McDermott Will & Emery is proud to participate in the 26th Annual ASECA Dinner. We congratulate Alan L. Beller, recipient of the William O. Douglas Award, for his outstanding service to the SEC, the US capital markets and the investing public.

Rick Firestone
John Kocoras
James Commons
Irene Firippis

Steve Scholes
Michael Ungar
Roy McDonald

Todd Harrison
Paul Helms
Eugene Goldman

www.mwe.com
Our congratulations to our friend

Alan Beller

a deserving recipient of the
William O. Douglas Award

Sy Lorne and

Millennium Management LLC
WE ARE PLEASED TO JOIN ASECA IN HONORING

ALAN L. BELLER
AS THE RECIPIENT OF THE ANNUAL WILLIAM O. DOUGLAS AWARD

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Murphy & McGonigle, P.C. Congratulates

Alan L. Beller

Recipient of
The William O. Douglas Award

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Daniel Brown  Howard Kramer
Matthew Comstock  Joseph Lombard
Steve Crimmins  Thomas McGonigle
Timothy Peterson

* In memory of our partner, Jerry Isenberg, who passed away in 2013
Orrick is proud to support ASECA and congratulates 2018 William O. Douglas Award Recipient Alan L. Beller
We are proud to support the

ASECA
26th Annual Dinner and Presentation of the William O. Douglas Award

and congratulate honoree
Alan L. Beller

February 23, 2018
Perkins Coie Is Proud to Support the 26th Annual ASECA Dinner

Congratulations to Alan L. Beller, Recipient of the 2018 William O. Douglas Award

PERKINS COIE SEC alumni include Partners Jose Lopez, Douglas MacBain, Lou Mejia, Keith Miller, Sean Prosser, Pravin Rao, Christopher Veatch and Daniel Zazove.

We offer a special tribute to our dear friend and esteemed partner, Martin "Marty" E. Lybecker (1945 to 2017), a proud, longtime ASECA member and distinguished scholar and practitioner.

PerkinsCoie.com
Congratulates

ALAN L. BELLER

on receiving the 2018 William O. Douglas Award
ROPES & GRAY

is proud to support

ASECA

and congratulates

Alan L. Beller

on being honored with this year’s

WILLIAM O. DOUGLAS AWARD

ropesgray.com
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And congratulates
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ALAN L. BELLER

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Steptoe is proud to support

ASECA

and congratulates

Alan L. Beller
2018 William O. Douglas Award Recipient
Stradley Ronon
and our SEC Alumni
are proud to support
ASECA
and congratulate the 2018
William O. Douglas Award Recipient

Alan L. Beller

Stradley Ronon offers a sophisticated securities practice that is international in scope. Our multidisciplinary, integrated group encompasses many areas, including investment management, securities enforcement, securities litigation and corporate finance.
Vedder Price congratulates the William O. Douglas Award Recipient, Alan L. Beller.

We are proud to sponsor the Association of SEC Alumni and to recognize our Vedder Price SEC Alumni:

Joel S. Forman
Joseph M. Mannon
Cathy Gonzales O’Kelly
Bruce A. Rosenblum
Michael J. Quinn
Junaid A. Zubairi
proudly supports

ASECA

and congratulates our valued friend and colleague

Alan L. Beller

tonight's distinguished recipient of the

William O. Douglas Award

The 26th Annual ASECA Dinner

February 23, 2018
A job well done

WilmerHale proudly supports the ASECA Annual Dinner.

Congratulations to Alan L. Beller, recipient of the 2018 William O. Douglas Award, for his distinguished service to the Securities and Exchange Commission. We applaud ASECA for its efforts to promote study and research in the field of securities law.
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Julie Bell Lindsay, Vice President
Douglas W. Hyman, Treasurer
Thomas L. Riesenbery, Immediate Past President

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Deborah Keeler, Incoming Executive Director

Asterisk = Emeritas
ASECA was founded in 1990 by U.S. Securities and Exchange Commission (“SEC”) alumni. ASECA was initially formed to continue the camaraderie that existed among ASECA members when they worked together at the SEC. Today its membership is nationwide and international. ASECA is a non-profit charitable organization whose stated mission is to provide the opportunity for education and growth of industry professionals; to promote study and research in the field of securities law; and to educate members on securities law by means of lectures, seminars and publications.

www.secalumni.org