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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



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

Opening Remarks and Welcome	Brian V. Breheny
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Presentation of ASECA Awards	Julie Bell Lindsay
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- Law School Scholarships
- Writing Competition
- SEC Staff Scholarships

SEC Alumni & Staff Remembered	Douglas Hyman
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Introduction of Alan Beller	Giovanni Prezioso
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Remarks	Alan Beller
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Presentation of the William O. Douglas Award to Alan Beller	Julie Bell Lindsay
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Closing Remarks	Brian V. Breheny
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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
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WILLIAM O. DOUGLAS AWARD
PRESENTATION

WILL BE HELD ON
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IN THE
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ASECA Salutes Past Winners of the William O. Douglas Award

1992	Irving M. Pollack
1994	Stanley Sporkin
1995	Kevin T. Duffy
1996	A.A. Sommer, Jr.
1997	Arthur F. Mathews
1998	Frank M. Wheat
1999	Stephen L. Hammerman
2000	Arthur Levitt
2001	Richard Phillips
2002	Alan B. Levenson
2003	Aulana L. Peters
2004	Theodore A. Levine
2005	Edward F. Greene
2006	Paul Gonson
2007	David S. Ruder
2008	Mary L. Schapiro
2009	Richard G. Ketchum
2010	William R. McLucas
2011	Harvey L. Pitt
2012	Daniel L. Goelzer
2013	Elisse B. Walter
2014	Jacob H. Stillman
2015	Kathryn B. McGrath
2016	Richard C. Breeden
2017	Roberta Karmel

SEC Staff and Alumni Deaths in 2017

Bader, Andrea Elizabeth	King, David Richard
Bell, Joyce Ann	Landon, Matthew
Blaisdell, Laurie Wilber	Leonard, Paul F. Sr
Carter, William Henry	Levy, Joel G.
Chaplin, Carol Joan McCloskey	Lybecker, Martin E.
Christensen, Kregge Bowen	Malloy, William Henry, Jr
Cowley, Theresa C.	Morley, William Everett
Davenport, Robert	O'Connor, Donald Edward
Ferlauto, Richard Carl	O'Neil, John
Frankhauser, Mahlon M.	Phillips, Richard Myron
Gadkowski, Peter Edward	Rue, James Alexander
Gerrior, Mary Louise Hill	Schuetze, Walter P.
Goldberg, Michael H.	Shuman, Mark Patrick
Guastavino, Helen Davis	Snow, Charles
Haft, Robert	Straub, Peter Archibald
Haley, William R.	Sullivan, William P.
Havenner, Velma	Torres, Jorge H.
Hess, Roxy Ann	Virga, Sharon Ann
Hunt, Isaac C. Jr	Walker, Constance Sue
Kieswetter, Beth	Williams, Harold

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	Richard Ketchum
David Becker	Henry Klehm III
Alan Beller	Robert Knuts
Edmund Bergan, Jr.	Simon Lorne
Bradley Bondi	Helen Mangano
Richard Breeden	Stewart Mayhew
Jane Cobb	Thomas McGonigle
Marti Cochran	Kathryn Bradley McGrath
Robert Cook	Christopher Michailoff
Meredith B. Cross	Patricia Murphy
Robert Curley	Annette L. Nazareth
Jeff Dinwoodie	John F. Olson
Melanie Dolan	Joseph Paolo
James Doty	Mark M. Pesta
Kimberley Drexler	Aulana L. Peters
Paul Dudek	Marvin Pickholz
Trish Flynn	Harvey Pitt
Cindy Fornelli	Robert W. Pommer
Felice B. Friedman	Mary Revell
Robert C. Friese	Lori Richards
Cynthia Glassman	Thomas L. Riesenber
Daniel Goelzer	Richard Roberts
Amy L. Goodman	Erik Sirri
Edward F. Greene	Marianne Smythe
Paul Haaga, Jr.	Carol Tate
Leslie Hakala	Linda Chatman Thomsen
Jeffrey Hiller	Elisse B. Walter
Douglas W. Hyman	John W. White
Ken C. Joseph	

*as of January 30, 2018

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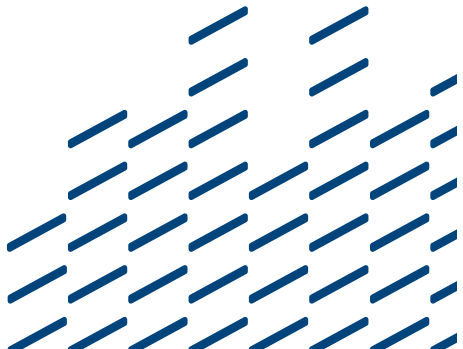
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Thank you for your service,
Alan L. Beller

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

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Alan Beller

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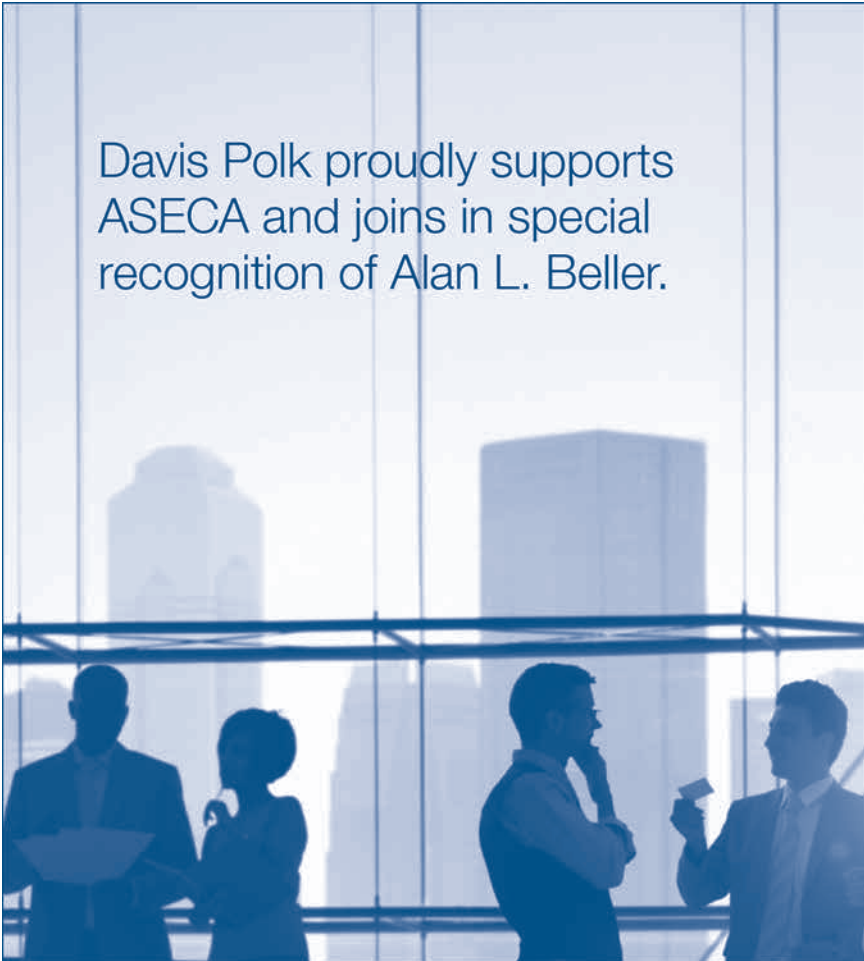
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Congratulations

We are pleased to support ASECA
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Best wishes from our partners:

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

Marc A. Leaf – 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

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

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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.



Financial Industry Regulatory Authority

Foley & Lardner LLP congratulates **Alan L. Beller** on receiving the 2018 William O. Douglas Award.

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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.

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Peter Romeo, Douglas Paul, Michael McTiernan, Amy Bowerman Freed, Alan Dye, and Joseph Connolly

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

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* In memory of our partner, Jerry Isenberg, who passed away in 2013

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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.

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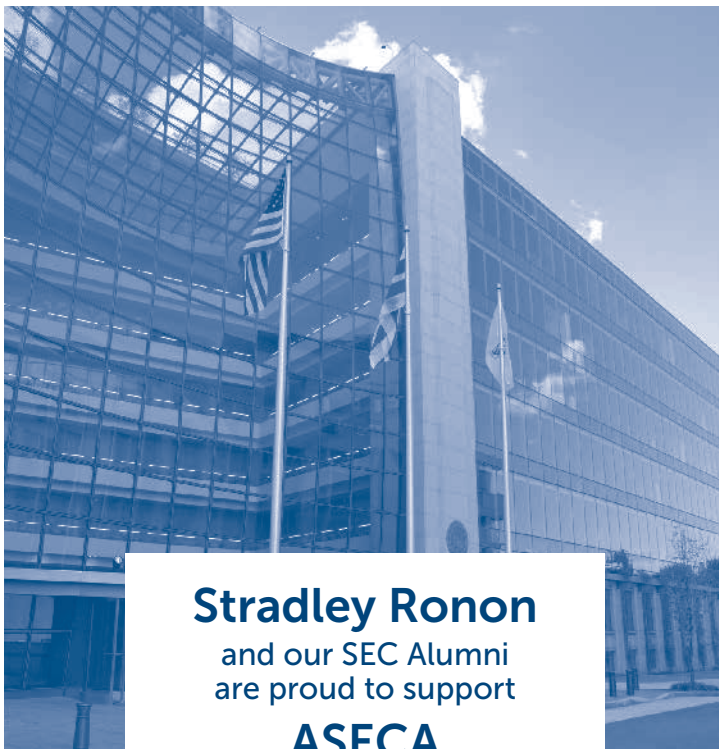
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