ASECA
Association of Securities and Exchange Commission Alumni, Inc.

Presents

The Twenty-Seventh Annual ASECA Dinner and William O. Douglas Award Presentation

Monday, April 8, 2019

The Ronald Reagan Building and International Trade Center
Welcome to the 27th Annual ASECA Dinner!

On behalf of the ASECA Board of Directors, thank you for joining us this evening. Please be sure to congratulate David Becker, our 2019 William O. Douglas honoree, spend a few minutes with many of the past WOD winners here tonight, or enjoy catching up with the many SEC alumni present.

An exciting year is underway for ASECA members. We hope you’ll join us in Austin, Chicago, Denver, Los Angeles, New York or DC at one of our regional events currently in the planning stages. If you would be interested in hosting or volunteering for an ASECA regional event, please let us know. They are easy to host and a great way to catch up with fellow SEC alumni.

Please also note our 2019 scholarship winners listed in the program. Thanks to the generosity of our ASECA members – including many of you here tonight – this year we awarded law school scholarships to 12 students who already are, or are interested in, working at the SEC and/or pursuing securities law. Since 1999, the ASECA Scholarship Fund has awarded nearly $400,000 in scholarships for law school students and SEC staff.

If you’re not already a member of ASECA but worked at the SEC in the past, we encourage you to become a member. Annual dues are only $50, and we also offer a lifetime membership option for $1,000. In either case, application can be made easily online at www.secalumni.org.

We’ve made some changes to our program schedule tonight, mainly in response to our 2018 ASECA membership survey. We hope you like the changes – please let us know when we launch a follow-up membership survey in the next couple of months!

Once again, thank you for attending tonight. Safe travel home and we wish you a successful 2019.

Sincerely,

Julie Bell Lindsay
ASECA President, 2018-2020
David Becker served as General Counsel and Senior Policy Director of the Commission from February 2009 through February 2011. He was General Counsel of the Commission from January 2000 through mid-2002 and Deputy General Counsel from August 1998 through December 1999.

Mr. Becker served under three Chairs. He led the Commission’s Office of General Counsel in advising the Commission on all matters before it and in advocating on behalf of the Commission in a broad variety of matters. He was particularly active in preparation of the Commission’s definitive materiality pronouncement, SAB 99; the Commission’s auditor independence rulemaking in 2000; and the Commission’s participation in the regulatory reform efforts that became the Dodd-Frank Act, as well as the initial implementing rules. He was in Washington at the Commission on September 11, 2001, and with Chairman Pitt in New York the next day.

Mr. Becker is currently senior counsel at Cleary Gottlieb, which he joined as a partner when he left the Commission in 2002 and to which he returned after leaving the Commission in 2011.

Between July 2014 and January 2017, Mr. Becker was Chief Legal Officer at Och-Ziff Capital Management LLP. Between 1978 and joining the Commission in 1998, Mr. Becker was an Associate and then a partner at Wilmer, Cutler & Pickering.

Mr. Becker clerked for Judge Harold Leventhal of the U.S. Court of Appeals for the DC Circuit and for Associate Justice (retired) Stanley R. Reed of the U.S. Supreme Court.

Mr. Becker graduated from Columbia Law School, where he was Editor-in-Chief of the Columbia Law Review.
DINNER MENU

Winter Salad with Scallion, Dill and Feta Parmesan Dressing

Farm Raised Salmon Fillet and Beef Tenderloin
  Carolina Gold Rice Pilaf, Corn Succotash
  Purple Mustard Sauce

WINES

Domaines Baron de Rothschild Legende Bordeaux Blanc
  Bordeaux, France

Chateau Mercier Cuvee Prestige Cotes de Bourg
  Bordeaux, France

After dinner and closing remarks, please join us in the Ballroom for dessert and coffee.
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<tr>
<th>Event</th>
<th>Speaker</th>
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<tr>
<td>Welcome and Opening Remarks</td>
<td>Julie Bell Lindsay</td>
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<tr>
<td>Introduction of David M. Becker</td>
<td>Robert S. Khuzami</td>
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<td>Remarks</td>
<td>David M. Becker</td>
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<td>Presentation of the William O. Douglas</td>
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<td>Closing Remarks</td>
<td>Julie Bell Lindsay</td>
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Please join us in the Ballroom for Dessert & Coffee
SAVE THE DATE!

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

WILL BE HELD ON
FRIDAY, FEBRUARY 21, 2020

IN THE
RONALD REAGAN BUILDING
AND
INTERNATIONAL TRADE CENTER
ASECA Congratulates 2019 Winners of ASECA Scholarships

BROOKLYN LAW SCHOOL SCHOLARSHIPS
- Blaise Gibson – SEC Legal Honors Program – NYRO, Enforcement
- Amber Leary – SEC Legal Honors Program – NYRO, Enforcement
- Kristin Tesi – SEC Legal Honors Program – NYRO, Enforcement

GEORGETOWN UNIVERSITY LAW CENTER
- Eric Shu – LARO, Office of Compliance Inspections and Examinations

HOWARD UNIVERSITY SCHOOL OF LAW
- Samantha Bollers
- Donald J Finley – SEC Legal Honors Program – Corporate Finance

NORTHWESTERN UNIVERSITY SCHOOL OF LAW
- Megan Smith Richardson

SOUTHERN METHODIST UNIVERSITY DEDMAN SCHOOL OF LAW
- Jackson Long
- Jennifer Wilt

STANFORD LAW SCHOOL
- Raphael Ginsburg – SEC Legal Honors Program – SFRO, Enforcement
- Sunny Jeon – SEC Legal Honors Program – Office of the General Counsel

UCLA SCHOOL OF LAW
- Brian Daley
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Brandon Becker, Vice President
Douglas W. Hyman, Treasurer
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Deborah Keeler, CAE – Executive Director
<table>
<thead>
<tr>
<th>Year</th>
<th>Name</th>
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<tr>
<td>1992</td>
<td>Irving M. Pollack</td>
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<td>1994</td>
<td>Stanley Sporkin</td>
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<td>1995</td>
<td>Kevin T. Duffy</td>
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<td>1996</td>
<td>A.A. Sommer, Jr.</td>
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<td>1997</td>
<td>Arthur F. Mathews</td>
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<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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<td>2002</td>
<td>Alan B. Levenson</td>
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<td>2003</td>
<td>Aulana L. Peters</td>
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<td>2004</td>
<td>Theodore A. Levine</td>
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<td>2005</td>
<td>Edward F. Greene</td>
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<td>2006</td>
<td>Paul Gonson</td>
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<td>2007</td>
<td>David S. Ruder</td>
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<td>2008</td>
<td>Mary L. Schapiro</td>
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<td>Richard G. Ketchum</td>
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<td>William R. McLucas</td>
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<td>2011</td>
<td>Harvey L. Pitt</td>
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<td>Daniel L. Goelzer</td>
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<td>2013</td>
<td>Elisse B. Walter</td>
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<td>Jacob H. Stillman</td>
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<td>2015</td>
<td>Kathryn B. McGrath</td>
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<td>2016</td>
<td>Richard C. Breeden</td>
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<td>2017</td>
<td>Roberta S. Karmel</td>
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<tr>
<td>2018</td>
<td>Alan L. Beller</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 M. Becker
Alan L. Beller
Edmund Bergan, Jr.
Bradley Bondi
Richard Breeden
James Brigagliano
Lillian Brown
Wayne Carnall
Jane Cobb
Martha L. Cochran
Robert Cook
Meredith B. Cross
Robert Curley
Jeffrey Dinwoodie
Melanie Dolan
James Doty
Kimberley Drexler
Paul Dudek
Trish Flynn
Cindy Fornelli
Felice B. Friedman
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Amy L. Goodman
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Douglas W. Hyman
Ken C. Joseph
Richard Ketchum
Henry Klehm III
Robert Knuts
Carmen J. Lawrence

Simon “Sy” Lorne
David Lynn
Helen Mangano
Stewart Mayhew
Thomas J. McGonigle
Kathryn B. McGrath
Joan McKown
Deborah R. Meshulam
Christopher Michailoff
Adriaen M. Morse, Jr.
Patricia Murphy
Annette L. Nazareth
John Nowak
Kevin O’Connor
John F. Olson
Joseph Paolo
Mark M. Pesta
Aulana L. Peters
Marvin G. Pickholz
Harvey L. Pitt
Robert W. Pommer
Diana L. Preston
Mary Revell
Lori Richards
Thomas L. Riesenberg
Richard Roberts
Robert M. Romano
Erik Sirri
Marianne K. Smythe
Stanley Sporkin
Carol Tate
Linda Chatman Thomsen
Heather Traeger
Richard H. Walker
Gerri Walsh
Elisse Walter
John W. White

*as of January 31, 2019
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Congratulations to David Becker, recipient of the William O. Douglas award.

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AlixPartners
Allen & Overy would like to congratulate David M. Becker 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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We are proud to support ASECA and congratulate

David M. Becker

on receiving the
William O. Douglas Award
ANKURA CONGRATULATES DAVID M. BECKER as the 2019 recipient of the ASECA William O. Douglas Award.

ANKURA SEC ALUMNI

Jim Barratt
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Jason Fleemmons
Linda MacDonald
Steven E. Richards
Martin Wilczynski
Arnold & Porter proudly supports

ASECA

and joins in honoring

David M. Becker

2019 William O. Douglas Award Recipient
Thank you for your wit and wisdom,

David M. Becker

Best wishes,
Greg Bruch, Sandra Hanna,
Khiran Sidhu, Rory Flynn,
Lara Burke, Diona Howard-
Nicolas, Sitota Langford, Krista
Hess, Lucian Grove

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Vision. Fairness. Results.
THE CAQ IS PROUD TO SUPPORT THE 27TH ANNUAL ASECA DINNER
We are proud to support the Association of Securities and Exchange Alumni, Inc.

and join in congratulating our colleague

David Becker

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, David Becker.
Davis Polk is proud to support ASECA and congratulates David Becker as the 2019 recipient of the William O. Douglas Award.
Debevoise is pleased to support the Association of Securities and Exchange Commission Alumni

We join in honoring David M. Becker

www.debevoise.com
Dechert congratulates

David M. Becker

Recipient of the 2019 William O. Douglas Award
DTCC congratulates DAVID M. BECKER on receiving the William O. Douglas award for his years of service and dedication.
For decades, clients have called upon Duff & Phelps and Kroll to deliver rigorous, independent, and effective expert analyses and opinions on a variety of complex matters, including those involving governance, risk, investigations and disputes.

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We deliver for clients with transparency, confidence, and trust.

On behalf of our 3,500 colleagues in 28 countries and 70 offices around the globe, congratulations to David M. Becker. Well done!
Congratulations to David Becker on receiving the William O. Douglas Award.

We are proud to sponsor the 2019 Annual ASECA Dinner.

EY is proud to congratulate David M. Becker on his receipt of the 2019 27th Annual William O. Douglas Award.

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

Visit ey.com
At FINRA, we have an enduring commitment to investor protection and market integrity. We commend former General Counsel and Senior Policy Director of the SEC, David Becker, for transforming and strengthening federal securities law during an era of significant regulatory reform.

We salute Mr. Becker’s accomplishments, and congratulate him as this year’s William O. Douglas Award honoree.
Foley & Lardner LLP congratulates David M. Becker on receiving the 2019 William O. Douglas Award.

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

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

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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FTI Consulting is honored to sponsor the 2019 Annual ASECA Dinner and is proud to congratulate David M. Becker 2019 William O. Douglas Award Recipient
GIBSON DUNN congratulates DAVID M. BECKER recipient of the 2019 William O. Douglas Award

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We congratulate **David Becker**, former General Counsel and Senior Policy Director of the Commission, on receiving the 2019 William O. Douglas Award.
Jones Day proudly supports ASECA. We congratulate David M. Becker on being honored with this year’s William O. Douglas Award.

Why Jones Day? A true partnership based on communication, collaboration, conviction, and talent across specialties and jurisdictions.
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We are pleased to congratulate our dear friend and colleague, 

David Becker

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

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

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Washington, D.C.
King & Spalding proudly supports ASECA and joins in honoring our colleague and friend, David M. Becker, who joins a long line of distinguished SEC leaders, as the recipient of the 2019 William O. Douglas Award.
Kirkland & Ellis congratulates

David M. Becker

as this year’s recipient of the
William O. Douglas Award

It is an honor to celebrate with
our friends and former colleagues
at the ASECA 27th Annual Dinner

Kirkland & Ellis SEC Alumni

Zach Brez  Alpa Patel
Norm Champ  Bob Pommer
Marian Fowler  Aaron Schlaphoff
Asheesh Goel  Jamie Lynn Walter
Ken Lench  Jason Williams
Ammani Nagesh  Erica Williams
At KPMG LLP, we never underestimate the power of an individual. We congratulate David M. Becker on receiving the William O. Douglas Award.
Congratulations to

David M. Becker

Recipient of the 2019 William O. Douglas Award

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We are proud to participate in ASECA’s annual dinner event – an opportunity to celebrate the distinctive contributions of all members of the SEC community. We congratulate David M. Becker, recipient of the William O. Douglas Award, for his outstanding service to the SEC, the US capital markets and the investing public. Our best wishes for continued success.

CONGRATS ON BEHALF OF McDERMOTT’S SECURITIES PROFESSIONALS ACROSS OUR 20 GLOBAL OFFICES.
McGUIREWOODS CONGRATULATES DAVID M. BECKER RECIPIENT OF THE 2019 WILLIAM O. DOUGLAS AWARD
When David Becker served as General Counsel, during and post-Enron, and then again post-crisis, we slept more soundly knowing that the Chair, and the Commission, were well advised.

Thank you, David

We are gratified to be honoring you, and supporting ASECA tonight.

Sy Lorne
and Millennium Management LLC
WE ARE PLEASED TO JOIN ASECA IN HONORING DAVID M. BECKER AS THE RECIPIENT OF THE ANNUAL WILLIAM O. DOUGLAS AWARD

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We salute

DAVID M. BECKER

for his many contributions to the securities industry

* * *

Our SEC Alumni

Lionel André
Christian R. Bartholomew
Lindi Beaudreault
Larry Bergmann
Daniel Brown
Meghan Carey
Matthew Comstock
Steve Crimmins

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

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David M. Becker

recipient of the 2019 William O. Douglas Award.
We are proud to support the

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27th Annual Dinner
and Presentation of the
William O. Douglas Award

and congratulate honoree
David M. Becker

April 8, 2019
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*Congratulations to David M. Becker, Recipient of the 2019 William O. Douglas Award.*

**PERKINS COIE** SEC alumni include Partners Valerie Dahiya, Michael Didiuk, Jose Lopez, Douglas MacBain, Lou Mejia, Keith Miller, Geoffrey Ossias, Sean Prosser, Pravin Rao, and Christopher Veatch.

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Congratulates

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and congratulates

David Becker

on being honored with this year's

William O. Douglas Award
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David Becker

Recipient of the William O. Douglas Award

The SEC Historical Society shares, preserves and advances knowledge of the history of financial regulation through its virtual museum.

Join us for a special dinner and program to commemorate the 85th Anniversary of the SEC on June 3, 2019 in Washington D.C. Tables/Tickets available at www.sechistorical.org
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SIDLEY IS PROUD TO SPONSOR

ASECA’S 27th Annual Dinner

and congratulates
William O. Douglas Award recipient

DAVID M. BECKER

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New York, NY 10019
+1 212 839 5300

Neal E. Sullivan
1501 K Street, N.W.
Washington, D.C. 20005
+1 202 736 8000
We Proudly Support the

Twenty-Seventh Annual ASECA Dinner

and Congratulate This Year’s Awardee

David M. Becker
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Steptoe
is proud to support
ASECA
and congratulates
David M. Becker,
2019 William O. Douglas
Award Recipient

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and our SEC Alumni are proud to support
ASECA
and congratulate the 2019
William O. Douglas Award Recipient
David Becker

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Vedder Price congratulates the William O. Douglas Award Recipient, David Becker.

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
Michael J. Quinn
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Willkie is proud to support

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and warmly congratulates
our friend and colleague

David M. Becker

Recipient of the
William O. Douglas Award

The 27th Annual ASECA Dinner
April 8, 2019
WilmerHale proudly supports ASECA’s Annual Dinner.

Congratulations to David M. Becker, recipient of the William O. Douglas Award 2019, for his distinguished service to the Securities and Exchange Commission.
Please join us online. . .

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ASECA

Association of Securities and Exchange Commission Alumni, Inc.
Founded in 1990, the Association of Securities and Exchange Commission Alumni (ASECA) is a non-profit organization that fosters the shared history and unique camaraderie between SEC alumni globally. ASECA provides its members with the opportunity to (i) network and share information with fellow SEC alumni, (ii) support its robust scholarship program to further the education and growth of industry professionals, and (iii) recognize SEC alumni that have contributed to the development of the federal securities laws and/or served the financial and SEC community with distinction through ASECA’s annual William O. Douglas award.

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