

Association of Securities and Exchange Commission Alumni, Inc.

Presents

THE Juventy Jeventh 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 M. Becker



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



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After dinner and closing remarks, please join us in the Ballroom for dessert and coffee.

Program

Welcome and Opening Remarks

Julie Bell Lindsay

Introduction of David M. Becker Robert S. Khuzami

Remarks David M. Becker

Presentation of the William O. Douglas Julie Bell Lindsay

Award to David M. Becker

Closing Remarks Julie Bell Lindsay

Please join us in the Ballroom for Dessert & Coffee

SAVE THE DATE!

ASECA DINNER

AND

WILLIAM O. DOUGLAS AWARD PRESENTATION

WILL BE HELD ON FRIDAY, FEBRUARY 21, 2020

IN THE
RONALD REAGAN BUILDING
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ASECA Congratulates 2019 Winners of ASECA Scholarships

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- Amber Leary SEC Legal Honors Program NYRO, Enforcement
- Kristin Tesi SEC Legal Honors Program NYRO, Enforcement

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• 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

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Megan Smith Richardson

SOUTHERN METHODIST UNIVERSITY DEDMAN SCHOOL OF LAW

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- Jennifer Wilt

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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
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1999	Stephen L. Hammerman
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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 S. Karmel
2018	Alan L. Beller

SEC Staff and Alumni Deaths in 2018

Donald Victor Berlanti

Robert W. Cox

Roberta Deibl

Victoria Denise Doane

Jason McCall Farrell

Scott William Friestad

David M. Greenberg

Miles Ward Green

Jovce C. Hankins

Lloyd Nelson Hull

Michael Fisher Johnson

Mark Jeffrev Kreitman

Robert S. Lamont, Jr.

Lavern Annette Mock

James Patrick Murphy

Janice H. Numata

Toyya Yvette Patterson-Azian

Alan Rosenblat

Charlene Sussel

William Fergus White, Jr.

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 I. Beller Edmund Bergan, Jr. Bradlev Bondi Richard Breeden James Brigagliano Lillian Brown Wavne Carnall Jane Cobb Martha L. Cochran Robert Cook Meredith B. Cross Robert Curley Jeffrey Dinwoodie Melanie Dolan James Doty Kimberlev Drexler Paul Dudek Trish Flynn Cindy Fornelli Felice B. Friedman Robert C. Friese Dennis Garris Cynthia Glassman Daniel L. 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 Carmen J. Lawrence

Simon "Sy" Lorne David Lynn Helen Mangano Stewart Mayhew Thomas J. McGonigle Kathrvn 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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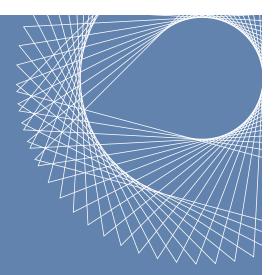
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Allen & Overy is a truly global law practice. Our people work in 44 offices across 31 countries. It's an international network that helps the world's most successful businesses implement their strategies on a global stage. The fact that our lawyers 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.

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Thank you for your wit and wisdom, David M. Becker

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

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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. CRAVATH, SWAINE & MOORE LLP

Davis Polk is proud to support ASECA and congratulates David Becker as the 2019 recipient of the William O. Douglas Award.



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Debevoise is pleased to support the Association of Securities and Exchange Commission Alumni

We join in honoring **David M. Becker**



David M. Becker

Recipient of the 2019 William O. Douglas Award

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DTCC congratulates DAVID M. BECKER on receiving the William O. Douglas award for his years of service and dedication.







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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!



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FINRA Congratulates

David Becker

2019 William O. Douglas Award Recipient

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:

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2019 William O. Douglas Award Recipient

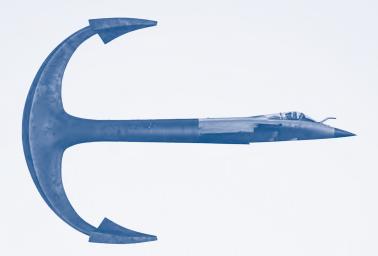


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We congratulate **David Becker**, former General Counsel and Senior Policy Director of the Commission, on receiving the 2019 William O. Douglas Award.



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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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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.



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Kirkland & Ellis congratulates

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

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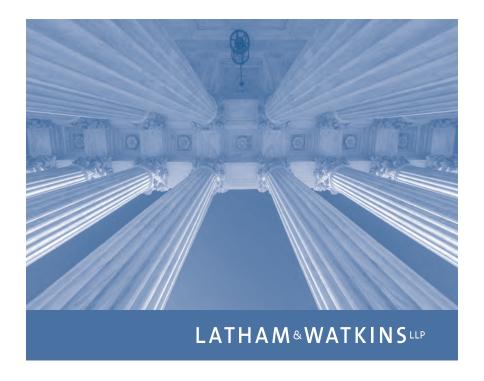
One person can make all the difference.

At KPMG LLP, we never underestimate the power of an individual. We congratulate David M. Becker on receiving the William O. Douglas Award.

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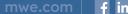
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We are proud to participate in ASECA's annual dinner event – an opportunity to celebrate the distinctive contributions of all members of the SEC community. We congratulate David M. Becker, recipient of the William O. Douglas Award, for his outstanding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







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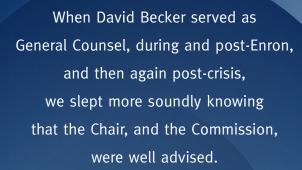
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Thank you, David

We are gratified to be honoring you, and supporting

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We salute

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for his many contributions to the securities industry

* * *

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Larry Bergmann Howard Kramer

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Meghan Carey Joseph Lombard

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



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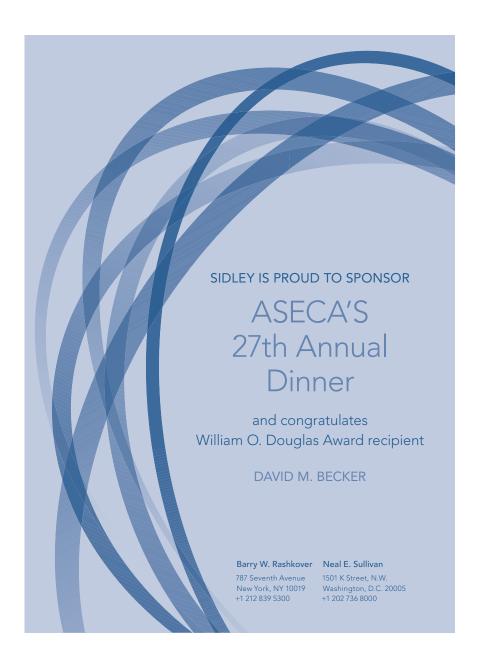
Recipient of the William O. Douglas Award

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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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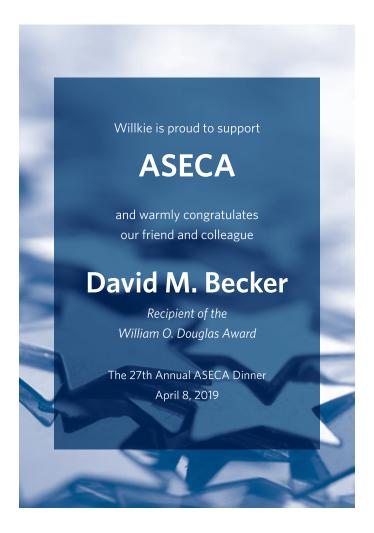
We are proud to sponsor the Association of SEC Alumni and to recognize our Vedder Price SEC Alumni: Joel S. Forman
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of the William O. Douglas Award 2019, for his distinguished service to the Securities and Exchange Commission.

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