

Association of Securities and Exchange Commission Alumni, Inc.

Presents

Jwenty - Cighth ANNUAL ASECA DINNER

and William O. Douglas Award Presentation

Thursday, September 8, 2022

THE RONALD REAGAN BUILDING AND INTERNATIONAL TRADE CENTER



Welcome to the 28th Annual ASECA Dinner!

On behalf of the ASECA Board of Directors, thank you for joining us this evening. We hope you enjoyed the PLI-ASECA reception earlier, were able to congratulate Jim Kroeker, our 2020-22 William O. Douglas honoree, and had the opportunity to catch up with the many SEC alumni present.

ASECA has had a challenging few years since our last dinner held in 2019. Despite the pandemic, we hosted several great webinars in cooperation with the SEC Historical Society and are scheduling new SEC alumni receptions across the country. We want to thank the firms who co-hosted events in the past and invite everyone to join us for one of our regional events. They are easy to host and a terrific way to catch up with fellow SEC alumni.

Our thanks to the generosity of the many ASECA members here tonight who have generously donated to the scholarship fund. Since 1999, the ASECA Scholarship Fund has awarded more than \$750,000 in scholarships to law school students who have worked at the SEC and/or are pursuing careers in securities law. We hope you'll take a few moments to note your 2022 scholarship winners listed in the program.

Many of our Lifetime members are present tonight and we send a special thank you for their ongoing support. If you worked at the SEC in the past and are not a member of ASECA, we encourage you to become a member. If you are considering joining ASECA, it's easy to join online or speak with any one of our members of the ASECA Board of Directors here tonight.

We have a wonderful dinner and great program planned for this evening and hope you'll join us in the Ballroom for dessert, coffee, and cocktails after closing remarks.

Once again, thank you for attending tonight. Safe travel home and we wish you a successful remainder of 2022.

Sincerely,

Sunder Bufer

Brandon Becker ASECA President, 2020-2023

James L. Kroeker



James L. Kroeker served as the Chief Accountant of the Securities and Exchange Commission from January 2009 until his departure in 2012. In this capacity, Jim served as the senior accounting professional for the Commission and the principal advisor to the Commission on all accounting and auditing matters. In his capacity at the SEC, he was responsible for resolution of a wide range of globally significant accounting and auditing issues.

Since joining the Commission in February 2007, Jim

played a key role in efforts to improve the transparency and reduce the complexity of financial disclosure. He served as staff director of the SEC's Congressionally mandated study of fair value accounting standards, and he has led the efforts of the Office of the Chief Accountant to address the economic crisis, including steps to improve off-balance sheet accounting guidelines. Jim also served as the Designated Federal Officer responsible for the staff oversight of the SEC's Advisory Committee on Improvements to Financial Reporting.

He also was responsible for the day-to-day operations of the office, including resolution of accounting and auditing practice issues, rulemaking, and oversight of the FASB and PCAOB.

Mr. Kroeker was appointed a member and vice chairman of the Financial Accounting Standards Board (FASB) on September 1, 2013. In the latter role, he assists the FASB chairman in representing the Board to external stakeholders and in conducting its internal operations, in addition to serving as a voting member of the Board.

Mr. Kroeker joined the FASB from Deloitte, where he served as the Deputy Managing Partner for Professional Practice. Prior to joining the SEC, Jim was a partner at Deloitte in the firm's Professional Practice Network. Mr. Kroeker was Deloitte & Touche's representative on the AICPA Accounting Standards Executive Committee (AcSEC) and served as a Practice Fellow at the Financial Accounting Standards Board.

Mr. Kroeker received a Bachelor of Science degree with an emphasis in accounting from the University of Nebraska in May 1992.

DINNER MENU

Watermelon with Wild Watercress and Feta Citrus Dressing

Salmon Fillet and Beef Tenderloin Lemon Cucumber Risotto, Sea Asparagus Fricassee Purple Mustard Sauce

WINES

L'Ecole No. 41 Old Vines Chenin Blanc Yakima Valley, Washington, USA

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

Program

Welcome and Opening Remarks

Dinner

Presentation of the William O. Douglas Award to James L. Kroeker

Remarks

Closing Remarks

James L. Kroeker

Brandon Becker

Brandon Becker

Please join us in the Ballroom for Dessert & Coffee

SAVE THE DATE!

The twenty-ninth annual ASECA DINNER and WILLIAM O. DOUGLAS AWARD PRESENTATION

WILL BE HELD ON THURSDAY, APRIL 20, 2023

in the Ronald Reagan Building and International Trade Center



ASECA Congratulates 2022 Winners of ASECA Scholarships

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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
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We salute JAMES L. KROEKER as the first accountant recipient of the William O. Douglas Award

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Broadridge congratulates James L. Kroeker, this year's William O. Douglas Award honoree, on his accomplishments.

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and join in congratulating

James L. Kroeker

on his selection as this year's William O. Douglas Award recipient



Together we succeed.

Cooley proudly supports ASECA and congratulates this year's William O. Douglas Award recipient, James L. Kroeker.

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Congratulations

We are pleased to support ASECA and congratulate tonight's honoree, James L. Kroeker.

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Congratulations

Deloitte applauds James L. Kroeker, recipient of the 2022 William O. Douglas Award, and is proud to support ASECA.

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Davis Wright Tremaine salutes James Kroeker for his many contributions to the securities industry

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Larry Bergmann	Jerry Isenberg*
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Matthew Comstock	Frederic Krieger
Steve Crimmins	Joseph Lombard
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*In memory of our partner Jerry Isenberg who passed away in 2013







DTCC congratulates JAMES L. KROEKER on receiving the William O. Douglas Award for his years of service and dedication.





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Congratulations!

EY is proud to congratulate James L. Kroeker on his receipt of the 28th Annual William O. Douglas Award and being the first accountant honored with the award.

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Thanks, Jim, for your years of service to the Commission and your efforts to fulfill the SEC's mission. Your contributions to the accounting procession have been enormous.

FINRA Congratulates James L. Kroeker 2022 William O. Douglas Award Recipient

At FINRA, we have an enduring commitment to investor protection and market integrity. We commend former Chief Accountant of the SEC, **James L. Kroeker**, for his work to improve the transparency and reduce the complexity of financial disclosure during an era of significant regulatory reform.

We salute Mr. Kroeker's accomplishments, and congratulate him as this year's William O. Douglas Award honoree.



Foley & Lardner LLP congratulates James L. Kroeker on receiving the 2022 William O. Douglas Award.

Congratulations and best wishes from Foley's Securities Enforcement & Litigation Practice.

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Latham & Watkins congratulates

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Recipent of the William O. Douglas Award

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YOUR PASSION INSPIRES.

Congratulations, James L. Kroeker, on receiving the William O. Douglas Award as part of the 28th Annual ASECA Dinner. Your leadership, commitment and outstanding service to the SEC, US capital markets and the investing public have inspired us all. We applaud this well-deserved recognition.

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

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and warmly congratulates our friend and colleague

James L. Kroeker

Recipient of the William O. Douglas Award

The 28th Annual ASECA Dinner September 8th, 2022



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WilmerHale is proud to support ASECA's 28th Annual Dinner.

Congratulations to James L. Kroeker, recipient of the William O. Douglas Award 2022, for his distinguished service to the Securities and Exchange Commission.



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In Memoriam SEC Staff and Alumni 2019

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ASECA would like to keep track of the deaths of all SEC alumni. If you observe an omission in this list or learn of a death of a former colleague, please send that information, along with any published death notice, to **info@secalumni.org**.

In Memoriam SEC Staff and Alumni 2020

Arthur Blasberg Irving Borochoff Ronald Townsend Carman Glenn Dallaire George H. Diacont Kevin Duffy Martin P. Dunn Irving Einhorn Tom Gira Paul Gonson Phil Gross Regina Hamilton Keith Barnard Johnson Barbara Thomas Judge Richard Carlyl Kauffman Raymond Harry Kraftson David Jay Levenson

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ASECA Brings Value to SEC Alumni

The Association of Securities and Exchange Commission Alumni (ASECA) provides value to its members in several ways. We welcome your membership and participation in our different programs.

1. ASECA provides the opportunity for former SEC employees and staff to find and re-connect with former colleagues and friends. Re-connect through social activities, including receptions and networking opportunities in the different SEC office cities. Our annual dinner provides an opportunity to gather in Washington DC during the PLI SEC Speaks conference. **Applaud the unique history and shared** camaraderie of SEC alumni.

2. ASECA provides an opportunity to support education. Nearly one million dollars have been awarded in college scholarships to SEC staff and law school students pursuing careers in the field of securities law and compliance. **Invest in tomorrow's professionals.**

3. ASECA coordinates interesting and informative webinars, highlighting unique careers, events, and individuals who have shared in protecting investors for decades. **Listen to those who talk about their journey.**

4. ASECA bestows the William O. Douglas Award to a worthy SEC alumnus or alumna who has contributed to the development of the federal securities laws or served the financial and SEC community with distinction. **Honor those who have served with distinction**.

5. ASECA members are afforded discount pricing for events, such as the annual dinner. **Membership has its perks.**

6. Membership dues and donations to ASECA are tax deductible to the extent provided by law. **Become a member and save.**

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