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Presents

THE
Twenty-Ninth
ANNUAL ASECA DINNER

AND WILLIAM O. DOUGLAS AWARD PRESENTATION

Tuesday, April 2, 2024

THE JW MARRIOTT, WASHINGTON DC

Welcome to the 29th Annual ASECA Dinner!

On behalf of ASECA's Board of Directors, thank you for joining us this evening. We are pleased to once again be hosting tonight's dinner and we appreciate all of you for your continued support. After our hiatus from last year, we were happy to see so many of you enjoying the cocktail reception co-sponsored with our friends at PLI and catching up with your fellow SEC alumni. I hope you had a chance to congratulate Jack Katz, our 2023-2024 William O. Douglas honoree, and an emeritus member of our Board.

A special thank you to our Lifetime Members for your ongoing support. If you worked at the SEC in the past and are not currently a member of ASECA, we encourage you to consider joining ASECA and becoming part of a very special community. We also want to thank the firms and individuals who have generously sponsored ASECA events this past year, especially those who are here tonight. We have a busy 2024 in the works and we encourage all of you to join us at the various events we have planned. These include programs that we will be co-sponsoring with the Investment Company Institute, as well as a range of great regional events around the country to foster information sharing and networking.

ASECA also announced the inaugural Judge Stanley Sporkin SEC Enforcement Panel at Georgetown University Law Center which took place this past January. The enforcement panel included an all-star lineup of past SEC Directors of Enforcement as well as the current Director. Each of our panelists graciously provided insightful and candid commentary on current enforcement trends along with wonderful memories of Judge Sporkin. A replay of the event is available on the ASECA website and I encourage all of you who missed the live event to watch the discussion online. Through the efforts of many of you in this room tonight, the event was a tremendous success. We thank all of our sponsors of the event for their generous contributions in memory of Judge Sporkin and are proud to announce that we were able to fully endow the Judge Stanley Sporkin scholarship. We look forward to seeing you all at next year's event.

We also recently announced the kick-off of a wonderful partnership with the SIFMA Foundation to provide ASECA members access to a range of opportunities to volunteer to help educate grade school and high school students across America on the basics of investing. We encourage each of you to become involved by volunteering either online or in person in your participating local schools. This is a great opportunity to share your own personal journey in the securities industry while educating the next generation.

In addition to our newly endowed Judge Sporkin scholarship, the ASECA Scholarship Fund has awarded more than \$1,000,000 in scholarships since 1999 to law school students who have worked at the SEC and/or are pursuing careers in securities law. Many thanks to all the ASECA members here tonight who have generously donated to the scholarship fund over the years.

We have a wonderful dinner and program planned for this evening. Once again, thank you for your support of ASECA and we look forward to seeing you at additional events this year. Enjoy the evening.

Sincerely,



Annemarie Tierney
ASECA President, 2023-2024

JONATHAN G. KATZ

2023-2024 William O. Douglas Award Recipient



Jonathan Katz served Secretary of the U. S. Securities and Exchange Commission for twenty years, spanning seven SEC Chairmen and four Acting Chairmen. As Secretary, Mr. Katz coordinated and managed the Commission's agenda, participated in all Commission meetings, and oversaw the final review and issuance of all SEC regulatory and enforcement documents.

During his tenure as Secretary, Mr. Katz responsibilities encompassed all aspects of the

Commission's regulatory and enforcement programs, advising Commissioners and staff of the SEC on policy and procedure and past practice. He performed a wide range of special assignments, including the supervision and preparation of draft Commission opinions in sensitive administrative proceedings; overseeing the SEC website; chairing teams to evaluate and select proposals to modernize the SEC EDGAR system; and selected a new building for the SEC headquarters. He oversaw an internal, comprehensive examination of SEC operations that led to the creation of a new office responsible for expanded emphasis on quantitative analysis of markets and led to a major reorganization of an SEC Division. Before his appointment as SEC Secretary, Mr. Katz was the Director of the SEC Office of Consumer Affairs and Information Services. During his career at the SEC Mr. Katz received numerous awards including the Distinguished Service Award, the Commission's highest honor.

Following his retirement in January 2006, Mr. Katz served as a consultant on capital market development and regulation in the United States and internationally. He was a panelist or featured speaker at numerous conferences, wrote several articles on capital markets regulation and contributed chapters to reference texts on securities regulation, and on two occasions testified before the U.S. Congress concerning effective financial regulation.

Mr. Katz received a BA degree in economics from Colgate University and a JD degree from the University of Pittsburgh School of Law. From 2007-2021 he served on the Board of the Association of SEC Alumni, serving as President in 2013- 2014.

DINNER MENU

Mixed Greens Salad with English Cucumber, Pickled Fennel,
Goat Cheese, Candied Almonds,
and Whole Grain Mustard Citrus Vinaigrette



Petit Filet & Roasted Stripped Bass,
with Pea & Pancetta Risotto and Pinot Butter Sauce



Cherry Blossom Black Forest Cake with
Cheesecake Mousse and Morello Cherries

WINES

Villa Maria, Sauvignon Blanc, "Cellar Selection"
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Hangtime, Pinot Noir
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Program

Welcome and Opening Remarks Annemarie Tierney

Dinner

Past Presidents Award to Brandon Becker Annemarie Tierney

Presentation of the William O. Douglas Award

Introduction of Jonathan G. Katz David M. Becker

Remarks Jonathan G. Katz

Closing Remarks Annemarie Tierney

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For more information or assistance, contact ASECA at 202-735-7168 or email us at info@secalumni.org

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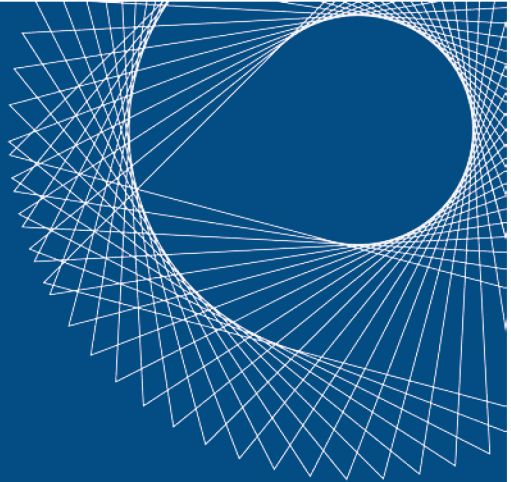
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Thanks, Jonathan for your years of service to the SEC and your enormous contributions to investor protection.



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

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