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Presents

THE
Twenty-Third
ANNUAL ASECA DINNER

AND WILLIAM O. DOUGLAS AWARD PRESENTATION

Friday, February 20, 2015

THE RONALD REAGAN BUILDING
AND INTERNATIONAL TRADE CENTER

Kathryn Bradley McGrath



Kathie McGrath served with distinction in almost every regulatory area of the SEC, advising, providing ideas and leadership and mentoring a generation of SEC staffers. She joined the staff in 1970 as an attorney in the Office of the General Counsel and then served as legal counsel to Commissioner Philip Loomis, Chairman Ray Garrett and Chairman Rod Hills. After working on rulemaking in Corporation Finance, she returned to the OGC as Assistant and then Associate General Counsel, later moving to the Division of Market Regulation to head the Office of Self-Regulatory Oversight. Kathie left the SEC in 1979 to join Ray Garrett in private practice. Chairman John

Shad brought her back to the SEC in 1983 as Director of the Division of Investment Management, a job she held for the next seven years.

Kathie's tenure as Director of Investment Management coincided with a period of unprecedented growth in the investment management sector. Mutual funds took off in popularity among average Americans looking to save and invest for college, retirement and other life goals. Fund assets under management grew from \$778 billion in 1983 to \$6.2 trillion in 1990, while the number of SEC-registered funds increased by 75% and registered investment advisers grew in number by more than 150%.

Under Kathie's leadership, the Division completed an extraordinary overhaul of its regulatory program, making funds and advisory services easier for average investors to understand and compare, and updating and streamlining reporting and recordkeeping requirements for funds and advisers. Today, Kathie is Senior Vice President and General Counsel of the ICMA Retirement Corporation, a non-profit dedicated to supporting state and local governments in managing their retirement accounts.

Looking back on her career at the SEC, Kathie says: "What a terrific place to work and, best of all, it still is! I was lucky to have a whole series of incredibly talented and dedicated bosses, starting with Jake Stillman, Paul Gonson and Dave Ferber, and then Phil Loomis, Ray Garrett, Rod Hills, Dick Rowe, Harvey Pitt, Andy Klein, John Shad, David Ruder and Richard Breeden, to name a few. Even more amazing was the huge number of extremely smart, hard-working and thoroughly decent staffers, across the SEC, that I was privileged to work with and learn from every single day I was there. It was extraordinary to find so much talent in one government agency, and a small agency at that." A generation of SEC staff who were privileged to work for and with Kathie would echo this view. She is an incredibly talented and dedicated boss.

Program

Opening Remarks and Welcome	Thomas Riesenber
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Presentation of ASECA Awards	Thomas Riesenber
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- Accounting Scholarships in honor of Ernest Ten Eyck
- Law School Scholarships
- Writing Competition
- SEC Staff Scholarships
- Award and thanks to past ASECA President, Jack Katz

Introduction of Kathryn B. McGrath	Marianne Smythe
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Remarks	Kathryn McGrath
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Presentation of the William O. Douglas Award to Kathryn B. McGrath	Thomas Riesenber
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Closing Remarks	Thomas Riesenber
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Roasted Chicken Breast and Beef Tenderloin
Truffled Mashed Potatoes
Yellow and Green Beans
Syrah Wine Sauce



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Caramelized Bananas in Rum, Orange Custard
with Cinnamon Pecan Stick

Freshly Brewed Regular and Decaffeinated Coffees
Assorted Harney and Sons Teas

WINES

Chardonnay, Silverado Carneros; Napa Valley, California
Pinot Noir, Domaine Faiveley Bourgogne Rouge; Burgundy, France

ASECA Congratulates the winners of the annual ASECA Awards

Brooklyn Law School Scholarships:

- Allison Gallagher, Brooklyn, NY, Spring Honors Program (2014), SEC Division of Enforcement, New York Regional Office
- Simone Greenspan, Brooklyn, NY, Summer Honors Program (2014), Office of Compliance and Inspections, New York Regional Office

Georgetown University Law Center Scholarship:

- Timothy Levenberg, Division of Corporation Finance, Washington, DC

Howard University School of Law

- Bria Michelle Adams
- Brandon Jesse Smith

Northwestern University School of Law Scholarship

- Benjamin R. Wallner

Southern Methodist University Dedman School of Law Scholarship

- Alexander Poor
- Seth Rasmussen

Stanford Law School Scholarship

- Brittany Jones

The George Washington University Accounting Scholarship in honor of Ernest Ten Eyck

- Andrew Sabintsev

Writing Competition.

- First Place: Fischer, Derek, *"Dodd-Frank's Failure to Address CFTC Oversight of Self-Regulatory Organization Rulemaking,"* 115 Colum. L. Rev. 69 (2015)
- Second Place: Napier, Christopher, *"Resurrecting Rule 14A-11: A Renewed Call For Federal Proxy Access Reform, Justifications and Suggested Revisions"* (Rutgers University, School of Law)
- Third Place: Breydo, Lev, *"Structural Foundations of Financial Stability: What Canada Can Teach America about Building a Better Regulatory System,"* 17 U. Pa. J. Bus. L. (forthcoming)

SEC Staff Scholarships:

- Jerri A. Abbott
Legal Assistant
Chicago Regional Office
- Tracey L. Allen
Legal Technician
Chicago Regional Office
- Romona Covington
Disclosure Assistant
Division of Corporation Finance
- Rene C. Gwinn
Program Support Assistant
Division of Investment Management
- Sheila McCoy
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2010	William R. McLucas
2011	Harvey L. Pitt
2012	Daniel L. Goelzer
2013	Elisse B. Walter
2014	Jacob H. Stillman

SEC Staff and Alumni Deaths in 2014

Archer, Frank C.	Kehoe, Thomas P.
Bayless, W. Scott	Kinsey, Sandra F.
Beebower, Gilbert	Kuwayama, Kelly
Berry, Jonah	Loeb, Rodney W.
Bobroff, Geoffrey	Martin, Peter
Bullard, James C.	Mason, Julie
Chatman, Greg	McCulloch, June M. W.
Clarkson, James A.	Milk, Benjamin L.
Connor, Richard E.	Myers, Dennis W.
Cook, Bradford	Nurick, Lester
Dear, Joseph A.	Reed, David N.
Doerrler, Charles J.	Rickerhauser, Charles E.
Fell-Drakeford, Sheena	Robinson, Donald J.
Finkelstein, Burton H.	Robinson, Lolita
Gafford, George Nelson	Schiro, James J.
Greenspoon, Benjamin	Schwartz, Thomas
Harding, Hilda Bruch	Siesto-Morrison, Barbara
Harmon, Betsy B.	Snead, Tillman
Healy, Marie	Stanfield, Brenda
Hills, Roderick M.	Stanger, Craig C.
Horn, Mary J.	Stein-Sapir, Leonard R.
Kartholy, Praveen	Youngs, John

We note with sadness recent passing of the Honorable Harvey Goldschmid and current SEC employee, Rick Carter.

*We apologize for any omissions. Please inform ASECA if you 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 Lifetime Members*

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Jane Cobb
Marti Cochran
Robert Cook
Meredith B. Cross
Robert Curley
James Doty
Kimberley Drexler
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*as of Jan. 26, 2015

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Thank you for your service,
Kathie McGrath

Best wishes,
Greg Bruch, Sandra Hanna,
Khiran Sidhu, Rory Flynn,
Elizabeth Gibbons and Nicole Saleem

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Throughout her nearly 20 years at the SEC, Kathryn B. McGrath was a tireless advocate for investors and a beloved leader and mentor.

We applaud Kathryn as this year's honoree and commend her contributions to securities regulation and investor protection.



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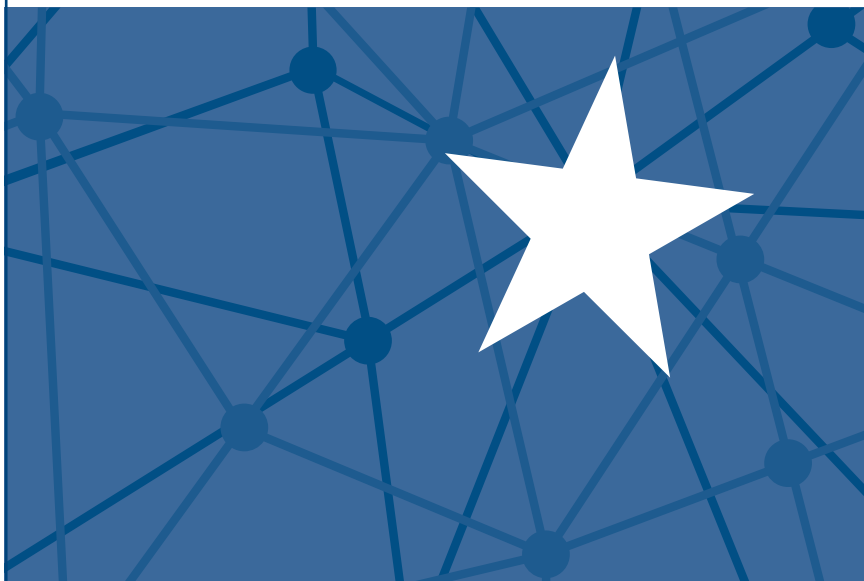
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Knowing Kathie well is truly a privilege. She is a
consummate lawyer and administrator, and an
exceptional friend.

Kathie is a worthy recipient of the
William O. Douglas Award and we are pleased to
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*** In Memory of our partner, Jerry Isenberg, who passed away on April 24, 2013**



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