ASECA
Association of Securities and Exchange Commission Alumni, Inc.

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
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

Presentation of ASECA Awards
- 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

Remarks

Presentation of the William O. Douglas Award to Kathryn B. McGrath

Closing Remarks
ASECA Board of Directors

Thomas L. Riesenber, President
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Jonathan G. Katz, Immediate Past President

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Wayne Carlin
Wayne Carnall
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Simon Lorne
Juan M. Marcelino
Andre Owens
Marvin Pickholz
Paul Roye
Erik Sirri
Honorable Stanley Sporkin
Elisse B. Walter

Mitzi Moore, Executive Director
DINNER MENU

Warm Goat Cheese Tart
with Asparagus and Seedling Salad
Xeres Vinaigrette

Freshly Baked Bread and Butter

Roasted Chicken Breast and Beef Tenderloin
Truffled Mashed Potatoes
Yellow and Green Beans
Syrah Wine Sauce

Bananas Foster Crème Brûlée
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)
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
  Program Support Assistant
  Office of Compliance Inspections and Examinations
SAVE THE DATE!

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

WILL BE HELD ON
FRIDAY, FEBRUARY 19, 2016

IN THE
RONALD REAGAN BUILDING
AND
INTERNATIONAL TRADE CENTER
<table>
<thead>
<tr>
<th>Year</th>
<th>Name</th>
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<tbody>
<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>
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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>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>2012</td>
<td>Daniel L. Goelzer</td>
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<td>2013</td>
<td>Elisse B. Walter</td>
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<td>2014</td>
<td>Jacob H. Stillman</td>
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## SEC Staff and Alumni Deaths in 2014

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

Brandon Becker
Jane Cobb
Marti Cochran
Robert Cook
Meredith B. Cross
Robert Curley
James Doty
Kimberley Drexler
Cindy Fornelli
Felice B. Friedman
Daniel Goelzer
Amy L. Goodman
Paul Haaga, Jr.
Douglas W. Hyman
Richard Ketchum
Robert Knuts
Simon Lorne
Thomas J. McGonigle
Christopher Michailoff
John F. Olson
Joseph Paolo
Mark M. Pesta
Thomas L. Riesenber
Richard Roberts
Erik Sirri
Linda Chatman Thomsen
Elisse B. Walter
John W. White

*as of Jan. 26, 2015
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<th>Latham &amp; Watkins LLP</th>
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<td>AlixPartners</td>
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<td>Bruch Hanna LLP</td>
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<td>Norton Rose Fulbright</td>
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<td>Cleary Gottlieb</td>
<td>Paul Weiss</td>
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<td>Cravath, Swaine &amp; Moore LLP</td>
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<td>Sutherland Asbill &amp; Brennan LLP</td>
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<td>Investment Company Institute</td>
<td>TIAA-CREF</td>
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<td>ICMA-RC</td>
<td>Vedder Price</td>
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<td>Jones Day</td>
<td>Wachtell, Lipton, Rosen &amp; Katz</td>
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Kathryn B. McGrath.

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Arnold & Porter LLP Congratulates

KATHIE McGRATH

2015 William O. Douglas Award Winner for her outstanding service to the SEC, her commitment to investors, and her dedication to the public interest throughout her career.
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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We congratulate Kathryn B. McGrath, recipient of the 2015 William O. Douglas Award.
Congratulations

We are pleased to support ASECA and congratulate tonight’s honoree, Kathryn B. McGrath.

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And we join in honoring Kathryn B. McGrath

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DISTINGUISHED RECIPIENT OF THE 2015 WILLIAM O. DOUGLAS AWARD

For more information, please contact:

MARVIN G. PICKHOLZ
Partner, Duane Morris LLP and Founder, ASECA
P: 212.692.1050
mgpickholz@duanemorris.com

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Congratulations!

EY is proud to congratulate Kathryn B. McGrath on her receipt of the 2015 William O. Douglas Award.

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

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FINRA Congratulates

Kathryn Bradley McGrath

2015 William O. Douglas Award Recipient

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.
Foley & Lardner LLP congratulates Kathryn B. McGrath on receiving the 2015 William O. Douglas Award

Congratulations and best wishes from Foley’s Securities Enforcement & Litigation and Transactional & Securities Practices, whose members include the following SEC alumni:

Christopher M. Cutler
Patrick Daugherty
Barry J. Mandel
George T. Simon
Samuel J. Winer

For more information about Foley, please contact Samuel (Sandy) Winer in our Washington, D.C. office at swiner@foley.com or 202.672.5300, or Chris Cutler in our Washington D.C. office at ccutler@foley.com or 202.295.4056, or Barry Mandel in our New York office at bmandel@foley.com or 212.682.7474.

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and joins in honoring our friend and colleague

Kathryn B. McGrath

recipient of the 2015 William O. Douglas Award

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Senior Vice President and General Counsel

Kathryn B. McGrath

On receiving the distinguished

2015 ASECA William O. Douglas Award
JONES DAY

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KATHIE McGRATH

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WITH THIS YEAR’S

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We are pleased to add our voice to those of ASECA, her many admirers, and SEC Alums, in congratulating

KATHIE McGrath

this year’s William O. Douglas Award honoree.

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 see her recognized and honored for her years of wonderful service.

Kalorama Partners, LLC
Kalorama Legal Services, PLLC
Washington, D.C.
We are very proud to join the Association of Securities and Exchange Commission Alumni in honoring our friend

Kathryn B. McGrath

recipient of ASECA's 2015 William O. Douglas Award

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Congratulations
to
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Recipient of the 2015
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* In association with the Law Office of Salman M. Al-Sudairi.
We congratulate our former colleague, Kathryn McGrath, on this well-deserved recognition and for her years of distinguished service to the investment community.

Mayer Brown is a proud sponsor of ASECA and the William O. Douglas Awards Dinner.
Our best wishes for continued success.

McDermott Will & Emery is proud to participate in the 23rd Annual ASECA Dinner. We congratulate Kathryn B. McGrath, recipient of the William O. Douglas Award, for her outstanding service to the U.S. Securities and Exchange Commission, the U.S. capital markets and the investing public.

Rick Firestone  Steve Scholes  Eugene Goldman
John Kocoras  Michael Ungar  James Commons
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Kathryn B. McGrath

As deserving a recipient as the Douglas award has ever had.

Thanks for all you’ve done for investors.

Sy Lorne
and Millennium Management

millennium
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We are pleased to join ASECA in honoring Kathryn B. McGrath as the recipient of the 23rd Annual William O. Douglas Award
Murphy & McGonigle, P.C.
Congratulates
Kathryn B. McGrath
Recipient of The William O. Douglas Award

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Lindi Beaudreault  Joseph Goldstein
Larry Bergmann  Jerry Isenberg*
Daniel Brown  Joseph Lombard
Matthew Comstock  Thomas McGonigle
William Donnelly  Timothy Peterson

For More Information Call: Thomas J. McGonigle at (202) 661-7010

* In Memory of our partner, Jerry Isenberg, who passed away on April 24, 2013
Norton Rose Fulbright warmly congratulates Kathryn B. McGrath, this year’s recipient of the William O. Douglas Award, in recognition of her distinguished career and contributions to the securities industry.

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23rd Annual Dinner

and congratulate honoree

Kathryn B. McGrath

February 20, 2015

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*Congratulations to Kathryn B. McGrath, Recipient of the 2015 William O. Douglas Award*

**PERKINS COIE** SEC alumni include Partners Garland “Sonny” Allison, Jose Lopez, Martin Lybecker, Douglas MacBain, Luis Mejia, Keith Miller, Aaron Poledna, Pravin Rao and Daniel Zazove and Counsel Ned Prusse. We welcome our newest alumnus, Partner Sean Prosser, to Perkins Coie’s San Diego office.

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on receiving the
2015 William O. Douglas Award

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We are proud to support its efforts and congratulate this year’s William O. Douglas Award honoree, Kathryn B. McGrath.

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Ropes & Gray is proud to support ASECA and congratulates Kathryn B. McGrath on being honored with this year’s William O. Douglas Award.

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Schiff Hardin, with its many SEC alumni, is pleased to support ASECA.

We congratulate the 2015 William O. Douglas Award recipient Kathie McGrath.
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Kathie McGrath

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and congratulates

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