ASECA
Association of Securities and Exchange Commission Alumni, Inc.

Presents

The Twenty-Fourth Annual ASECA Dinner
and William O. Douglas Award Presentation

Friday, February 19, 2016

The Ronald Reagan Building
and International Trade Center
January 26, 2016

Dear Richard,

I am writing to convey my personal congratulations as you are appropriately honored with the "William O. Douglas Award" from the Association of SEC Alumni. I was proud to appoint you as SEC Chairman in 1989, and I was proud of your strong and principled leadership.

Like Justice Douglas, you spent years working in the White House before assuming your responsibilities at the SEC. In your case, it was working with me to reduce overly broad regulations. That might not sound glamorous, but it was critical to reviving the U.S. economy and helped lead to new opportunities for millions. At the same time, we shored up the financial system when the savings and loan system threatened the deposits of over 100 million Americans. I knew from that experience that you could stand up to enormous pressure, and that you could tackle any issue with excellent judgment and a willingness to listen to every side of an issue before making a decision.

At the SEC, you helped revitalize its traditional role combatting fraud and other abuses. At the same time, you lifted many restrictions that weren't necessary and often used transparency and investor choice instead of rules. More competition and innovation were the result, and both individual investors and businesses continue to benefit from many initiatives you launched. You were never afraid to find new ways of doing things, but you didn't lose sight of the benefits free markets deliver to everyone, or the importance of keeping those markets honest.

As the years have passed, many issues have faded and new ones have arisen. However, some things are constant, like love of family and country (and, for me, the joy of jumping from airplanes!). What never fades in government is the importance of principled leadership, and enduring values such as truth and integrity. You kept the SEC above partisan rancor, stayed faithful to your values and never strayed from impartiality. My congratulations to you, Linda and all the boys on a mission well done.

Congratulations again, and keep up the great work.

Sincerely,
Richard Breeden served as the 24th Chairman of the U.S. Securities and Exchange Commission from 1989 to 1993. The Breeden Commission made long-lasting improvements in SEC rules involving corporate finance (Rule 144A, among others) and cross border M&A transactions; market and issuer transparency; proxy rules and corporate governance; mutual funds and investment advisor oversight; international enforcement cooperation; accounting and disclosure standards; electronic trading and faster clearance and settlement and many other areas.

Chairman Breeden created the Commission’s international affairs office, strengthened enforcement resources and sought much tougher sanctions. He proposed and won passage of legislation giving the Commission the authority to impose fines, cease and desist orders and officer and director bars.

Prior to his SEC appointment, Mr. Breeden held a series of government positions under Presidents Reagan, Bush (41) and Clinton. Upon President Bush’s inauguration in 1989, Mr. Breeden served as Assistant to the President for Issues Analysis, functioning as one of the President’s most senior domestic policy and economic advisors. During this time Mr. Breeden was the principal architect of the President’s successful legislation to restructure the U.S. savings and loan industry. This program created the Resolution Trust Corporation and paved the way for restructuring hundreds of billions in assets held by insolvent banks and thrifts.

In recent years, Mr. Breeden has served as a corporate monitor in several high profile cases involving corporate wrongdoing of different types. He formed Breeden Capital Management to advise a series of investment partnerships and select personal investments. He has been a director of more than a dozen companies in the U.S. and Europe. He is a member of the Standing Advisory Group of the Public Company Accounting Oversight Board (PCAOB), and is a regular guest lecturer at the Columbia Business School.

Mr. Breeden is a graduate of Stanford University and Harvard Law School. He and his wife Linda live in Greenwich, Connecticut.
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Elisse B. Walter

Mitzi Moore, Executive Director
# Program

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<td>Brian V. Breheny</td>
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<td>• Law School Scholarships</td>
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<td>• Writing Competition</td>
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<td>• SEC Staff Scholarships</td>
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<td>SEC Alumni &amp; Staff Remembered</td>
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<td>Introduction of Richard C. Breeden</td>
<td>The Honorable Jed Rakoff</td>
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<td>Remarks</td>
<td>Richard C. Breeden</td>
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<td>Presentation of the William O. Douglas Award to Richard C. Breeden</td>
<td>Thomas L. Riesenberg</td>
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<tr>
<td>Closing Remarks</td>
<td>Thomas L. Riesenberg</td>
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DINNER MENU

Goat Cheese Two Ways
  Goat Cheese Cake with Red Beet Sauce
  Organic Seedling Salad with Crumbled Goat Cheese and Dates
  Pomegranate Dressing

Freshly Baked Bread and Butter

Breast of Pheasant
  Creamy Gorgonzola Polenta and Brussel Sprouts
  Natural Au Jus

Caramel Tiramisu
  Caramel Chocolate and Mascarpone Mousse
  Almond Joconde and Candied Citrus Peel
  Almond Milk Sauce

Freshly Brewed Regular and Decaffeinated Coffees
  Assorted Harney and Sons Teas

WINES

Falanghina, Feudi di San Gregorio; Campagna, Italy
Sangiovese, Col d’Orcia Rosso di Montalcino; Tuscany, Italy
ASECA Congratulates the winners of the annual ASECA Awards

Brooklyn Law School Scholarships
• Nicholas Crudele, Summer Honors Program (2015), New York Regional Office
• Michael K. Piacentini, Fall Internship (2015), Office of Enforcement, New York Regional Office

Georgetown University Law Center Scholarship
• Timothy Levenberg, Division of Corporation Finance, Washington, DC

Howard University School of Law
• Devon Barnett
• Sasha DeCruise

Northwestern University School of Law Scholarship
• Angelo Miguel Aratan, Honors Law Program (current), Division of Trading and Markets, Washington, DC

Southern Methodist University Dedman School of Law Scholarship
• Jessica Ashley Riley
• Michael Andrews

Stanford Law School Scholarship
• Andrew Baker

Writing Competition
SEC Staff Scholarships

• LaTanya House-Simpson
  Program Support Assistant
  Division of Investment Management

• Chantelle E. Johnson
  Program Specialist – Broker-Dealer Inspection Program
  New York Regional Office

• Wakeya Thompson-Belt
  Program Specialist – Securities Regulations Program
  Division of Trading and Markets
SAVE THE DATE!

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

WILL BE HELD ON
FRIDAY, FEBRUARY 17, 2017

IN THE
RONALD REAGAN BUILDING
AND
INTERNATIONAL TRADE CENTER
<table>
<thead>
<tr>
<th>Year</th>
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<tr>
<td>1992</td>
<td>Irving M. Pollack</td>
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<tr>
<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>
<td>Arthur Levitt</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>2007</td>
<td>David S. Ruder</td>
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<td>2008</td>
<td>Mary L. Schapiro</td>
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<td>2009</td>
<td>Richard G. Ketchum</td>
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<td>2010</td>
<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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<td>2015</td>
<td>Kathryn B. McGrath</td>
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<td>Name</td>
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<tr>
<td>Brown, Alling</td>
<td>Mitchell. Michael R.</td>
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<td>Chamberlin, Mary Ellen</td>
<td>Morrison, Frank M.</td>
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<td>Cichinski, Stanley</td>
<td>Olvera, Claude C.</td>
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<td>Firth, Laurence</td>
<td>Paradise, Stephen J.</td>
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<td>Giebel, Richard A.</td>
<td>Phelps, Frances</td>
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<td>Goldschmid, Harvey</td>
<td>Rae, Thomas Welsh</td>
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<td>Hartz, John Mitchell</td>
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<td>Hegan, William H.</td>
<td>Rosse, Edward T.</td>
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<td>Heun, Howard Thurston</td>
<td>Sacher, Barton Stuart</td>
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<td>Hill, Alfred</td>
<td>Seawell, Donald R</td>
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<td>Johanson, Elinor Brooker</td>
<td>Shapiro, Lester J.</td>
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<td>LaPrade, Robert M. “Bob”</td>
<td>Shomette, Louis E. Jr.</td>
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<td>Lewand, Kevin O’Reilly</td>
<td>Small, Diane G.</td>
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<td>Madeoy, Albert</td>
<td>Stautberg, Aubrey T. “Ted”</td>
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<td>Maihle, Todd</td>
<td>Tygrett, Howard</td>
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<td>Manger, William</td>
<td>Wander, Francis Herman</td>
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<td>Messina, Charles H. “Skip”</td>
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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.
<table>
<thead>
<tr>
<th>Brandon Becker</th>
<th>Robert Knuts</th>
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<tbody>
<tr>
<td>Edmund Bergan, Jr.</td>
<td>Simon Lorne</td>
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<tr>
<td>Richard C. Breeden</td>
<td>Martin Lybecker</td>
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<td>Bradley Bondi</td>
<td>Helen Mangano</td>
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<tr>
<td>Jane Cobb</td>
<td>Stewart Mayhew</td>
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<td>Marti Cochran</td>
<td>Kathryn Bradley McGrath</td>
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<td>Robert Cook</td>
<td>Christopher Michailoff</td>
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<td>Meredith B. Cross</td>
<td>John F. Olson</td>
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<td>James Doty</td>
<td>Mark M. Pesta</td>
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<td>Harvey Pitt</td>
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<tr>
<td>Cindy Fornelli</td>
<td>Mary Revell</td>
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<td>Felice B. Friedman</td>
<td>Lori Richards</td>
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<td>Edward F. Greene</td>
<td>Thomas L. Riesenberg</td>
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<td>Daniel Goelzer</td>
<td>Richard Roberts</td>
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<tr>
<td>Amy L. Goodman</td>
<td>Erik Sirri</td>
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<td>Paul Haaga, Jr.</td>
<td>Linda Chatman Thomsen</td>
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<td>Douglas W. Hyman</td>
<td>Elisse B. Walter</td>
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<tr>
<td>Richard Ketchum</td>
<td>John W. White</td>
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Richard C. Breeden.

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and congratulates this year’s
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Richard C. Breeden
Arnold & Porter LLP is proud to support

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Congratulations to

Richard C. Breeden

2016 William O. Douglas Award Winner

We honor the strong leadership you brought to the SEC during your service and your strong commitment to investor protection.
Thank you for your service,
Richard C. Breeden

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

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and congratulates

Richard C. Breeden

Award Recipient of the William O. Douglas Award

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**Richard C. Breeden**
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We are pleased to support ASECA and congratulate tonight’s honoree, Richard C. Breeden.
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And we join in honoring Richard C. Breeden

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Dechert congratulates

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Congratulations to
Richard C. Breeden

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William O. Douglas Award

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WE JOIN IN HONORING RICHARD C. BREEDEN
DISTINGUISHED RECIPIENT OF THE 2016 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
Congratulations!

EY is proud to congratulate Richard C. Breeden on his receipt of the 2016 William O. Douglas Award.

Thanks, Richard, for your tireless advocacy of investor protection and commitment to the vigor of the SEC.

Visit ey.com
FINRA Congratulates

Richard C. Breeden
2016 William O. Douglas Award Recipient

During his distinguished career, former SEC chairman Richard C. Breeden dedicated his efforts to investor protection—strengthening regulation of the securities industry, and working diligently to maintain not only the integrity of U.S. markets, but that of emerging markets, as well.

We applaud Mr. Breeden’s accomplishments, and congratulate him as this year’s William O. Douglas Award honoree.
Foley & Lardner LLP congratulates Richard C. Breeden on receiving the 2016 William O. Douglas Award.

Congratulations and best wishes from Foley’s Securities Enforcement & Litigation Practice, whose members include:

Beth I.Z. Boland
Brooke D. Clarkson
Melissa B. Coffey
Christopher M. Cutler
Joseph D. Edmondson
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Adrian L. Jensen
Barry J. Mandel
Mark S. Mandel
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 Tampa office at ccutler@foley.com or 813.225.4109.

Foley.com
FTI Consulting is honored to sponsor the Twenty-fourth Annual ASECA Dinner and is proud to congratulate Richard C. Breeden, 2016 William O. Douglas Award recipient.
Gibson, Dunn & Crutcher LLP congratulates Richard C. Breeden recipient of the 2016 William O. Douglas Award
WITH ADMIRATION AND GRATITUDE WE CONGRATULATE RICHARD BREEDEN

The 2016 William O. Douglas Award honoree, Chairman Breeden, embodies the multitude of ways to contribute to, and serve, the financial and SEC community—with utmost distinction. We thank him for his selfless and esteemed public and private service.

We are delighted to honor Chairman Breeden for his lifetime of invaluable contributions.

The Goody Group LLC & Goody Counsel PLLC
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Congratulations to the Honorable Richard C. Breeden 2016 Recipient of the William O. Douglas Award
THE INVESTMENT COMPANY INSTITUTE
CONGRATULATES

Richard C. Breeden

RECIPIENT OF THE
2016 WILLIAM O. DOUGLAS AWARD,
AND SALUTES HIS DISTINGUISHED SEC SERVICE
CONGRATULATIONS

We are very proud to join the Association of Securities and Exchange Commission Alumni in saluting the

Hon. Richard C. Breeden

recipient of ASECA’s 2016 William O. Douglas Award

K&L Gates LLP. Global legal counsel across five continents. Learn more at klgates.com.
We are pleased to add our voice to those of ASECA, the multitude of his admirers, current SEC Staffers, and SEC Alums, in congratulating former SEC Chairman, RICHARD C. BREEDEN this year’s William O. Douglas Award honoree.

Richard has made remarkable contributions to the development of the federal securities laws throughout his professional life. Those privileged to work for, and with, Richard, know him as the embodiment of the highest and unequaled integrity, incredible intellect, and a creative thinker of enormous capacity.

Richard truly embodies the ideals on which the William O. Douglas Award is predicated, both before becoming SEC Chairman, and ever since, and he has set a standard of excellence worthy of our collective recognition.

Kalorama Partners, LLC
Kalorama Legal Services, PLLC
Washington, D.C.
King & Spalding proudly supports ASECA and joins in honoring the 2016 William O. Douglas Award recipient, the Hon. Richard C. Breeden.

We applaud your contributions to the development of the federal securities laws and dedication to the financial and SEC community.
Kreab

Proudly Supports the

Association of Securities and Exchange Commission Alumni

and Congratulates

Richard Breeden

Recipient of the 2016

William O. Douglas Award

Tapio Christiansen
Ari Burstein
Natalia Brzezinski
Robert Gelbard
Edmund Rhoads

KREAB/Washington DC

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Congratulations

to

Richard C. Breeden

Recipient of the 2016
William O. Douglas Award

* In association with the Law Office of Salman M. Al-Sudairi
Our best wishes for continued success.

McDermott Will & Emery is proud to participate in the 24th Annual ASECA Dinner. We congratulate Richard C. Breeden, recipient of the William O. Douglas Award, for his outstanding service to the SEC, the U.S. capital markets and the investing public.

Rick Firestone
John Kocoras
Steve Scholes

Michael Ungar
Andrew Tomback
Eugene Goldman

James Commons
Todd Harrison

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McDermott Will & Emery conducts its practice through separate legal entities in each of the countries where it has offices. This communication may be considered attorney advertising. Previous results are not a guarantee of future outcome.
Our Congratulations to you, Richard, the 24th Chair of the SEC and, fittingly, the 24th recipient of the William O. Douglas award.

Well deserved.

Ludmila & Sy Lorne
and
Millennium Management LLC
WE ARE PLEASED TO JOIN ASECA IN HONORING RICHARD C. BREEDEN AS THE RECIPIENT OF THE ANNUAL WILLIAM O. DOUGLAS AWARD

MORGAN LEWIS SEC ALUMNI

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

* In Memory of our partner, Jerry Isenberg, who passed away in 2013
Norton Rose Fulbright warmly congratulates Richard C. Breeden

As this year’s recipient of the William O. Douglas Award, we applaud Richard’s distinguished career and recognize his contributions to the securities industry.

Law around the world
nortonrosefulbright.com
congratulates

Hon. Richard C. Breeden
William O. Douglas Award Recipient

on an extraordinary career.

You have made our markets stronger, safer, and more transparent, while rendering fraudsters naked, homeless, and without wheels.
O'Rourke & Nappi, L.L.P. is proud to Congratulate Richard Breeden on his receipt of the 2016 William O. Douglas Award.
Orrick is proud to support

ASECA

and congratulates
2016 William O. Douglas Award Recipient

Richard C. Breeden

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We are proud to support

ASECA
Twenty-Fourth Annual Dinner

and congratulate honoree
Richard C. Breeden

February 19, 2016
Perkins Coie Is Proud to Support the 24th Annual ASECA Dinner

Congratulations to Richard C. Breeden, Recipient of the 2016 William O. Douglas Award

PERKINS COIE SEC alumni are Partners Jose Lopez, Martin Lybecker, Douglas MacBain, Luis Mejia, Keith Miller, Sean Prosser, Pravin Rao and Daniel Zazove.

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The Honorable
Richard C. Breeden

on receiving the 2016
William O. Douglas Award

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For over 24 years, the ASECA has been providing opportunities for camaraderie among SEC alumni, education and growth of industry professionals, promoting study and research in the field of securities law, and educating members.

We are proud to support its efforts and congratulate this year’s William O. Douglas Award honoree, Richard C. Breeden.

www.pwc.com
Congratulations Richard!

Helping Investors Recover From Unlawful Conduct

We are all proud to be a part of your team that has helped over 1.5 million investors
Thank You ASECA for Naming Richard C. Breeden Recipient of the 2016 William O. Douglas Award

For his lifetime of service in the name of honesty and integrity

We Love Him!
Linda, Whit, Todd, Richard Jr. & Teddy
2016 William O. Douglas Award Winner

Richard C. Breeden

From Wall Street to the Forbidden City, you led the internationalization of U.S. securities markets and fostered the creation of new and fair markets for investors throughout the world.
Ropes & Gray
is proud to support
ASECA
and congratulates
RICHARD C. BREEDEN
on being honored
with this year’s
William O. Douglas Award
Schiff Hardin, with its many SEC alumni, is pleased to support ASECA.

We congratulate the 2016 William O. Douglas Award recipient Richard C. Breeden.
Sidley is Proud to Sponsor

ASECA’s 24th Annual Dinner

And Congratulates
William O. Douglas Award Recipient

Richard C. Breeden

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2016 William O. Douglas Award Recipient
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Richard C. Breeden

Stradley Ronon offers a sophisticated securities practice that is international in scope. Our multidisciplinary, integrated group encompasses many areas, including investment management, securities enforcement, securities litigation and corporate finance.
We congratulate Richard C. Breeden on receiving the William O. Douglas Award.
Vedder Price is a proud supporter of the Association of SEC Alumni and congratulates the William O. Douglas Award Recipient Richard C. Breeden.
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Congratulations to our valued friend and colleague, and tonight’s distinguished recipient of the William O. Douglas Award

RICHARD C. BREEDEN

THE 24TH ANNUAL ASECA DINNER

February 19, 2016
Making a difference

Congratulations to Richard C. Breeden, recipient of the 2016 William O. Douglas Award. We join ASECA in honoring Richard for his distinguished service to the Securities and Exchange Commission.

We applaud ASECA for its efforts to promote study and research in the field of securities law.
Winston & Strawn is proud to support

Association of Securities and Exchange Commission Alumni and its Twenty-fourth Annual ASECA Dinner

We would like to congratulate the 2016 honoree, **Hon. Richard C. Breeden**, on his accomplished career and profound impact on the Securities and Exchange Commission.
ASECA was founded in 1990 by U.S. Securities and Exchange Commission (“SEC”) alumni. ASECA was initially formed to continue the camaraderie that existed among ASECA members when they worked together at the SEC. Today its membership is nationwide and international. ASECA is a non-profit charitable organization whose stated mission is to provide the opportunity for education and growth of industry professionals; to promote study and research in the field of securities law; and to educate members on securities law by means of lectures, seminars and publications.