Presents

The

Twenty-Fifth

Annual ASECA Dinner

AND WILLIAM O. DOUGLAS AWARD PRESENTATION

Friday, February 24, 2017

The Ronald Reagan Building
AND INTERNATIONAL TRADE CENTER
Roberta S. Karmel

Roberta Karmel is the 2017 Recipient of the William O. Douglas Award. Professor Karmel is an expert in international and domestic securities regulation and is called upon to teach and lecture all over the world. She was on the staff of the Securities and Exchange Commission from 1962 – 1969, rising from Attorney, to Branch Chief and Assistant Regional Administrator in the New York Office. Later, from 1977 to 1980, Professor Karmel served as the first female SEC Commissioner.

Professor Karmel, who is currently on the faculty of Brooklyn Law School, was a Public Director of the New York Stock Exchange and in private practice for 30 years. She was also a Fulbright Scholar studying the harmonization of the securities laws in the European Union.

Professor Karmel is the author of *Life at the Center: Reflections on Fifty Years of Securities Regulation* (2014) and *Regulation by Prosecution: The Securities and Exchange Commission Versus Corporate America* (1984). She has published widely on securities regulation and international securities law in dozens of law reviews and journals. She also authors a bi-monthly column, “Securities Regulation,” that appears in the New York Law Journal.

Professor Karmel has numerous affiliations. She is the Chair Emerita of the Board of Trustees of the Practising Law Institute, an Advisor to the Business Law Section of the American Bar Association, a member of the American Law Institute and a Fellow of the American Bar Foundation. She previously served as a director of the New York Chapter of the National Association of Corporate Directors and was the Vice-Chair of the International Coordinating Committee of the American Bar Association Business Law Section. A member of the faculty since 1985, Professor Karmel has played an instrumental role in leading the activities of the Dennis J. Block Center for the Study of International Business Law as the Center’s co-director, and with developing the Center for the Study of Business Law & Regulation. In 2009, she was the Harry Cross Visiting Professor at the University of Washington School of Law.

Other recent honors include Phi Beta Kappa Alpha Iota of Massachusetts at Harvard College (Hon.), the Sandra Day O’Connor Board Excellence Award of DirectWomen and the American Bar Association Women Lawyers of Achievement Award.

Professor Karmel attended Radcliffe College (B.A. Cum Laude) and the New York University School of Law (LL.B. Cum Laude). While at NYU, Professor Karmel was selected for the Order of the Coif; the Founders Day Award; Law Review (Associate Editor); and Florence Allen Scholar.
Program

Opening Remarks and Welcome  Brian V. Breheny

Presentation of ASECA Awards  Julie Bell Lindsay
  • Law School Scholarships
  • Writing Competition
  • SEC Staff Scholarships
  • ASECA Past President, Thomas Riesenber

SEC Alumni & Staff Remembered  Brian V. Breheny

Introduction of Roberta S. Karmel  Elisse Walter

Remarks  Roberta S. Karmel

Presentation of the William O. Douglas Award to Roberta S. Karmel  Brian V. Breheny

Closing Remarks  Brian V. Breheny
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Heather Traeger
Elisse Walter

Mitzi Moore, Executive Director
DINNER MENU

Goat Cheese Two Ways
With Beet Sauce and Seedling Salad
Pomegranate Dressing

Freshly Baked Bread and Butter

Coriander Dusted Beef Tenderloin with Chipotle Marinated Shrimp
Avocado Mash with Chayote Squash and Bell Pepper Fricassee
Mole Sauce

Strawberry Rhubarb Tart
Almond Pound Cake, Oat Crumble
Toasted Meringue
Strawberry Sauce

Freshly Brewed Regular and Decaffeinated Coffees
Assorted Harney and Sons Teas

WINES

Pinot Gris, King Estate; Willamette Valley, Oregon
Bordeaux, Chateau Fayan Puisseguin; Saint Emilion, France
ASECA Congratulates
the winners of the annual ASECA Awards

Brooklyn Law School Scholarships
• Drita Dokic
• David Weisener

Georgetown University School of Law
• Eric Shu
• Justin Smith

Howard University School of Law
• Nnaemeka Anyanwu
• Ramat Adeyemo

Northwestern University School of Law Scholarship
• Brendan D. Duffy

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

2017 Securities Law Writing Competition Winners


SEC Staff Scholarships

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

- Jennifer L. Patterson
  Program Support Assistant
  Fort Worth District Office

- Judith Rogers
  Management and Program Analyst
  Office of Financial Management

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

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

WILL BE HELD ON
FRIDAY, FEBRUARY 23, 2018

IN THE
RONALD REAGAN BUILDING
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ASECA Salutes Past Winners of the William O. Douglas Award

1992  Irving M. Pollack
1994  Stanley Sporkin
1995  Kevin T. Duffy
1996  A.A. Sommer, Jr.
1997  Arthur F. Mathews
1998  Frank M. Wheat
1999  Stephen L. Hammerman
2000  Arthur Levitt
2001  Richard Phillips
2002  Alan B. Levenson
2003  Aulana L. Peters
2004  Theodore A. Levine
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
SEC Staff and Alumni Deaths in 2016

Blankstein, Charles S.  
Cione, John Paul  
Dhaliwal, Dan  
Edwards, Donald Alger  
Fendler, Benjamin Brooks  
Grant, William C.  
Jean, William Horton  
Judson, Franklyn Sylvanus  
Kolker, Anthony  
Kronfeld, Edwin “Ted”  
Lewis, Hope  
Machholz, Doris  
McNeely, Martha  
Meadow, Claire  
Mira, Thomas  
Needham, Michael Joseph  
Perry, Betty  
Perry, Marvin Carl  
Pollack, Irving  
Riccio, Willis H.  
Saul, Ralph S.  
Shimkus, Matthew James  
Storch, Lawrence  
Sweeney, Genieve

ASECA would like to keep track of the deaths of all SEC alumni so that they may be honored at the Annual Awards Dinner. If you observe an omission in this list or 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
David Becker
Alan L. Beller
Edmund Bergan, Jr.
Bradley Bondi
Richard Breeden
Jane Cobb
Marti Cochran
Robert Cook
Meredith B. Cross
Robert Curley
Melanie Dolan
James Doty
Kimberley Drexler
Paul Dudek
Cindy Fornelli
Felice B. Friedman
Robert C. Friese
Cynthia Glassman
Daniel Goelzer
Amy L. Goodman
Edward F. Greene
Paul Haaga, Jr.
Jeffrey Hiller
Douglas W. Hyman
Richard Ketchum
Henry Klehm III
Robert Knuts
Simon Lorne
Martin E. Lybecker
Helen Mangano
Stewart Mayhew
Thomas McGonigle
Christopher Michailoff
Annette L. Nazareth
John F. Olson
Joseph Paolo
Mark M. Pesta
Aulana L. Peters
Marvin Pickholz
Harvey Pitt
Mary Revell
Lori Richards
Thomas L. Riesenberg
Richard Roberts
Erik Sirri
Marianne Smythe
Carol Tate
Linda Chatman Thomsen
Elisse B. Walter
John W. White

*as of January 27, 2017
# ASECA Thanks the Sponsors of the Twenty-Fifth Annual Dinner

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William O. Douglas Award recipient

Roberta S. Karmel.

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and applaud Roberta Karmel recipient of the William O. Douglas Award
Allen & Overy would like to congratulate Roberta S. Karmel on her receipt of the *William O. Douglas award.*

Allen & Overy is a truly global law practice. Our people work in 44 offices across 31 countries. It’s an international network that helps the world’s most successful businesses implement their strategies on a global stage. The fact that our lawyers are based on the ground in every region means that we can combine our global reach with in-depth local knowledge. Which means we can keep our clients up to speed with local legislative and regulatory developments as soon as they occur, as well as providing the global perspective that makes us such experts in the field of cross-border work. In short, we’re an international practice of local experts.

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We honor the 2017 recipient of the William O. Douglas Award

Roberta Karmel
Centennial Professor of Law
Brooklyn Law School

We honor your service to the SEC along with your longstanding and remarkable commitment to securities regulation.
Thank you for your service,
Roberta S. Karmel

Best wishes,
Greg Bruch, Sandra Hanna,
Khiran Sidhu, Rory Flynn,
Elizabeth Gibbons, Matthew Fleischman,
Lara Burke, Andrea Gordon,
Sitota Langford, Lindsay Barnes Arrieta,
and Lucian Grove

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We are proud to support

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and join in honoring this year’s
William O. Douglas Award recipient

Roberta S. Karmel

Centennial Professor of Law, Brooklyn
Law school, and former U.S. Securities and
Exchange Commissioner
Covington is a proud sponsor of the Twenty-fifth Annual ASECA Dinner

We congratulate Roberta S. Karmel, recipient of the William O. Douglas Award.

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Congratulations

We are pleased to support ASECA and warmly congratulate tonight’s honoree, Roberta S. Karmel.
Davis Polk is honored to support ASECA and joins in congratulating Roberta S. Karmel.
Debevoise is pleased to support the Association of Securities and Exchange Commission Alumni

We join in honoring Roberta S. Karmel

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Dechert congratulates

Roberta S. Karmel

Recipient of the 2017
William O. Douglas Award
Congratulations to Roberta S. Karmel on receiving the William O. Douglas Award

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Congratulations to Roberta S. Karmel on receiving the William O. Douglas Award.

We are proud to sponsor the 25th Annual ASECA Dinner.
Congratulations!

EY is proud to congratulate Roberta S. Karmel on her receipt of the 2017 25th Annual William O. Douglas Award.

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

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FINRA Congratulates

Roberta S. Karmel

2017 William O. Douglas Award Recipient

During her distinguished career, former SEC chairman Roberta S. Karmel dedicated her 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 Ms. Karmel’s accomplishments, and congratulate her as this year’s William O. Douglas Award honoree.
Foley & Lardner LLP congratulates Roberta S. Karmel on receiving the 2017 William O. Douglas Award.

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

Beth I.Z. Boland
Allison D. Charney
Brooke D. Clarkson
Melissa B Coffey
Christopher M. Cutler
Joseph D. Edmondson
Jeremy D. Freeman
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For more information about Foley, please contact Samuel (Sandy) Winer in our Washington D.C. office at swiner@foley.com or 202.672.5508 or Chris Cutler in our Tampa office at ccutler@foley.com or 813.225.4109.
FTI Consulting is honored to sponsor the Twenty-fifth Annual ASECA Dinner and is proud to congratulate Roberta S. Karmel, 2017 William O. Douglas Award recipient.
Gibson, Dunn & Crutcher LLP congratulates Hon. Roberta S. Karmel recipient of the 2017 William O. Douglas Award
Congratulations!

Greenberg Traurig is proud to support the Association of Securities and Exchange Alumni, Inc.

We congratulate Roberta Karmel on receiving the William O. Douglas Award.
The SEC alumni at Hogan Lovells are proud to support ASECA and congratulate the Hon. Roberta Karmel on being honored with the William O. Douglas award in recognition of her service to the SEC community.

Joe Connolly, Alan Dye, Amy Bowerman Freed, Mike McTiernan, Doug Paul, and Peter Romeo
Jones Day is proud to support ASECA and congratulates the Honorable Roberta S. Karmel on being honored with this year’s William O. Douglas Award.
A WELL DESERVED HONOR

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

PROFESSOR ROBERTA KARMEL

this year’s William O. Douglas Award honoree.

Kalorama Partners, LLC  Kalorama Legal Services, PLLC
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King & Spalding proudly supports ASECA and joins in honoring the 2017 William O. Douglas Award recipient, the Hon. Roberta S. Karmel.

We applaud your contributions to the development of the federal securities laws and your dedication to education.
CONGRATULATIONS

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

Roberta S. Karmel

recipient of ASECA's 2017 William O. Douglas Award

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Congratulations
to

Roberta Karmel

Recipient of the 2017 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 25th Annual ASECA Dinner. We congratulate Roberta S. Karmel, recipient of the William O. Douglas Award, for her outstanding service to the SEC, the US capital markets and the investing public.

Rick Firestone  
John Kocoras  
James Commons  
Steve Scholes  
Michael Ungar  
Roy McDonald  
Eugene Goldman  
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.
To a deserving recipient of this award, Roberta Karmel, who has dedicated her professional career to the administration, enforcement and teaching of the securities laws, with respect and admiration,

Sy Lorne

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* In memory of our partner, Jerry Isenberg, who passed away in 2013

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Norton Rose Fulbright warmly congratulates Roberta S. Karmel

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

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congratulates

Hon. Roberta S. Karmel
William O. Douglas Award Recipient

on an extraordinary career

You have broken barriers and enriched the field with your brilliance and leadership

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Congratulations to Roberta S. Karmel, Recipient of the 2017 William O. Douglas Award

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For over 25 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, Roberta S. Karmel.

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and congratulates

Hon. Roberta S. Karmel

2017 William O. Douglas Award Recipient
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Vedder Price congratulates the William O. Douglas Award Recipient, Roberta S. Karmel.

We are proud to sponsor the Association of SEC Alumni and to recognize our Vedder Price SEC Alumni: Joel S. Forman, Joseph M. Mannon, Cathy Gonzales O'Kelly, Bruce A. Rosenblum, Junaid A. Zubairi.
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Roberta S. Karmel
tonight’s distinguished recipient of the
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February 24, 2017
Making a difference

Congratulations to Roberta S. Karmel, recipient of the 2017 William O. Douglas Award. We join ASECA in honoring Roberta for her 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.
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.

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