



INVESTMENT ADVISER ASSOCIATION VIRTUAL COMPLIANCE WORKSHOP

Thursday September 7, 2023
SPEAKER BIOS

Jason Brown is a partner in Ropes & Gray LLP's asset management group and co-head of the firm's private funds regulatory practice. He has extensive experience representing investment advisers to private equity funds, real estate funds, credit funds, venture capital funds, hedge funds, separate accounts, and commodity pools. Brown also assists private fund managers in registering as investment advisers with the SEC; develops Advisers Act compliance programs; helps non-U.S. private equity firms analyze their regulatory obligations under U.S. law.; works with investment advisers on SEC examinations; and advises clients on SEC enforcement actions. Jason received his JD, cum laude, from Harvard Law School, and his BA, summa cum laude, from the University of Pennsylvania, Wharton School.

Vanessa L. Horton is an associate regional director in the SEC's IA/IC examination program in Chicago and participates in multiple National Examination Program (NEP) and Commission-wide initiatives, including acting as a subject matter expert in the SEC's National Exam Training program, co-chair of the SEC's People Committee, and member of the EXAM's Executive Committee, the Diversity Council, and the Private Fund Special Working Group. Horton's background is specifically in trading, operations, and compliance. Before joining the SEC, she spent more than 13 years in the private sector, most recently as the CCO of a dual registrant. She earned a B.S. from University of Illinois at Urbana-Champaign Gies School of Business and a master's degree in strategic management from DePaul University.

Jaqueline M. Hummel, IACCP®, is ACA Group's director of thought leadership, regulatory compliance. She is a securities attorney and regulatory compliance consultant with extensive experience as an in-house attorney working in the areas of investment adviser, broker-dealer, and investment company regulation and compliance. Hummel provides compliance consulting services to registered investment advisors, working to develop effective compliance programs and solve complex regulatory issues, including serving as an outsourced CCO. Prior to ACA Group, she held several CCO and in-house counsel positions, most recently serving as a partner at Hardin Compliance Consulting LLC, which was purchased by Foreside in 2021. She received a B.A. from the University of Wisconsin-Madison and a J.D. from Emory University School of Law.

A. Valerie Mirko is co-leader of Armstrong Teasdale's Securities Regulation and Litigation practice. She represents broker-dealers, investment advisers, and private fund advisers in SEC enforcement, examination, and regulatory matters. Her practice focuses on issues related to conflicts of interest, distribution channels and marketing, safeguards and custody, and

cybersecurity. Previously, she served as a partner in the financial regulation and enforcement practice of a global law firm; advised broker-dealers and investment advisers in enforcement investigations at a Washington, D.C., law firm; held legal and compliance roles at Oppenheimer & Co. and Merrill Lynch (now Bank of America); and served as general counsel of NASAA. She is a graduate of Wellesley College and George Washington University Law School.

William A. Nelson is associate general counsel at the IAA. Previously, he was assistant general counsel and public policy counsel at CFP Board and chief compliance officer for Mercer Advisors. He has also held roles as an attorney with both the U.S. Departments of Justice and Veterans Affairs. Nelson has served as an adjunct professor at the University of Denver Sturm College of Law and George Washington University Law School. He received his undergraduate degree from the University of Tulsa, his J.D. with Honors from the University of Tulsa College of Law, and his LL.M. from the George Washington University Law School.