

**A LIFE NAVIGATING THE SECURITIES MARKETS: A CELEBRATION OF PROFESSOR
ROBERTA KARMEL’S WORK, TEACHING, AND MENTORSHIP**

Thursday, May 13, 2021

1:30 p.m. to 5:00 p.m.: Conference Day I

5:30 to 7:00 p.m.: Celebration

Agenda

1:30 p.m.:

Welcome Remarks

Michael T. Cahill, President, Joseph Crea Dean, and Professor of Law,
Brooklyn Law School

Introduction

Edward J. Janger, David M. Barse Professor of Law; Associate Dean for
Faculty Research and Scholarship; Co-Director of the Center for the Study of
Business Law and Regulation, Brooklyn Law School

1:45 p.m.-3:15 p.m. Panel I: Regulation through Prosecution

Moderator

Miriam Baer, Professor of Law; Associate Director of the Center for the
Study of Business Law and Regulation, Brooklyn Law School

Speakers and Discussion Topics

Donna Nagy, Acting Executive Associate Dean; C. Ben Dutton Professor of
Law, Indiana University Maurer School of Law
“Securities Enforcement Remedies: Past and Present”

James Park, Professor of Law; Faculty Director, Lowell Milken Institute for
Business Law and Policy, UCLA School of Law
“Securities Enforcement During the 1970s”

Commenters

Linda Chatman Thomsen, Senior Counsel, Davis Polk & Wardwell LLP;
former Director of the SEC Division of Enforcement

Richard H. Walker, Partner, King & Spalding; former Director of SEC
Division of Enforcement and former SEC General Counsel

3:30 p.m.-5:00 p.m. Panel II: International Harmonization of Securities Regulation

Moderator

Robin Effron, Professor of Law; Co-Director, Dennis J. Block Center for the
Study of International Business Law, Brooklyn Law School

Speakers and Discussion Topics

Howell E. Jackson, James S. Reid, Jr. Professor of Law, Harvard Law School
“The EU Challenge to the SEC: A View from 2021”

Commenters

Edward F. Greene, Senior Counsel, Cleary Gottlieb Steen & Hamilton;
former Director of the SEC Division of Corporation Finance and former SEC
General Counsel

Paul A. Leder, Of Counsel, Miller & Chevalier; former Director of the SEC’s
Office of International Affairs

Eric Pan, President & CEO, Investment Company Institute; former Director of
the CFTC’s Office of International Affairs

5:30-7:00 p.m.

Celebration

Tributes from Brooklyn Law School administration, faculty, alumni, and
others

Friday, May 14, 2021

9:30 a.m. to 4:00 p.m.: Conference Day II

Agenda

9:30 a.m.-11:00 a.m. Panel III: Corporate Governance

Moderator

Dana Brakman Reiser, Centennial Professor of Law, Brooklyn Law School

Speakers and Discussion Topics

John C. Coffee, Jr., Adolf A. Berle Professor of Law, Columbia Law School
*“Universal Investors: How Will Institutions Behave in an Era of Common
Ownership and Systematic Risk?--An Essay for Roberta Karmel”*

Jill E. Fisch, Saul A. Fox Distinguished Professor of Business Law; Co-
Director, Institute for Law and Economics, University of Pennsylvania Carey
Law School

“The Empty Voting Problem with Mutual Fund Stewardship”

Joan MacLeod Heminway, Rick Rose Distinguished Professor of Law;
Interim Director, The Institute for Professional Leadership, University of
Tennessee College of Law

*“Federalized Corporate Governance: The Dream of William O. Douglas as
Sarbanes-Oxley Turns 20”*

Commenter

Minor Myers, Professor of Law, University of Connecticut School of Law

11:15 a.m.-12:45 p.m. Panel IV: Securities Market Structure

Moderator

Steven Dean, Professor of Law, Brooklyn Law School

Speakers and Discussion Topics

James Fanto, Gerald Baylin Professor of Law; Co-Director of the Center for the Study of Business Law and Regulation, Brooklyn Law School
“Professor Karmel’s Views on the Transformation of Self-Regulatory Organizations”

Commenters

W. Hardy Callcott, Partner, Sidley & Austin LLP; former SEC Assistant General Counsel

Annette L. Nazareth, Senior Counsel, Davis Polk & Wardwell LLP; former SEC Commissioner and former Director of SEC’s Division of Trading & Markets

Eric D. Roiter, Lecturer, Boston University School of Law; Senior Vice President and General Counsel of Fidelity Management & Research Company (retired); former SEC Assistant General Counsel

2:00 p.m.-3:30 p.m. Panel V: Financial Services and Financial Intermediaries

Moderator

Andrew Gold, Professor of Law, Associate Director of the Center for the Study of Business Law and Regulation, Brooklyn Law School

Speakers and Discussion Topics

Arthur Laby, Professor of Law; Co-Director of the Rutgers Center for Corporate Law and Governance, Rutgers Law School
“Investment Management Regulation”

Alan Palmiter, William T. Wilson, III Presidential Chair for Business Law; Professor of Law, Wake Forest Law School
“The Enduring Fiduciary in Retail Investing”

Commenters

Andrew “Buddy” Donohue, Adjunct Professor of Law, Brooklyn Law School; former Director of the SEC Division of Investment Management

Saule Omarova, Beth and Marc Goldberg Professor of Law; Director, Clarke Program on the Law and Regulation of Financial Institutions and Markets, Cornell Law School

3:30 p.m.-4:00 p.m. Concluding Remarks