

# Due Diligence Insights

Presented by Duff & Phelps, A Kroll Business,  
and the IMDDA

DUFF & PHELPS  
A KROLL BUSINESS

Learn the Best Practices in Fund Operations

## AGENDA — OVERVIEW

OPENING REMARKS (WELCOME)			
EMERGING TRENDS	OPERATIONAL DUE DILIGENCE	VALUATION	REGULATORY/ COMPLIANCE
Do SPACs Work For Your Organization? <a href="#">View Replay</a>	ESG and ODD <a href="#">View Replay</a>	Overview Of Valuation Regulatory Changes <a href="#">View Replay</a>	Global Regulatory Update EMEA <a href="#">View Replay</a>
The SEC Under The Biden Administration <a href="#">View Replay</a>	Ongoing Monitoring Of Fund Managers <a href="#">View Replay</a>	PE Valuation Updates <a href="#">View Replay</a>	Governance and Diversity <a href="#">View Replay</a>
Secondary Market Liquidity, When and How To Sell <a href="#">View Replay</a>	Illiquid Investments/Close Ended Funds ODD <a href="#">View Replay</a>	Venture Capital Valuation New Issues <a href="#">View Replay</a>	US Regulatory Updates <a href="#">View Replay</a>
Update on Fund Administration <a href="#">View Replay</a>	ODD On Funds Using An Outsourced Ops Model <a href="#">View Replay</a>	Real Estate Valuation New Issues <a href="#">View Replay</a>	European Regulation In a Post-Brexit World <a href="#">View Replay</a>
Preparing For The LIBOR Transition <a href="#">View Replay</a>	Crypto Currency Due Diligence <a href="#">View Replay</a>	Crypto Asset Valuation <a href="#">View Replay</a>	Effective Management of Cybersecurity Risks <a href="#">View Replay</a> <a href="#">View Slides</a>
CLOSING REMARKS			

# Welcome and Emerging Trends

## Speakers

### WELCOME

Chris Franzek, Global Alternative Asset Advisory Leader, Duff & Phelps

### EMERGING TRENDS

#### Do SPACs Work For Your Organization?

[View Replay](#)

[Tom Angell](#), Partner, Withum

[Corey Bleil](#) Managing Director, Fairness and Solvency Opinions, Duff & Phelps

[Jon Feinstein](#), Director, Alternative Asset Advisory, Duff & Phelps

[Albert W. Vanderlaan](#), Partner, Orrick

#### The SEC Under The Biden Administration

[View Replay](#)

[H. Gregory Baker](#), Partner, Lowenstein Sandler LLP

[Charu A. Chandrasekhar](#), Litigation Counsel, Debevoise & Plimpton LLP

[Howard Fischer](#), Partner, Moses & Singer LLP

[Ken C. Joseph, Esq.](#), Managing Director and Head of U.S. Compliance and Regulatory Consulting, Kroll

[Charles D. Riely](#), Partner, Jenner & Block

[Haimavathi V. Marlier](#), Partner, Morrison & Foerster

#### Secondary Market Liquidity, When and How To Sell

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[Dexter B. Blake, III](#), Managing Director, Secondary Market Advisory Services, Duff & Phelps

[Chris Jaroch](#), Partner, Newbury Partners

[Simon Oak](#), Principal, Lexington Partners

[Christopher C. Robinson](#), Partner, Proskauer Rose LLP

#### Update on Fund Administration

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[Georges Archibald](#), Head of Apex Americas, Apex Group Ltd.

[Claudia Bertolino](#), Head of Business Development, Citco Fund Services (USA) Inc.

[Bill Salus](#), CEO and Founder, Paddock Consultancy

[Daniel Strachman](#), CEO Founder, IMDDA

#### Preparing For The LIBOR Transition

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[Marcus Morton](#), Managing Director, Valuation Advisory Services, Duff & Phelps

[Jennifer Press](#), Managing Director, Alternative Asset Advisory, Duff & Phelps

# Operational Due Diligence

## Speakers

### OPERATIONAL DUE DILIGENCE

#### ESG and ODD

[View Replay](#)

[Ann-Sofie Odenberg](#), Head of Sustainability, Brummer & Partners

[Stefanie Perrella](#), Managing Director, Transfer Pricing, Duff & Phelps

[Julianne Recine](#), Director, Alternative Asset Advisory, Duff & Phelps

[Antonio Rodriguez](#), Director, Investment Strategy, NYC Board of Education Retirement System

#### Ongoing Monitoring of Fund Managers

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[Judith Barendse](#), Associate Managing Director, Compliance Risk and Diligence, Kroll

[Todd Lusk](#), Managing Director, Investment Operations, Children's Healthcare of Atlanta, Inc.

[Anushree Mohta](#), Head of Operational Due Diligence, Siguler Guff & Company, LP

[John Ward](#), Managing Director, Alternative Asset Advisory, Duff & Phelps

#### Illiquid Investments/Close End Funds ODD

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[Matthew Barbato](#), Head of Operational Due Diligence, Hamilton Lane

[Sai Gadwale](#), Director, Investment Operations, Howard Hughes Medical Institute

[Justin Holm](#), Director, Operational Due Diligence, University of Texas Investment Management Company (UTIMCO)

[Mark McGrath](#), Director, Compliance and Regulatory Consulting, Kroll

#### ODD on Funds using an Outsourced Ops Model

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[Robert Kucenski](#), Director, Alternative Asset Advisory, Duff & Phelps

[Michelle Noyes](#), Managing Director and Head of Americas, AIMA

[Claire Simm](#), Managing Director, Compliance and Regulatory Consulting, Kroll

#### Crypto Currency Due Diligence

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[Scott Army](#), Founder and CEO, Vision Hill Group

[Kevin M. Goldstein](#), Managing Partner, Kee Global Advisors

[Tom Jessop](#), President, Fidelity Digital Assets

[Zac Prince](#), CEO and Founder, BlockFi

[John Ward](#), Managing Director, Alternative Asset Advisory, Duff & Phelps



# Valuation

## Speakers

### VALUATION

#### Overview of Valuation Regulatory Changes

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[Pamela Bentley](#), CFO, GCM Grosvenor

[David Larsen](#), Managing Director, Alternative Asset Advisory, Duff & Phelps

#### PE Valuation Updates

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[Robert Malagon](#), Managing Director, Alternative Asset Advisory, Duff & Phelps

[Jenetta Mason](#), Director, Alternative Asset Advisory, Duff & Phelps

[Eric Rechtschaffen](#), Valuations Controller, Sculptor Capital Management

#### Venture Capital Valuation New Issues

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[Zack Ellison](#), Managing General Partner, Applied Real Intelligence

[Steven Nebb](#), Managing Director, Alternative Asset Advisory, Duff & Phelps

[Masa Noggle](#), Director, Alternative Asset Advisory, Duff & Phelps

[John-Paul Van Arsdale](#), Partner, Private Growth Equity, Glade Brook Capital Partners LLC

[Katherine Zamsky](#), Senior Advisor, GreenPoint Partners

#### Real Estate Valuation New Issues

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[Ross Prindle](#), Global Head of the Real Estate Advisory Group, Duff & Phelps

#### Crypto Asset Valuation

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[Anthony Emtman](#), CEO, Ikigai Asset Management

[Steven Nebb](#), Managing Director, Alternative Asset Advisory, Duff & Phelps

[Curtis Spencer](#), Managing Partner, Electric Capital

#### Complex Credit Valuation

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[Philip Bartow](#), Head of Specialty Finance and Fin Tech Lending, Sound Point Capital Management, LP

[Ryan Johnson](#), Managing Director, Alternative Asset Advisory, Duff & Phelps

[Ryan McNelley](#), Managing Director, Alternative Asset Advisory, Duff & Phelps

[John Schrader](#), Managing Director, Financial Instruments and Technology, Duff & Phelps



# Regulatory/ Compliance

## Speakers

### REGULATORY/COMPLIANCE

#### Global Regulatory Update EMEA

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[Nicolas Inman](#), Managing Director, Compliance and Regulatory Consulting, Kroll

[Alan Keating](#), Managing Director, Compliance and Regulatory Consulting, Kroll

[Monique Melis](#), Global Head of Compliance and Regulatory Consulting, Kroll

#### Governance and Diversity

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[Gary Linford](#), Founder, HighWater Limited

[Johnita Walker Mizelle](#), Senior Principal, U.S. Distribution, Sagard Holdings

[Michelle Noyes](#), Managing Director and Head of Americas, AIMA

[Julianne Recine](#), Director, Alternative Asset Advisory, Duff & Phelps

#### US Regulatory Updates

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[Jeff Wade](#), CCO, LS Power

[Peter Wilson](#), Head of U.S. Compliance Consulting, Kroll

#### European Regulation in a post-Brexit World

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[Stephanie Biggs](#), Partner, Financial Services and Markets, Travers Smith

[Hannah Rossiter](#), Managing Director, Compliance and Regulatory Consulting, Kroll

#### Effective Management of Cybersecurity Risks

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[Terence Brady](#), Director, Operational Due Diligence, Corbin Capital Partners

[David Ickson](#), COO, Parabellum Capital

[Terry Mason](#), Vice President, Cyber Risk, Kroll

[Gregory Michaels](#), Managing Director, Cyber Risk, Kroll





# On Demand Sessions

## Speakers

### ON DEMAND SESSIONS

#### Insurance - E&O, Cyber, Fiduciary Bonds

[James Beatty](#), Managing Director, Marsh

[Charles Higham](#), Vice President and Head of Financial and Professional Liability, Everest Insurance

[Tom Tierney](#), US FINPRO Financial Institutions Practice Leader, Marsh McLennan

[John Ward](#), Managing Director, Alternative Asset Advisory, Duff & Phelps

#### Fund Liquidations

[Aaron Javian](#), Partner, Reed Smith

[Niall Ledwidge](#), Director, Offshore Restructuring, Kroll

[Mitchell Mansfield](#), Director, Borrelli Walsh

[Rachael Reynolds](#), Global Senior Partner, Ogier

## SPEAKERS



**TOM ANGELL**

Partner,  
Withum



**GEORGES ARCHIBALD**

Head of  
Apex Americas,  
Apex Group Ltd.



**SCOTT ARMY**

Founder and  
CEO  
Vision Hill Group



**H. GREGORY BAKER**

Partner,  
Lowenstein  
Sandler LLP



**MATTHEW BARBATO**

Head of Operational  
Due Diligence,  
Hamilton Lane



**JUDITH BARENDSE**

Associate Managing Director,  
Compliance Risk and  
Diligence, Kroll



**PHILIP BARTOW**

Head of Specialty Finance and  
Fin Tech Lending, Sound Point  
Capital Management, LP



**JAMES BEATTY**

Managing Director,  
Marsh



**PAMELA BENTLEY**

CFO,  
GCM Grosvenor



**CLAUDIA BERTOLINO**

Head of Business  
Development, Citco Fund  
Services (USA) Inc.



**STEPHANIE BIGGS**

Partner,  
Financial Services and  
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**DEXTER B. BLAKE, III**

Managing Director,  
Secondary Market Advisory  
Services, Duff & Phelps



**COREY BLEIL**

Managing Director,  
Fairness and Solvency  
Opinions, Duff & Phelps



**TERENCE BRADY**

Director,  
Operational Due Diligence,  
Corbin Capital Partners



**CHARU A. CHANDRASEKHAR**

Litigation Counsel,  
Debevoise & Plimpton LLP



**ZACK ELLISON**

Managing General  
Partner, Applied  
Real Intelligence



**ANTHONY EMTAN**

CEO,  
Ikigai Asset  
Management



**JON FEINSTEIN**

Director, Alternative  
Asset Advisory,  
Duff & Phelps



**HOWARD FISCHER**

Partner,  
Moses & Singer LLP



**CHRIS FRANZEK**

Global Alternative Asset  
Advisory Leader,  
Duff & Phelps



**SAI GADWALE**

Director, Investment  
Operations, Howard Hughes  
Medical Institute



**KEVIN M. GOLDSTEIN**

Managing Partner  
Kee Global Advisors



**CHARLES HIGHAM**

Vice President and Head of  
Financial and Professional  
Liability, Everest Insurance



**JUSTIN HOLM**

Director, Operational Due Diligence,  
University of Texas Investment  
Management Company (UTIMCO)

## SPEAKERS



**DAVID ICKSON**

COO,  
Parabellum  
Capital



**NICOLAS INMAN**

Managing Director,  
Compliance and Regulatory  
Consulting, Kroll



**CHRIS JAROCH**

Partner,  
Newbury  
Partners



**AARON JAVIAN**

Partner,  
Reed Smith



**TOM JESSOP**

President,  
Fidelity  
Digital Assets



**RYAN JOHNSON**

Managing Director,  
Alternative Asset Advisory,  
Duff & Phelps



**KEN C. JOSEPH, ESQ.**

Managing Director and  
Head of U.S. Compliance and  
Regulatory Consulting, Kroll



**ALAN KEATING**

Managing Director, Compliance  
and Regulatory Consulting,  
Kroll



**ROBERT KUCENSKI**

Director, Alternative  
Asset Advisory,  
Duff & Phelps



**DAVID LARSEN**

Managing Director,  
Alternative Asset Advisory,  
Duff & Phelps



**NIALL LEDWIDGE**

Director,  
Offshore Restructuring,  
Kroll



**GARY LINFORD**

Founder,  
HighWater Limited



**TODD LUSK**

Managing Director, Investment  
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Healthcare of Atlanta, Inc.



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Vice President,  
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Kroll



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Global Head of Compliance  
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Managing Director,  
Cyber Risk,  
Kroll



**JOHNITA WALKER MIZELLE**

Senior Principal,  
U.S. Distribution,  
Sagard Holdings



**ANUSHREE MOHTA**

Head of Operational  
Due Diligence,  
Siguler Guff & Company, LP



## SPEAKERS



**MARCUS MORTON**

Managing Director,  
Valuation Advisory Services,  
Duff & Phelps



**STEVEN NEBB**

Managing Director,  
Alternative Asset Advisory,  
Duff & Phelps



**MASA NOGGLE**

Director,  
Alternative Asset Advisory,  
Duff & Phelps



**MICHELLE NOYES**

Managing Director and  
Head of Americas,  
AIMA



**SIMON OAK**

Principal,  
Lexington  
Partners



**ANN-SOFIE ODENBERG**

Head of Sustainability,  
Brummer & Partners



**STEFANIE PERRELLA**

Managing Director,  
Transfer Pricing,  
Duff & Phelps



**JENNIFER PRESS**

Managing Director,  
Alternative Asset Advisory,  
Duff & Phelps



**ZAC PRINCE**

CEO and Founder,  
BlockFi



**ROSS PRINDLE**

Global Head of the  
Real Estate Advisory Group,  
Duff & Phelps



**ERIC RECHTSCHAFFEN**

Valuations Controller,  
Sculptor Capital  
Management



**JULIANNE RECINE**

Director,  
Alternative Asset Advisory,  
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**RACHAEL REYNOLDS**

Global Senior Partner,  
Ogier



**CHARLES D. RIELY**

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Jenner & Block



**CHRISTOPHER C.  
ROBINSON**

Partner, Proskauer Rose LLP



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Director, Investment Strategy,  
NYC Board of Education  
Retirement System



**HANNAH ROSSITER**

Managing Director,  
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Consulting, Kroll



**BILL SALUS**

CEO and Founder,  
Paddock Consultancy



**JOHN SCHRADER**

Managing Director, Financial  
Instruments and Technology,  
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**CLAIRE SIMM**

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Compliance and Regulatory  
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**CURTIS SPENCER**

Managing Partner,  
Electric Capital



**DANIEL STRACHMAN**

Co-Founder,  
IMDDA



**TOM TIERNEY**

US FINPRO Financial  
Institutions Practice Leader,  
Marsh McLennan



**JOHN-PAUL VAN ARSDALE**

Partner, Private Growth  
Equity, Glade Brook  
Capital Partners LLC

## SPEAKERS



**ALBERT W. VANDERLAAN**

Partner  
Orrick



**JEFF WADE**

CCO,  
LS Power



**JOHN WARD**

Managing Director,  
Alternative Asset Advisory,  
Duff & Phelps



**PETER WILSON**

Head of U.S.  
Compliance Consulting  
Kroll



**KATHERINE ZAMSKY**

Senior Advisor  
GreenPoint  
Partners