

# The Way Forward for Public Companies: Diversity in the Board Room and C-Suite – SEC Disclosure, Implications and Other Key Issues



## Program Agenda

11:30 a.m. **Registration and Networking; Lunch**

Noon **Welcome:**

**Candace L. Quinn** and **Yesenia Scheker-Izquierdo**, WECNY

**Introductions:**

**James J. Maiwurm**, *Chair and Global CEO, Squire Sanders*

12:15 p.m. **Keynote Address:**

**Luis A. Aguilar**, *Commissioner, United States Securities and Exchange Commission*

12:45 p.m. **Panel Discussion: The Way Forward**

SEC Commissioner Aguilar

**Dr. Ann P. Bartel**, *Merrill Lynch Professor of Workforce Transformation, Columbia Business School*

**Sandra Leung**, *General Counsel and Corporate Secretary, Bristol-Myers Squibb Company*

**Peggy Smyth**, *Vice President of Finance, Con Edison*

Moderated by **Abby E. Brown** and **Candace L. Quinn**, Squire Sanders

1:45 p.m. **Questions & Answers**

2 p.m. **Wrap-up & Conclusion:**

**Kate Waters**, Morgan Stanley



## Keynote Speaker

### Commissioner Luis A. Aguilar

Luis A. Aguilar is a Commissioner at the U.S. Securities and Exchange Commission. He was sworn in on July 31, 2008. Commissioner Aguilar was appointed by President George W. Bush and was reappointed by President Barack Obama in 2011. Commissioner Aguilar represents the Commission as its liaison to both the North American Securities Administrators Association (NASAA) and to the Council of Securities Regulators of the Americas (COSRA). He has served as the primary sponsor of the SEC's Investor Advisory Committee.

Prior to his appointment as an SEC Commissioner, Commissioner Aguilar was a partner with the international law firm of McKenna Long & Aldridge, LLP, specializing in securities law. Commissioner Aguilar's previous experience includes serving as the general counsel, executive vice president, and corporate secretary of INVESCO, with responsibility for all legal and compliance matters regarding INVESCO Institutional. He also was INVESCO's managing director for Latin America in the late 1990's. His career also includes tenure as a partner at several prominent national law firms and as an attorney at the U.S. Securities and Exchange Commission.

## Panelists



**Dr. Ann P. Bartel** *Merrill Lynch Professor of Workforce Transformation, Columbia Business School*

Dr. Ann Bartel is the Merrill Lynch Professor of Workforce Transformation at Columbia Business School and the Director of Columbia Business School's Workforce Transformation Initiative. She is an expert in the fields of labor economics and human resource management and has published numerous articles on employee training, human capital investments, job mobility, and the impact of technological change on productivity, worker skills, and outsourcing decisions. Dr. Bartel received the 1992 Margaret Chandler Award for Commitment to Excellence in teaching. She also investigated trends with respect to gender representation and is a research associate at the National Bureau of Economic Research and the recipient of numerous research grants. Dr. Bartel has also directed executive education programs for talented women executives who are positioning themselves for career advancement.



**Sandra Leung** *General Counsel and Corporate Secretary, Bristol-Myers Squibb*

Sandy Leung serves as legal advisor to the Board of Directors and company executives, and is responsible for shaping the company's legal strategy, both currently and prospectively. She is also responsible for Environment, Health & Safety, Corporate Security and Philanthropy. Ms. Leung joined Bristol-Myers Squibb in 1992 as a staff attorney in the litigation department. In 1996, she became assistant counsel and one year later, was named associate counsel. In 1999, Ms. Leung was appointed to the position of counsel and corporate secretary. In 2006, she was appointed acting general counsel and in 2007, she was named general counsel. Prior to joining the company, Ms. Leung was a prosecutor in the Manhattan District Attorney's Office.



**Peggy Smyth** *Vice President of Finance, Con Edison*

Margaret (Peggy) Smyth is the Vice President of Finance at Consolidated Edison, Inc. in New York. She works closely with the business units in key operational and financial matters. Ms. Smyth has also served on a variety of corporate, industry and charitable boards. Currently, she serves as a member of the board of directors and chair of the finance committee of Martha Stewart Living Omnimedia, Inc. and is also a director and member of the audit committees of Vonage Holdings Corporation, Mutual of America Investment Corporation and Mutual of America Institutional Funds. She is a trustee for Concern Worldwide (U.S.) Inc. and a Trustee Fellow at Fordham University.

## Moderators



**Abby E. Brown** *Partner, Squire Sanders*

Abby Brown focuses her practice on general corporate and securities matters with an emphasis on financial services and government contracting industry clients. She advises on both US and international mergers and acquisitions, securities law issues including public offerings, and corporate governance matters. Ms. Brown has served as the corporate secretary of several public company government contractors, as well as privately held financial institutions. She is primary outside securities compliance and governance counsel to several public companies.



**James J. Maiwurm** *Chair and Global CEO, Squire Sanders*

Based in Washington DC, Jim Maiwurm has more than 30 years of experience as a business and transactional, and securities regulation lawyer. He brings to his practice a unique business perspective. In addition to leadership positions within Squire Sanders, Mr. Maiwurm served as chair and CEO and led the restructuring of a prominent publicly-held international engineering firm. He implemented turnaround initiatives, dealt with clients throughout the world, and negotiated and managed major asset dispositions. His legal practice encompasses merger, acquisition and divestiture transactions involving US, Latin America, Europe and Pacific Rim interests and operations. He also counsels senior management and boards of directors on matters such as corporate governance and disclosure issues, development of acquisition strategies and dealing with financing sources.



**Candace L. Quinn** *Partner, Squire Sanders; Co-Founder and Co-President, WECNY*

Candace Quinn has more than 25 years of experience in the employee benefits and executive compensation industry. Ms. Quinn provides tax and legal consulting in employee benefits and executive compensation, fiduciary standards, best practice corporate governance, accounting and internal controls with respect to multinational and domestic corporations, partnerships, joint ventures, boards of directors and not-for-profit entities.



**Yesenia Scheker-Izquierdo** *Partner, KPMG; Co-Founder and Co-President, WECNY*

Yessi Scheker-Izquierdo is a tax partner in KPMG's New York Financial Services Tax practice. She has more than 13 years of experience in tax and the real estate industry. She has a wide range of experience in providing tax and advisory services to real estate opportunistic funds, investment funds, infrastructure funds, foreign investors, condominium developers, homebuilders, and owner/operators.



**Katherine K. Waters CFP®, CPM®** *Vice President – Wealth Management, Morgan Stanley; Board of Directors, WECNY*

As a partner on a wealth management team, Kate Waters oversees her clients entire financial picture and utilizes extensive resources to deliver solutions that are unique to their specific needs. Prior to joining Morgan Stanley Smith Barney, Ms. Waters worked as an Investment Banker for a boutique New York firm specializing in Mergers & Acquisitions, Private Placements and IPO's.