The Association of Securities and Exchange Commission Alumni, Inc.

Presents

The Twenty-Eighth Annual ASECA Dinner

and William O. Douglas Award Presentation

Thursday, September 8, 2022

The Ronald Reagan Building
and International Trade Center
Welcome to the 28th Annual ASECA Dinner!

On behalf of the ASECA Board of Directors, thank you for joining us this evening. We hope you enjoyed the PLI-ASECA reception earlier, were able to congratulate Jim Kroeker, our 2020-22 William O. Douglas honoree, and had the opportunity to catch up with the many SEC alumni present.

ASECA has had a challenging few years since our last dinner held in 2019. Despite the pandemic, we hosted several great webinars in cooperation with the SEC Historical Society and are scheduling new SEC alumni receptions across the country. We want to thank the firms who co-hosted events in the past and invite everyone to join us for one of our regional events. They are easy to host and a terrific way to catch up with fellow SEC alumni.

Our thanks to the generosity of the many ASECA members here tonight who have generously donated to the scholarship fund. Since 1999, the ASECA Scholarship Fund has awarded more than $750,000 in scholarships to law school students who have worked at the SEC and/or are pursuing careers in securities law. We hope you’ll take a few moments to note your 2022 scholarship winners listed in the program.

Many of our Lifetime members are present tonight and we send a special thank you for their ongoing support. If you worked at the SEC in the past and are not a member of ASECA, we encourage you to become a member. If you are considering joining ASECA, it’s easy to join online or speak with any one of our members of the ASECA Board of Directors here tonight.

We have a wonderful dinner and great program planned for this evening and hope you’ll join us in the Ballroom for dessert, coffee, and cocktails after closing remarks.

Once again, thank you for attending tonight. Safe travel home and we wish you a successful remainder of 2022.

Sincerely,

Brandon Becker
ASECA President, 2020-2023
James L. Kroeker served as the Chief Accountant of the Securities and Exchange Commission from January 2009 until his departure in 2012. In this capacity, Jim served as the senior accounting professional for the Commission and the principal advisor to the Commission on all accounting and auditing matters. In his capacity at the SEC, he was responsible for resolution of a wide range of globally significant accounting and auditing issues.

Since joining the Commission in February 2007, Jim played a key role in efforts to improve the transparency and reduce the complexity of financial disclosure. He served as staff director of the SEC’s Congressionally mandated study of fair value accounting standards, and he has led the efforts of the Office of the Chief Accountant to address the economic crisis, including steps to improve off-balance sheet accounting guidelines. Jim also served as the Designated Federal Officer responsible for the staff oversight of the SEC’s Advisory Committee on Improvements to Financial Reporting.

He also was responsible for the day-to-day operations of the office, including resolution of accounting and auditing practice issues, rulemaking, and oversight of the FASB and PCAOB.

Mr. Kroeker was appointed a member and vice chairman of the Financial Accounting Standards Board (FASB) on September 1, 2013. In the latter role, he assists the FASB chairman in representing the Board to external stakeholders and in conducting its internal operations, in addition to serving as a voting member of the Board.

Mr. Kroeker joined the FASB from Deloitte, where he served as the Deputy Managing Partner for Professional Practice. Prior to joining the SEC, Jim was a partner at Deloitte in the firm’s Professional Practice Network. Mr. Kroeker was Deloitte & Touche’s representative on the AICPA Accounting Standards Executive Committee (AcSEC) and served as a Practice Fellow at the Financial Accounting Standards Board.

Mr. Kroeker received a Bachelor of Science degree with an emphasis in accounting from the University of Nebraska in May 1992.
Dinner Menu

Watermelon with Wild Watercress and Feta Citrus Dressing

Salmon Fillet and Beef Tenderloin
Lemon Cucumber Risotto, Sea Asparagus Fricassee
Purple Mustard Sauce

WINES

L’Ecole No. 41 Old Vines Chenin Blanc
Yakima Valley, Washington, USA

Steele Wines Shooting Star Cabernet Sauvignon
Lake County, California, USA

After dinner and closing remarks, please join us in the Ballroom for dessert and coffee.
Program

Welcome and Opening Remarks Brandon Becker

Dinner

Presentation of the William O. Douglas Award to James L. Kroeker

Remarks James L. Kroeker

Closing Remarks Brandon Becker

Please join us in the Ballroom for Dessert & Coffee
Save the date!

The twenty-ninth annual ASECA dinner and William O. Douglas Award presentation will be held on Thursday, April 20, 2023 in the Ronald Reagan Building and International Trade Center.
ASECA Congratulates
2022 Winners of ASECA Scholarships

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Deborah Keeler, CAE – Executive Director
<table>
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<th>Year</th>
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<td>Irving M. Pollack</td>
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<td>1994</td>
<td>Stanley Sporkin</td>
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<td>1995</td>
<td>Kevin T. Duffy</td>
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<td>A.A. Sommer, Jr.</td>
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<td>David S. Ruder</td>
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<td>Mary L. Schapiro</td>
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<td>Richard G. Ketchum</td>
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<td>William R. McLucas</td>
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<td>Harvey L. Pitt</td>
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<td>Daniel L. Goelzer</td>
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<td>Elisse B. Walter</td>
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<td>Jacob H. Stillman</td>
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<td>Kathryn B. McGrath</td>
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<td>Richard C. Breeden</td>
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<td>Roberta S. Karmel</td>
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<tr>
<td>2018</td>
<td>Alan L. Beller</td>
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<tr>
<td>2019</td>
<td>David M. Becker</td>
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*as of August 1, 2022
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We salute
JAMES L. KROEKER
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of the William O. Douglas Award

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2022 William O. Douglas Award Recipient

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BDO USA, LLP proudly supports the ASECA and congratulates James L. Kroeker as the 28th recipient of the William O. Douglas Award.

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Broadridge congratulates James L. Kroeker, this year’s William O. Douglas Award honoree, on his accomplishments.

Broadridge provides the critical infrastructure that powers investing, corporate governance and communications to enable better financial lives. We are committed to supporting our associates, clients, investors, and the communities where we live and work to create the best long-term outcomes for all.
We proudly support the Association of Securities and Exchange Alumni, Inc. and join in congratulating James L. Kroeker on his selection as this year’s William O. Douglas Award recipient.
Together we succeed.

Cooley proudly supports ASECA and congratulates this year’s William O. Douglas Award recipient, James L. Kroeker.
Congratulations

We are pleased to support ASECA and congratulate tonight’s honoree, James L. Kroeker.
Davis Polk is proud to support ASECA and congratulates James L. Kroeker as the 2022 recipient of the William O. Douglas Award.
Debevoise is pleased to support the Association of Securities and Exchange Commission Alumni.

We join in honoring James L. Kroeker.

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Congratulations

Deloitte applauds James L. Kroeker, recipient of the 2022 William O. Douglas Award, and is proud to support ASECA.
Davis Wright Tremaine salutes James Kroeker for his many contributions to the securities industry

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

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on receiving the

William O. Douglas

Award for his years of

service and dedication.
Congratulations to James L. Kroeker on receiving the William O. Douglas Award.

We are proud to sponsor the 2022 Annual ASECA Dinner.

Congratulations!

EY is proud to congratulate James L. Kroeker on his receipt of the 28th Annual William O. Douglas Award and being the first accountant honored with the award.

Thanks, Jim, for your years of service to the Commission and your efforts to fulfill the SEC’s mission. Your contributions to the accounting procession have been enormous.
FINRA Congratulates

James L. Kroeker
2022 William O. Douglas Award Recipient

At FINRA, we have an enduring commitment to investor protection and market integrity. We commend former Chief Accountant of the SEC, James L. Kroeker, for his work to improve the transparency and reduce the complexity of financial disclosure during an era of significant regulatory reform.

We salute Mr. Kroeker’s accomplishments, and congratulate him as this year’s William O. Douglas Award honoree.
Foley & Lardner LLP congratulates James L. Kroeker on receiving the 2022 William O. Douglas Award.

Congratulations and best wishes from Foley’s Securities Enforcement & Litigation Practice.

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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.
We are proud to support the 28th Annual Award Dinner. Congratulations to award recipient James L. Kroeker.

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GIBSON DUNN congratulates JAMES KROEKER recipient of the William O. Douglas Award

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Kirkland & Ellis congratulates

James L. Kroeker

as this year’s recipient of the
William O. Douglas Award

It is an honor to celebrate with
our friends and former colleagues
at the ASECA 28th Annual Dinner

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Zach Brez  Dan Kahl
Norm Champ  Ammani Nagesh
Kyle DeYoung  Alpa Patel
Marian Fowler  Bob Pommer
Melissa Gainor  Nader Salehi
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Recipient of the William O. Douglas Award
YOUR PASSION INSPIRES.

Congratulations, James L. Kroeker, on receiving the William O. Douglas Award as part of the 28th Annual ASECA Dinner. Your leadership, commitment and outstanding service to the SEC, US capital markets and the investing public have inspired us all. We applaud this well-deserved recognition.

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and

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James L. Kroeker

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We are pleased to join ASECA in honoring JAMES L. KROEKER as the recipient of the annual WILLIAM O. DOUGLAS AWARD

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Congratulations to James L. Kroeker, Recipient of the 2022 William O. Douglas Award.

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Congratulations to tonight’s William O. Douglas Award recipient, James L. Kroeker.

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our friend and colleague

James L. Kroeker

Recipient of the
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The 28th Annual ASECA Dinner
September 8th, 2022
WilmerHale is proud to support ASECA’s 28th Annual Dinner.

Congratulations to James L. Kroeker, recipient of the William O. Douglas Award 2022, for his distinguished service to the Securities and Exchange Commission.
In Memoriam
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ASECA would like to keep track of the deaths of all SEC alumni. If you observe an omission in this list or learn of a death of a former colleague, please send that information, along with any published death notice, to info@secalumni.org.
In Memoriam
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Ronald Townsend Carman
Glenn Dallaire
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ASECA Brings Value to SEC Alumni

The Association of Securities and Exchange Commission Alumni (ASECA) provides value to its members in several ways. We welcome your membership and participation in our different programs.

1. ASECA provides the opportunity for former SEC employees and staff to find and re-connect with former colleagues and friends. Re-connect through social activities, including receptions and networking opportunities in the different SEC office cities. Our annual dinner provides an opportunity to gather in Washington DC during the PLI SEC Speaks conference. **Applaud the unique history and shared camaraderie of SEC alumni.**

2. ASECA provides an opportunity to support education. Nearly one million dollars have been awarded in college scholarships to SEC staff and law school students pursuing careers in the field of securities law and compliance. **Invest in tomorrow’s professionals.**

3. ASECA coordinates interesting and informative webinars, highlighting unique careers, events, and individuals who have shared in protecting investors for decades. **Listen to those who talk about their journey.**

4. ASECA bestows the William O. Douglas Award to a worthy SEC alumnus or alumna who has contributed to the development of the federal securities laws or served the financial and SEC community with distinction. **Honor those who have served with distinction.**

5. ASECA members are afforded discount pricing for events, such as the annual dinner. **Membership has its perks.**

6. Membership dues and donations to ASECA are tax deductible to the extent provided by law. **Become a member and save.**

Visit [www.SECAlumni.org](http://www.SECAlumni.org) for more information.
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ASECA

Association of Securities and Exchange Commission Alumni, Inc.
Founded in 1990, the Association of Securities and Exchange Commission Alumni (ASECA) is a non-profit organization that fosters the shared history and unique camaraderie between SEC alumni globally. ASECA provides its members with the opportunity to (i) network and share information with fellow SEC alumni, (ii) support its robust scholarship program to further the education and growth of industry professionals, and (iii) recognize SEC alumni that have contributed to the development of the federal securities laws and/or served the financial and SEC community with distinction through ASECA’s annual William O. Douglas award.

www.secalumni.org