



Women In Securities

AS WE SEE IT FROM WHERE WE ARE: A PATIO CHAT WITH WEST COAST SEC ENFORCEMENT LEADERSHIP

Thursday, August 20, 2020

SPEAKERS

Erin E. Schneider, Regional Director - U.S. Securities and Exchange Commission, San Francisco Regional Office. Erin E. Schneider is the Regional Director of the U.S. Securities and Exchange Commission's San Francisco Regional Office. The Regional Office has a staff of over 125 people and is responsible for the SEC's enforcement and examination programs in Northern California, Washington, Oregon, Montana, Idaho and Alaska, with over 1,000 investment advisers, almost 50 mutual fund complexes and over 250 broker-dealers located in the region. Ms. Schneider began working in the Regional Office in 2005 as a staff attorney and has conducted and supervised investigations into a wide variety of financial misconduct. In 2012, she became an Assistant Regional Director in Enforcement's Asset Management Unit, and from 2015 to 2019 led the office's enforcement efforts as its Associate Regional Director. Prior to joining the SEC staff, Ms. Schneider worked as a litigation associate in the Washington D.C. and San Francisco offices of Gibson, Dunn & Crutcher LLP, and as an auditor at PricewaterhouseCoopers LLP. Ms. Schneider earned her bachelor's degree in business administration from the University of California at Berkeley in 1995, and her law degree cum laude from the University of California's Hastings College of the Law in 2001.

Monique C. Winkler, Associate Regional Director - Division of Enforcement, U.S. Securities and Exchange Commission, San Francisco Regional Office. Monique Winkler joined the SEC's San Francisco Regional Office in 2008 as a staff attorney and became an Assistant Regional Director in 2015. She served as a member of the Public Finance Abuse Unit since its formation in 2010 until August 2019. In her role as Associate Regional Director, Ms. Winkler oversees the Regional Office's enforcement efforts for Northern California and the Pacific Northwest. Prior to joining the Commission, Ms. Winkler practiced securities and complex commercial litigation. She earned her bachelor's degree from Indiana University and her law degree from Vanderbilt University School of Law.

Michele Wein Layne, Regional Director - U.S. Securities and Exchange Commission, Los Angeles Regional Office. Michele Wein Layne is the Regional Director of the SEC's Los Angeles Regional Office. The Regional Office has a staff of over 180 people and is responsible for the SEC's enforcement and examination programs in Southern California, Arizona, Nevada, Hawaii, and Guam,

with more than 1,000 investment advisers (and \$7.1 trillion in assets under management), more than 60 mutual fund complexes and nearly 300 broker-dealers located in the region. Prior to her appointment as Director of the Regional Office in 2012, Ms. Layne served as the Associate Regional Director of the Los Angeles Regional Office's enforcement program. She has conducted and supervised investigations and litigation involving financial reporting fraud, insider trading, misconduct by investment advisers and brokers, market manipulation, FCPA and other securities law violations. Ms. Layne received the SEC's 2009 Distinguished Service Award, the agency's highest honorary award. Before joining the SEC staff, Ms. Layne worked as a litigator at the law firms of Dewey & LeBoeuf and Buchalter Nemer. She received her law degree from the University of Southern California. She graduated magna cum laude and Phi Beta Kappa from the University of California at Los Angeles.

Alka Patel, Associate Regional Director - Division of Enforcement, U.S. Securities and Exchange Commission, Los Angeles Regional Office. Alka Patel is the Associate Regional Director supervising the enforcement program in the Los Angeles Regional Office of the SEC. She joined the SEC in July 2001. She served as an Assistant Regional Director for more than five years and has previously served in the Enforcement Division's Foreign Corrupt Practices Act Specialized Unit. Before joining the SEC staff, Ms. Patel worked as a litigation and transactional associate in Irvine, California, and St. Louis, Missouri, and also as an auditor at two international accounting firms. In addition to being a CPA (inactive), Ms. Patel received her law degree from Southwestern University School of Law, her master's degree in business taxation from the University of Southern California, and her undergraduate degree from California State University, Northridge.

Katharine Zoladz, Associate Regional Director - Division of Enforcement, U.S. Securities and Exchange Commission, Los Angeles Regional Office. Kate Zoladz is an Associate Regional Director who co-supervises the Enforcement program for the Los Angeles Regional Office of the SEC. She joined the SEC in 2010 as a staff attorney and previously served as an Assistant Regional Director in the Enforcement Division's Asset Management Unit. Prior to joining the SEC staff, Ms. Zoladz practiced securities and complex commercial litigation at Simpson Thacher & Bartlett LLP in New York and Latham & Watkins LLP in New York and San Francisco. Ms. Zoladz earned her bachelor's degree from Georgetown University, and her law degree from the University of Pennsylvania Law School. She clerked for the Honorable Edward R. Becker, United States Court of Appeals for the Third Circuit.

MODERATOR

Jina Choi, Partner, Morrison & Foerster LLP. Jina represents public and pre-IPO companies, financial institutions, asset management firms, boards of directors, audit and special committees and individuals in internal investigations, SEC and other government investigations, enforcement-related litigation as well as compliance-related issues. Jina joined the firm after over 16 years with the SEC where she ultimately served as Director of the SEC's San Francisco Regional Office from 2013 through 2018, helping to enforce many of the laws that govern the entities and individuals she now represents.

ABOUT WISE

In the Fall of 2012, a group of women who have collectively practice securities litigation defense for over a century and in nearly a thousand cases decided to form a new network for women securities litigators, Women in Securities. The network is designed to encourage the growing number of women in our field and to ensure that women continue to play a leadership role in the future of securities litigation. We seek to promote the development, advancement, mentoring and education of women securities litigators and provide a means for networking and business development. We look forward to expanding the network and welcome your participation.



WISe STEERING COMMITTEE

- **Sara Brody** (Partner, Sidley Austin)
- **Jina Choi** (Partner, Morrison & Foerster)
- **Sarah Good** (Of Counsel, Farella Braun + Martel)
- **Meredith Landy** (Former Partner, O'Melveny & Myers LLP)
- **Nicki Locker** (Partner, Wilson Sonsini)
- **Susan Muck** (Partner, Fenwick & West)
- **Susan Resley** (Partner, Morgan, Lewis & Bockius LLP)
- **Charlene (Chuck) Shimada** (Partner, Morgan, Lewis & Bockius LLP)
- **Shirli Weiss** (Partner, DLA Piper)
- **Anna Erickson White** (Partner, Morrison & Foerster)

UPCOMING EVENT

August 20, 2020, 4-5:00 PM Pacific – As We See It From Where We Are: A Patio Chat with West Coast SEC Enforcement Leadership

HOW TO BECOME A WISe MEMBER

If you are not yet a member and would like to join WISe, please contact Chuck Shimada at 415.442.1475 or charlene.shimada@morganlewis.com.



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