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SPOTLIGHT

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Advisory Committee on
Small and Emerging
Companies

Affinity Fraud

Crowdfunding

Cybersecurity

Disclosure Effectiveness

Enforcement Cooperation
Initiative

Equity Market Structure
Roundtables

Feds Feed Families

Financial Reporting and
Audit Group

Fireside Chats

Fixed Income Market
Structure Advisory
Committee

Foreign Corrupt Practices
Act

Initial Coin Offerings
(ICOs)

Implementation of Dodd-
Frank Act

Interactive Data and
XBRL Initiative

Investor Advisory
Committee

Jumpstart Our Business
Startups (JOBS) Act

Market Structure and
Data Analysis

Microcap Fraud

Money Market Funds

Regulation SCI

SEC and Fintech

Whistleblower Awards

Meeting Agenda

U.S. Securities and Exchange Commission Investor Advisory Committee September 9, 2021

10:00-10:25 a.m. Welcome Remarks

10:25-10:30 a.m. Approval of Previous Meeting Minutes

10:30-12:00 p.m. Panel Discussion: *Reimagining Investor Protection in a Digital World: the Behavioral Design of Online Trading Platforms*

Moderated by:

Elissa Germaine

Professor, Elisabeth Haub School of Law at Pace University
Director, Investor Rights Clinic
Executive Director, John Jay Legal Services

and

Paul Sommerstad

Partner, Certy Partners

Speakers:

- **Stephen Hall**, Legal Director and Securities Specialist, Better Markets
- **Daniel P. Egan**, Director of Behavioral Finance and Investing, Betterment
- **Punam Anand Keller**, PhD, Charles Henry Jones Third Century Professor of Management
- **Steve Shu**, PhD, Managing Principal, Digital Nudging Tech

12:00-1:00 p.m. Lunch/Non-Public Administrative Session

1:00-2:30 p.m. Panel Discussion Regarding Competition and Regulatory Reform at the PCAOB

Moderated by:

JW Verret, Associate Professor, Antonin Scalia Law School

Speakers:

- **Wes Bricker**, Vice Chairman, PWC Americas, and former Chief Accountant at the SEC
- **Colleen Honigsberg**, PhD, Professor of Accounting, Stanford Law School
- **Sara Lord**, Chief Auditor, RSM
- **Alistair Thompson**, Director of Remedies, Business and Financial Analysis, United Kingdom Competition and Markets Authority
- **Lynn Turner**, Senior Advisor, Hemming | Morse, and former Chief Accountant at the SEC

2:30-2:50 p.m. Discussion of a Recommendation Regarding 10b5-1 Plans

2:50-3:10 p.m. Discussion of a Recommendation Regarding SPACs

3:10-3:30 p.m.	Subcommittee Reports
3:30 p.m.	Adjourn

Modified: August 31, 2021

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