



AICPA and SIFMA FMS National Conference on the Securities Industry

The National Conference on the Securities Industry features senior executives and regulators on the latest developments in securities regulation, auditing and accounting requirements.

Join us on October 16-17 for critical updates from the PCAOB, FAF and industry experts; innovation in financial management; open Q&A session with representatives from the SEC, FINRA and CFTC; and more!

Co-hosted by the American Institute of Certified Public Accountants (AICPA) and the SIFMA Financial Management Society (SIFMA FMS).

Wednesday October 16, 2019

8:00am – 6:30pm

Registration Desk Hours

8:00am – 8:30am

Networking Breakfast

Sponsored by Apex Regulatory Capital

8:30am – 8:40am

Welcome Remarks

Speaker



Anthony Stucchio

Managing Director, COO- DCRO America's Head & Chief Operations Officer
Deutsche Bank Securities Inc.

8:40am – 9:30am

The Securities Industry: A Senior Executive's Perspective

Pete Dawkins' has had a lifetime of achievement in the financial industry, the military and sports. He is currently an advisor to Virtu, and in the past has been: a partner at Lehman Brothers; head of Bain's US consulting practice; Chairman and CEO of Primerica Financial Services, Inc.; Vice Chairman and Executive Vice President of Travelers Insurance; Vice Chairman of Citibank's Private Bank, and Vice Chairman of Citi's Global Wealth management business.

While studying at West Point, he won the Heisman Trophy. He then studied politics and economics at Oxford and became a Rhodes Scholar. He served in the US Army for twenty four years and was made a General Officer. He also ran for the US Senate.

Tony Stucchio will ask Pete Dawkins for his perspective on changes in the financial industry over the years and also ask him to draw on his wealth of experience to provide his insight on what it takes to be a successful leader.

Moderator



Anthony Stucchio

Managing Director, COO- DCRO America's Head & Chief Operations Officer
Deutsche Bank Securities Inc.

Speaker



Brig. Gen. Peter M. Dawkins

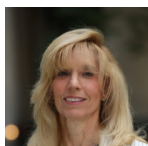
Senior Advisor
Virtu Financial

9:30am – 10:20am

Fireside Chat with the SEC Commissioner

Robert J. Jackson Jr. was appointed by President Donald Trump to the U.S. Securities and Exchange Commission (SEC) and was sworn in on January 11, 2018. Commissioner Jackson has extensive experience as a legal scholar, policy professional, and corporate lawyer. In his discussion with Mary Kay Scucci of SIFMA, he will share his insights on the securities markets and the initiatives of the SEC.

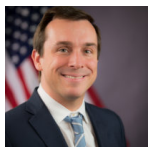
Moderator



Mary Kay Scucci

Managing Director
SIFMA

Speaker

**Robert J. Jackson, Jr.**

Commissioner

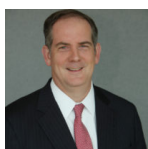
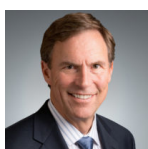
U.S. Securities and Exchange Commission (SEC)

10:20am – 10:40am**Networking Break**

Sponsored by CRB Monitor

10:40am – 11:55am**Electronic Trading and Markets**

Electronic trading has grown dramatically in the equity markets and is beginning to make its way into the fixed income market place. This panel of market experts will discuss market structure generally and in particular, the impact of the use of algorithms and other computerized trading vehicles on the markets.

Moderator**Theodore R. Lazo**Managing Director & Associate General Counsel, Equities
SIFMA**Panelists****Robert L.D. Colby**Executive Vice President and Chief Legal Officer
FINRA**Chris Concannon**President and Chief Operating Officer
MarketAxess**Guy M. Miller**Senior Deputy General Counsel
Citadel Securities**John Ramsay**Chief Market Policy Officer
IEX Group, Inc.**11:55am – 12:30pm****Networking Lunch**

12:30pm – 1:20pm

Economic Update

The global economy has a direct impact on the trading, investment banking, investment advisory and other businesses that securities firms conduct. Senior finance executives need to pay attention to global economist trends and events, so they can appreciate the impact on their firms. Tariffs, immigration policy and event such as Brexit have an impact in Europe, the US and elsewhere. David Kelly will provide his insights regarding the global economy and what may be ahead for us in the US.

Speaker



Dr. David Kelly, CFA

Managing Director, Chief Global Strategist
J.P. Morgan Asset Management

1:30pm – 2:45pm

AICPA Studies of Accounting for and Auditing Digital Assets

The AICPA formed the Digital Assets Working Group with the objective of developing content for preparers and auditors on how to account for and audit digital assets. The Working Group's members are digital assets subject matter experts from international and national firms. The Working Group is split into two subgroups, one focusing on accounting topics, and one focusing on auditing topics. Each subgroup has created a list of topics and has prioritized those that they believe are the most challenging for practitioners and accountants.

Matthew Schell and Amy Steele chair the two subgroups and will discuss the progress of their subgroups and the whitepaper that those subgroups are developing.

Panelists



Christopher Donovan

Partner
Deloitte & Touche LLP



Matthew A. Schell

Partner
Crowe LLP



Amy Steele

Audit & Assurance Partner
Deloitte & Touche LLP

2:45pm – 3:05pm**Networking Break**

Sponsored by Citrin Cooperman

3:05pm – 3:55pm**Financial Industry Analyst**

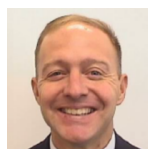
Glenn Schorr is a Senior Managing Director and a Senior Research Analyst covering Brokers, Universal Banks, Asset Managers and Trust Banks. Mr. Schorr has covered the financial sector as a senior analyst since 2000 and has been named to Institutional Investor's All America Research Team for Brokers, Asset Managers & Exchanges sector for the last 8 years. He will provide his views and insights around the economic and regulatory implications that impact the financial services industry.

Speaker**Glenn Schorr**

Senior Managing Director, Senior Research Analyst
Evercore

3:55pm – 4:45pm**Cybersecurity**

Cybersecurity risk is at the top of the list of risks that every financial firm and regulator is concerned about. As a Cyber Event Manager, it is Matt Reiley's job to rapidly synchronize his firm's response to cyber threats, vulnerabilities and incidents that threaten the firm's clients, assets or reputation. Matt will discuss the kinds of cyber events that his group is vigilant for and approaches they take to confront them.

Speaker**Matt Reiley**

Executive Director, Global Head of Cyber Event Management
Morgan Stanley

4:45pm – 4:50pm**Day One Closing Remarks**

Speaker**Michael Lyons**

Chief Financial Officer



National Financial Services

4:50pm – 6:00pm

Networking Reception

Sponsored by BDO

Thursday October 17, 2019

8:00am – 5:05pm

Registration Desk Hours

8:00am – 8:30am

Networking Breakfast

8:30am – 8:40am

Day Two Opening Remarks

Speaker



Christopher Donovan

Partner

Deloitte & Touche LLP

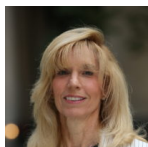
8:40am – 9:30am

Fireside Chat with the FAF

The Financial Accounting Foundation (FAF) is the independent, private-sector, not-for-profit organization responsible for the oversight, administration, financing, and appointment of the Financial Accounting Standards Board (FASB) and the Governmental Accounting Standards Board (GASB). The collective mission of the FASB, GASB, and FAF is to establish and improve financial accounting and reporting standards to provide useful information to investors and other users of financial reports and to educate stakeholders on how to most effectively understand and implement those standards. Noski and Scucci will discuss the mission and work of the FAF as well as share their insights and observations on accounting and finance stemming from their deep experience with corporate industry and professional standard setting associations.

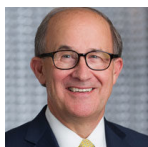
Moderator

Mary Kay Scucci



Managing Director
SIFMA

Speaker



Charles H. Noski
Chairman, Board of Trustees
Financial Accounting Foundation

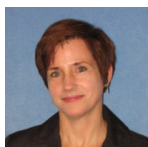
9:30am – 10:20am

Fireside Chat with the PCAOB

The PCAOB is a nonprofit corporation established by Congress to oversee the audits of public companies in order to protect investors and the public interest by promoting informative, accurate and independent audit reports. The PCAOB also oversees the audits of brokers and dealers, including compliance reports filed pursuant to federal securities laws.

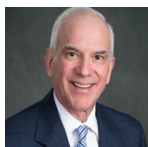
This fireside chat with James Kaiser, from the PCAOB Board, will provide not only an update of the PCAOB's strategic plan's and the PCAOB's focus on innovation in its oversight activities and other initiatives but also provide the opportunity to hear James's unique perspectives. This chat will include his perspectives regarding the future of global digital audits, the changes occurring in the ecosystem around financial reporting, prevention and the detection of audit deficiencies inclusive of more uniform risk-based audit approaches in addition to other current topics.

Moderator



Esther Mills
President and Founder
Accounting Policy Plus

Speaker



James G. Kaiser
Board Member
PCAOB

10:20am – 10:40am

Networking Break

Sponsored by BlackLine Systems, Inc.

10:40am – 11:30am**Accounting Update**

Seth Drucker will discuss recently adopted accounting pronouncements with an emphasis on those that impact the financial services industry.

Speaker**Seth Drucker**Partner
PwC**11:30am – 12:20pm****Creating a Sense of Belonging for All**

Think of your experiences at work or in your personal life where you felt fully valued, understood and seen for all you bring to the table — your background, experiences and skills. What was it about the situation, the environment, the people that created your experience? How did this impact your sense of competence, confidence and success? ... Now, think of a time when you did not feel valued, understood or seen for who you are and what you can contribute. How is that experience and its impact on you different? In this session we will discuss the importance of belonging, behaviors that enable it or reduce one's sense of belonging and how each of us can impact the experience of belonging for ourselves and others, and enable cultural change.

Speakers**Lois Jeffers**Assistant Director, Americas FSO, Talent Team
EY**Michelle Warra**Principal
EY**12:20pm – 1:00pm****Networking Lunch**

Sponsored by EY LLP

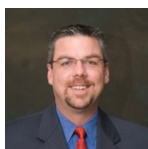
1:00pm – 1:50pm**Updates from SIFMA & the AICPA**

Joseph Seidel and Mark Koziel will provide insights on key initiatives their organizations are embarking on in behalf of their members.

Speakers



Joseph L. Seidel
Chief Operating Officer
SIFMA



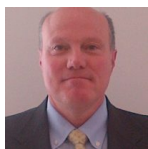
Mark Koziel
Executive Vice President – Firm Services
AICPA

2:00pm – 3:15pm

CFO Panel

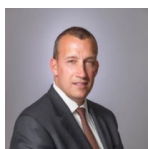
This panel of brokerage firm chief financial officers will discuss, among other things, the roles they have in their firms, the challenges that they face and their view regarding the design and skill set required of securities firm finance departments in the future.

Moderator



Ralph Mattone
Managing Director, Finance
UBS

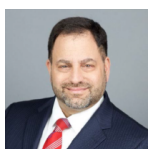
Panelists



Jeffrey Alfano
Executive Vice President and Chief Financial Officer
Oppenheimer & Co., Inc.



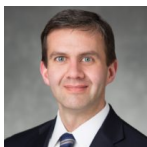
Peregrine C. Broadbent
Executive Vice President and Chief Financial Officer
Jefferies LLC



Eugene Chiulli
Managing Director, Chief Financial Officer - Americas
Nomura Holding America Inc.

Gary Lynn

Managing Director, Global Co-Head of Legal Entity Control and Chief Financial Officer
Morgan Stanley & Co.



3:15pm – 3:35pm

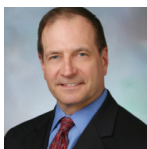
Networking Break

3:35pm – 5:15pm

Regulators' Forum

The banking, securities and commodities regulators have been working on measures that will impact that size and liquidity of brokerage firm balance sheets. These measures will directly impact return on equity and will drive business decisions of the leadership of securities firms. This panel will explore those measures and their impact.

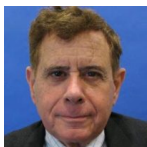
Moderator



Michael P. Jamroz

Retired Partner, Senior Advisor Under Contract
Deloitte & Touche LLP

Panelists



Michael A. Macchiaroli

Associate Director, Division of Trading and Markets
U.S. Securities and Exchange Commission



Thomas J. Smith

Deputy Director, Division of Swap Dealer and Intermediary Oversight
Commodity Futures Trading Commission



Bill Wollman

Executive Vice President, Member Supervision
FINRA

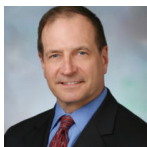
5:15pm – 5:15pm

Closing Remarks

Speaker

Michael P. Jamroz

Retired Partner, Senior Advisor Under Contract
Deloitte & Touche LLP



Attendees are eligible to receive **16.5 hours** of Continuing Professional Education (CPE) Credits for this conference.

AICPA is an accredited CPE provider in the United States. For more information on CPE credits, contact AICPA Conferences at 888.777.7077.