



A CONSTANT
VOICE THROUGH
50 YEARS OF
CHANGE

C&L 2018 ANNUAL SEMINAR

MARCH 18-21 | JW MARRIOTT ORLANDO, GRANDE LAKES | ORLANDO, FL

PROGRAM

Sunday
March 18, 2018

Monday
March 19, 2018

Tuesday
March 20, 2018

Wednesday
March 21, 2018

3:00PM – 8:00PM

Registration Desk Hours

3:00PM – 6:00PM

— Exhibition Hall Hours

Stop by the SIFMA C&L Annual Exhibition Hall to visit over 50 exhibitors, share your thought leadership in the Learning Lab, update your professional headshot and indulge in a specialty coffee break!

— Welcome Hospitality Refreshments

Sponsored by:

[Skadden, Arps, Slate, Meagher & Flom LLP](#)

6:00PM – 8:00PM

— Welcome Networking Reception

Co-Sponsored by:

[Fried, Frank, Harris, Shriver & Jacobson LLP](#)

[Paul, Weiss, Rifkind, Wharton & Garrison LLP](#)

PROGRAM

Sunday
March 18, 2018

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March 21, 2018

6:30AM – 7:30AM	
—	<p>Run for a Purpose</p> <p>Sponsored by:</p> <p>Orrick, Herrington & Sutcliffe LLP</p>
7:00AM – 2:00PM	
	<p>Registration Desk Hours</p>
+	<p>Exhibition Hall Hours</p> <p>Specialty Coffee Stations Sponsored by:</p> <p>Covington & Burling LLP</p> <p>Moore & Van Allen PLLC</p>
7:00AM – 7:30AM	
	<p>Networking Breakfast</p>
7:00AM – 2:00PM	
+	<p>Professional Headshots</p> <p>Sponsored by:</p> <p>KPMG LLP</p> <p>Compliments of KPMG LLP, SIFMA has contracted a professional photographer to provide meeting attendees free professional headshots. The photo booth will be located in Exhibit...</p>
8:00AM – 10:00AM	
	<p>General Session</p>
8:00AM – 8:15AM	
+	<p>Welcome Remarks</p>
	<p>PARTICIPANTS</p> <p>David C. Prince, Michelle Bryan Oroschakoff</p>
8:15AM – 8:30AM	
	<p>50th Anniversary Presentation</p>
8:30AM – 9:00AM	
+	<p>One-on-One with SEC Chairman Jay Clayton and SIFMA President & CEO Kenneth E. Bentsen, Jr.</p>
	<p>PARTICIPANTS</p> <p>Kenneth E. Bentsen, Jr., Jay Clayton</p>
9:00AM – 9:10AM	
+	<p>Presentation of the Alfred J. Rauschman Memorial Award</p> <p>Theodore A. Levine will be awarded with the 2018 Alfred J. Rauschman Memorial Award.</p>
	<p>PARTICIPANTS</p> <p>Louise Guarneri, Stephen M. Cutler, Theodore A. Levine</p>
9:10AM – 10:00AM	
+	<p>Treasury/Capitol Hill Update – Administration and Legislative Priorities</p>
	<p>PARTICIPANTS</p> <p>Andy Blocker, Kevin Bailey, Jeffrey T. Brown, Monique P. Frazier, Craig Phillips</p>

10:00AM – 10:30AM



Networking Break

Co-Sponsored by:

[Cleary Gottlieb Steen & Hamilton LLP](#)

[Stroock & Stroock & Lavan LLP](#)

10:00AM – 10:20AM



Learning Lab: The Growing Rewards and Risks of Managed Account Programs for Retail Wealth Management

Hosted by:

[Deloitte](#)

The session will explore the exceptional amount of growth in the space over the past five years and why that growth is likely to continue. ...

PARTICIPANTS

Joshua Uhl

10:30AM – 11:45AM



20th Century Rules, 21st Century Technology: Compliance in the Digital/Virtual World

Firms' Use Of Newer Media Challenges Of Mobile Devices and "Bring Your Own Device" (BYOD) Programs Voice Recording Surveillance and Production – Regulatory Expectations Vs. Available Technology Employee Social Media...

PARTICIPANTS

Amy Watson, Grace Ang, Kerry Gendron, Jim Giles, Carmen Lawrence



Capital Markets Compliance

Managing and Tracking Confidential Information in Multiple Client Financing Engagements Managing Conflicts Of Interest Connected Hires Issues Related To A Private Company Accessing the Equities Market: From Private to Public...

PARTICIPANTS

Anthony DeRose, Paul Carlesimo, Dana Fleischman, Darian Futrell, Michele Siano



Conflicts Management: Retail & Institutional Issues

Recent M&A Financial Advisory Conflict Cases Defining and Identifying Conflicts Of Interest In Securities Underwriting, Institutional Sales & Trading and Investment Research Techniques For Managing Conflicts Of Interest Regulatory Expectations...

PARTICIPANTS

Scott Flood, Tonia Bottoms, Carlo V. di Florio, Michael Keats, David Levine, Rich Link



Diversity and Inclusion: Strategies and Solutions to Address Ethical, Leadership and Business Considerations – DIVERSITY, INCLUSION & ELIMINATION OF BIAS (NEW YORK CLE) and ETHICS CLE

Ethical, Policy, and Business Considerations How to Be an Effective and Inclusive Leader Today and Tomorrow Understanding the Interplay among Clients, the Judiciary and Regulators Recent Developments and Best Practices

PARTICIPANTS

Nate Saint Victor, Debo P. Adegbile, Gabrielle Brown, Caroline Butlerjahn, Charis Jones



DOL Fiduciary Rule: What Now?

Recent Developments On Fiduciary Standards From States, Regulators, and Other Standard Setters Operating Under the Impartial Conduct Standards During the Transition Period Critical Broker-Dealer Issues: Rollovers, Compensation To Firms and...

PARTICIPANTS

Tammy Bawnik, Lisa J. Bleier, Michelle Kelley, Daniel Kleinman, Carlos Pelayo



MA: Global CCO Perspectives

Running Compliance like a Business Adapting for the Future - How Technology and Data are shaping Compliance Compliance Risk - Appetite and Measurement Evolving Scope - Compliance's role in relation...

PARTICIPANTS

Eric Gallinek, Mark Carawan, Herbert Janick, John Polanin, Jr., Pamela Root, Sarah E. Smith



MA: Litigating with Current Employees – Risks, Strategies and Best Practices

Impact Of the #Metoo Movement Litigating Harassment and Discrimination Claims Avoiding Retaliation Claims Thorny Issues: Contact With Litigants, Regulatory Inquiries and Examinations, Performance Issues and the Media

PARTICIPANTS

Keri Matthews, Lisa Bertain, Allan Garcia, James McLoughlin, Carole Miller

+	<p>MA: Litigation Update – Regulatory and Criminal</p> <p>New Enforcement Priorities: Cybersecurity, Cryptocurrency and ICOs Insider Trading and Front Running – New Cases, New Theories Misconduct Abroad, Enforcement At Home – Substantive and Procedural Issues In Global Investigations...</p>	<p>PARTICIPANTS</p> <p>Elaine Mandelbaum, Martine Beamon, Andrew J. Ceresney, Steven Peikin, John Savarese, Samuel Seymour</p>
+	<p>MA: Private Client Enforcement Developments</p> <p>Focus On Products: 529 Plans, UITs, Mutual Funds, Variable Annuities and Municipal Securities Regulatory Focus On AML: Monitoring, Investigations, SAR Filings and Customer Due Diligence Recidivist Financial Advisors: Pattern Vs...</p>	<p>PARTICIPANTS</p> <p>Mark Keene, Kevin Carroll, Michael Freedman, Julie Glynn, Nadar Salehi, Susan A. Schroeder</p>
+	<p>MA: Selecting and Managing Outside Counsel and Other Vendors</p> <p>Top 15 tips to outside counsel for maintaining and growing the attorney-client relationship. Setting the ground rules for outside counsel and vendors and best practices for communicating expectations. How to...</p>	<p>PARTICIPANTS</p> <p>Janet Broeckel, Rose Battaglia, Jill Centella, Kelly Moore, Lani Quarmby</p>
+	<p>MA: Swaps and OTC Derivatives</p> <p>Derivatives Regulation 2.0: Potential Changes To CFTC Regulations Cross-Border Regulation Of Derivatives: Overview Of Recent Substitute Compliance Determinations and Related Issues Regulatory Developments Regarding Derivatives Linked To Cryptocurrencies Regulator Updates...</p>	<p>PARTICIPANTS</p> <p>Angie Karna, Kyle Brandon, Michelle Broome, Annette Nazareth, Jamila Piracci, Felicia Rector</p>
11:45AM – 12:15PM		
+	<p>Networking Break</p> <p>Co-Sponsored by:</p> <p>Norton Rose Fulbright</p> <p>Weil, Gotshal & Manges LLP</p>	
11:45AM – 12:05PM		
+	<p>Learning Lab: Compliance and Legal in a Disrupted World</p> <p>Hosted by:</p> <p>Accenture LLP</p> <p>From digital transformation and the race to innovate to regulatory requirements and client demands, financial institutions are being squeezed from all sides, replacing the...</p>	<p>PARTICIPANTS</p> <p>Steve Culp</p>
12:15PM – 1:30PM		
+	<p>MB: 50 years of Crisis Management – Lessons Learned from SIFMA C&L Past Presidents</p>	<p>PARTICIPANTS</p> <p>David DeMuro, R. Gerald Baker, Beth Dorfman, Robert Errico, Louise Guarneri, Michael Stone, Edward Turan</p>
+	<p>MB: Algo and Electronic Equity Market Trading</p> <p>Market Access: Current State, Best Practices Best Execution: Finra/SEC Expectations; November 2017 Sweep Letter; Best Practices Consolidated Audit Trail: Current State; Expectations; Issues Technology Governance: Algo Development & Change Management,...</p>	<p>PARTICIPANTS</p> <p>Maura Miller, Jeffrey T. Brown, Thomas Gira, T.R. Lazo, Stephen Luparello, Andre Owens</p>
+	<p>MB: Arbitrating in the FINRA Forum</p> <p>FINRA Dispute Resolution Update Proposed New Expungement Rules Issues In Arbitrator Selection: Data Aggregation Tools, Motions For Recusal, Replacement Arbitrators Nonparty Issues: Confidentiality, Third Party Discovery, Non-Party Witnesses Looking Ahead...</p>	<p>PARTICIPANTS</p> <p>Kenneth Crowley, Brian F. Amery, Richard Berry, Patricia Cowart, Shannon McDougald, Wendy Menghini</p>
+	<p>MB: Cybersecurity Update: Combating an Evolving Threat</p> <p>The Changing Risk/Threat Landscape The Evolving Regulatory Environment Managing the Insider Threat Data Breach Trends: How To Protect Sensitive Data 2018 Regulatory Examination Priorities</p>	<p>PARTICIPANTS</p> <p>Thomas M. Wagner, Mark Belanger, Jonathan G. Cederbaum, Chris Hetner, Kevin Jacobsen, Alan Charles Raul</p>

+	<p>MB: Diminished Capacity Issues for Investors and Advisors</p> <p>Diminished Capacity: Latest Overview and Research FINRA Rules 2165 & 4512: Implementation Progress & Challenges Training & Education Federal Legislation: SeniorSafe, Elder Abuse Prevention and Prosecution Act State Report-and-Hold: Laws,...</p>	<p>PARTICIPANTS</p> <p>Ronald Long, Suzy Auletta, Marin E. Gibson, Michael Rufino, Alex Sabo, Judith Shaw</p>
+	<p>MB: Everyday Legal Ethical Issues – ETHICS CLE</p> <p>Ethical Balancing Acts: In-House Lawyer As Gatekeeper, Counselor & Conscience Privilege Considerations In Our Current Regulatory Environment: Protections, Waiver and Other Issues Navigating Multi-Party Representation: Current and Former Employees, Management,...</p>	<p>PARTICIPANTS</p> <p>Wayne Carlin, Evan Barr, Christopher Gilkerson, Ghillaine A. Reid</p>
+	<p>MB: Global Antitrust Litigation and Investigations</p> <p>Regulatory and enforcement trends Managing multiple regulators Individuals at the periphery or in the crosshairs? Civil litigation</p>	<p>PARTICIPANTS</p> <p>Mei Lin Kwan-Gett, John K. Carroll, Matthew Fitzwater, Matthew Readings, Jon Roellke, Alexander Willscher</p>
+	<p>MB: Legal & Compliance Considerations for International and Cross-Border Businesses</p> <p>Running Global Businesses With Conflicting Cross Border Regulations and Booking Models SEC Rule 15a-6 and Global Cross Border Businesses: How to Chaperone in A 24/7 Digital World. Data & Privacy:...</p>	<p>PARTICIPANTS</p> <p>Amy Reich, Scott W. Anderson, Andrea DeMar, Christina Dugger, Barbara A. Stettner</p>
+	<p>MB: Litigation Update: Major Civil Cases</p> <p>The Wait for Cyan – Implications and Practical Considerations Item 303 of Reg S-K: Leidos and the Unresolved Split CalPERS, Statutes of Limitation, and Statutes of Repose The Legacy of...</p>	<p>PARTICIPANTS</p> <p>James Mangan, Adam Hakki, Brad Karp, Jay Kasner, Maeve O'Connor</p>
+	<p>MB: Privilege and Work Product Protections: Ethical Considerations for In-House Teams – ETHICS CLE</p> <p>Privilege and Work Product Issues When Dealing With Regulators CSI and the Privilege: Avoiding Improper Disclosure Of Banking Regulator Materials and Other Considerations Privilege and Work Product Issues When Communicating...</p>	<p>PARTICIPANTS</p> <p>Allison Patton, Pamela Chepiga, Michele Coffey, Suzanne Elovic, Merri Jo Gillette, Andrew Sidman</p>
+	<p>MB: Workshop: Anatomy of a New Product and the Development of Supervisory/Compliance System</p> <p>What Is "New" and What Is A "Product" and How Are New Products Identified? What Do Enterprise New Product Governance Models Look Like, Especially With Differing Businesses? What Is the...</p>	<p>PARTICIPANTS</p> <p>John Ivan, Tricia Centeno, Philip W. Gallo, Ben A. Indek, Rose-Anne Richter, Alexander Schneble</p>
1:30PM – 2:30PM		
+	<p>Networking Lunch</p> <p>Sponsored by:</p> <p>Jones Day</p>	
+	<p>Women's Luncheon</p> <p>Sponsored by:</p> <p>Clifford Chance</p> <p>All are Welcome.</p> <p>Pre-registration required.</p> <p>Please contact clsociety@sifma.org</p>	<p>PARTICIPANTS</p> <p>Leslie R. Caldwell</p>
+	<p>Lunch & Learn: Compliance and Legal 2020</p> <p>Hosted by:</p> <p>Accenture LLP</p> <p>Pre-registration is required</p> <p>Join leaders of Accenture's Regulatory and Compliance practice to discuss how industry leading Compliance and Legal functions are today adapting to...</p>	<p>PARTICIPANTS</p> <p>Chris Beck, Jonathan Frieder, Samantha Regan, Ben Shorten, Robimon Varughese</p>

Program as of 3/26/18. All information subject to change. For the most current program, visit www.sifma.org.

+	<p>Lunch & Learn: Social, Mobile, Cloud: Welcome to the Next Generation of Compliance & Discovery</p> <p>Hosted by:</p> <p>Actiance, Inc.</p> <p>Pre-registration is required</p> <p>In 2016 FINRA brought 1434 disciplinary actions against registered individuals and firms, and levied \$176.3M in fines.</p> <p>With the ongoing onslaught...</p>	<p>PARTICIPANTS</p> <p>Robert Cruz, Jonathan Rudolph, J.D., Marianna Shafir</p>
+	<p>Lunch & Learn: GDPR: Beyond the Talk, Let's Get to the Execution</p> <p>Hosted by:</p> <p>ZL Technologies, Inc.</p> <p>Pre-registration is required</p> <p>GDPR compliance is becoming a top priority for the financial services industry, but much of the buzz fails to capture...</p>	<p>PARTICIPANTS</p> <p>Kon Leong</p>
+	<p>Golf Tournament</p> <p>The Ritz-Carlton Golf Club, Orlando.</p> <p>Pre-Registration is required.</p> <p>Please contact clsociety@sifma.org</p>	
6:00PM – 8:00PM		
+	<p>Networking Reception</p> <p>Co-Sponsored by:</p> <p>Davis Polk & Wardwell LLP</p> <p>Morgan, Lewis & Bockius LLP</p> <p>Sullivan & Cromwell LLP</p>	

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Exhibition Hall Hours

Specialty Coffee Stations Sponsored by:

[Hogan & Lovells US LLP](#)

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7:00AM – 7:40AM



Networking Breakfast

Sponsored by:

[Wachtell, Lipton, Rosen & Katz](#)

7:00AM – 7:45AM



Diversity & Inclusion Breakfast

Sponsored by:

[WilmerHale](#)

All are Welcome. Pre-registration required. Please contact clsociety@sifma.org

PARTICIPANTS

Christopher Lewis, Ronald E. Wood

7:00AM – 2:00PM



Professional Headshots

Sponsored by:

[KPMG LLP](#)

Compliments of KPMG LLP, SIFMA has contracted a professional photographer to provide meeting attendees free professional headshots. The photo booth will be located in Exhibit...

8:00AM – 9:50AM

General Session

8:00AM – 8:05AM

Welcome Remarks

8:05AM – 8:35AM



One-on-One with FINRA's President & CEO Robert Cook and SIFMA Executive Vice President & General Counsel Ira D. Hammerman

PARTICIPANTS

Robert W. Cook, Ira D. Hammerman

8:35AM – 9:50AM



Enforcement Panel

PARTICIPANTS

Stephen M. Cutler, Stephanie Avakian, David Green CB QC, James McDonald, Steven Peikin, Susan A. Schroeder, Mary Jo White

9:50AM – 10:20AM



Networking Break

Sponsored by:

[Cadwalader, Wickersham & Taft LLP](#)

9:50AM – 10:10AM		
+	<p>Learning Lab: WORM in the Cloud: Is it Ready?</p> <p>Hosted by:</p> <p>Deloitte</p> <p>We explore: 1) the many potential benefits that the Cloud may present for recordkeeping technology used by financial services firms and 2) the compliance and legal...</p>	<p>PARTICIPANTS</p> <p>Terry Bock</p>
10:20AM – 11:35AM		
+	<p>TA: Ask FINRA: A Panel of Senior FINRA Officials Responds to Your Questions</p> <p>Examinations Enforcement Market Regulation Rulemaking</p>	<p>PARTICIPANTS</p> <p>Howard R. Plotkin, Robert Colby, Thomas Gira, Susan L. Merrill, Michael Rufino, Susan A. Schroeder, Bill Wollman</p>
+	<p>TA: Conduct Risk & Leveraging Technology for Behavioral Patterns and Trends</p> <p>What is Conduct Data and Where does it Come From? Who Owns Collection and Reporting? Use of Predictive Analytics for Future Conduct Getting More from E-Comm, Voice and Surveillance Reviews...</p>	<p>PARTICIPANTS</p> <p>Jill Ostergaard, Mario DiFiore, Daniel Kosowsky, Michael Schlee, Grace Vogel</p>
+	<p>TA: Current Considerations in Settling or Litigating Enforcement Matters</p> <p>Internal Reviews and Self-Reporting Fact-Gathering Representation and Conflicts Managing Parallel Investigations The Pre-Wells and Wells Process Resolutions Considerations of Changes in the Regulatory Landscape with the New Administration</p>	<p>PARTICIPANTS</p> <p>David Markowitz, Alex Bourelly, Kevin M. Loftus, Kathryn H. Ruemmler, Linda Thomsen, David Meister</p>
+	<p>TA: Current Issues in Bank Regulation</p> <p>People Are Policy: Update on New Players at the Agencies and in the Administration Legislation: Tax Bill Implications for the Industry, Senate and House Regulatory Relief Legislation Efforts and Other...</p>	<p>PARTICIPANTS</p> <p>Carter K. McDowell, Hugh C. Conroy, Jr., Kathryn McCulloch, Reena Agrawal Sahni, Phillip Wertz</p>
+	<p>TA: Current Issues in Prime Brokerage, Securities Lending and Custody</p> <p>Continuing Regulatory Focus on Customer and Asset Protection: Possession & Control, 15c3-3 and Assets Held Away Current Interpretative Issues under Reg SHO The Regulatory Perspective: Exam Findings, Priorities and Other...</p>	<p>PARTICIPANTS</p> <p>Robert O'Connor, Ornella Bergeron, Kevin J. Campion, Michael Huber, Michael A. Macchiaroli</p>
+	<p>TA: Fixed Income: Corporate and Municipal Sales & Trading</p> <p>Fixed Income Markup Disclosure Best Execution Enforcement Actions Life after LIBOR Muni Hot Topics Loans vs. Securities</p>	<p>PARTICIPANTS</p> <p>John Juul, Elizabeth H. Baird, Leslie Norwood, Michael L. Post, Timothy Smith, Michelle Wilke</p>
+	<p>TA: Handling Whistleblowers: Best Practices in Responding to Allegations</p> <p>Key Elements of the SEC's Whistleblower Program: Rewards, Anti-Retaliation, Prohibitions on Impeding Communications to Agency. Best Practices: Investigating Allegations, Internal Reporting and Treatment of Whistleblowers. Whether and When to Report...</p>	<p>PARTICIPANTS</p> <p>Jennifer Inker, George S. Canellos, Patrick Cox, Colleen P. Mahoney, Lorin L. Reisner, Louis Santangelo</p>
+	<p>TA: Legal Issues for Small and Regional Firms</p> <p>The Legal Department: Structural Considerations and Role in Risk Management Addressing Unique Issues from the Small/Regional Standpoint Regulation Through Enforcement: the Trend Continues Whistleblowers From the Small/Regional Firm Perspective The...</p>	<p>PARTICIPANTS</p> <p>Jane Matoesian, Gary England, Peter S. Fruin, Steven Greenbaum, James Ritt</p>
+	<p>TA: Misconduct from an Acorn to an Oaktree</p> <p>Identifying Potential Misconduct Following up on Red Flags Developing an Effective Conduct Metrics Program Imposing Discipline for Misconduct Thresholds for Regulatory Reporting: When does the Firm Need to "Fess Up"?</p>	<p>PARTICIPANTS</p> <p>Gary Rosen, Hannah Berkowitz, James McHale, Dan Rosenbaum, Douglas Siegel, Michael Walsh</p>

+	<p>TA: The Supreme Court and the Financial Services Industry</p> <p>An insider's view of the Supreme Court How to Shape a Case for Review and the Role of the Solicitor General Landmark cases Shaping the Financial Services Industry: Cyan, China...</p>	<p>PARTICIPANTS</p> <p>Mary Reisert, Roman Martinez, Erin E. Murphy, Mark A. Perry, Barry Richard, Paul R.Q. Wolfson</p>
+	<p>TA: Developing Your Leadership Skills</p> <p>Building a Team That Collaborates Managing Internal and External Relationships Finding or Becoming a Mentor</p>	<p>PARTICIPANTS</p> <p>Bari M. Havlik, Susan F. Axelrod, Brandon A. Gilchrist, Stacie Owens, Neil Rosolinsky</p>
<p>11:35AM – 12:05PM</p>		
<p>Networking Break</p>		
<p>11:35AM – 11:55AM</p>		
+	<p>Learning Lab: How to Clean Up Files for Governance and GDPR</p> <p>Hosted by:</p> <p>ZL Technologies, Inc.</p> <p>As file shares grow, risks expand, intensifying interest in files cleanup. However, as new data flows in, cleanup becomes a constant game of...</p>	<p>PARTICIPANTS</p> <p>Kon Leong</p>
<p>12:05PM – 1:20PM</p>		
+	<p>TB: Compliance Coverage of Non-Revenue Areas (Finance, Technology, OPS)</p> <p>Key Regulator Expectations Identifying & Supporting Finance, Technology, OPS Professionals Automated vs. Manual Processes in Support a\Areas Supporting Use of Machine Learning & AI in the Business Keeping up with...</p>	<p>PARTICIPANTS</p> <p>Norman Ashkenas, John V. Ayanian, Emma Bredin, Joseph Lodato, Karen Trapani</p>
+	<p>TB: Arbitration: Issues and Strategies</p> <p>Litigating Claims by Senior Investors Case Evaluation: The "Reach For Yield" Portfolio Case Evaluation: The "Well-Managed" Portfolio Damages: Cherry-Picking Securities, Accounts and Time Frames</p>	<p>PARTICIPANTS</p> <p>Harry T. Walters, Darya Geetter, Mai Klaassen, Donald R. Littlefield, Andrew Melnick</p>
+	<p>TB: Building and Maintaining an Ethical Culture – ETHICS CLE</p> <p>What is an Ethical Culture and Why Does it Matter? Operationalizing an Ethical Culture Recent Developments in the Culture/Conduct Space The Regulatory Perspective Legal Ethics and Heightened Regulatory Scrutiny: Evolving...</p>	<p>PARTICIPANTS</p> <p>I. Scott Bieler, Belinda Blaine, Mike Silva, Mark Steffensen, Carlo V. di Florio</p>
+	<p>TB: Current Developments in AML</p> <p>Countdown to May 2018: Customer Due Diligence Rule Top Of Mind for the Regulators: Exam Findings and Priorities On the Cutting Edge/Hot Topics in AML, Including Bitcoin and Other Cryptocurrencies,...</p>	<p>PARTICIPANTS</p> <p>Katrina A. Carroll, Charlie George, Jeffrey Horowitz, Satish M. Kini, Aseel Rabie, Michael Rufino</p>
+	<p>TB: Handling a Regulatory Investigation – In house and Outside Counsel Perspectives</p> <p>Best practices in responding to subpoenas and interview requests, and in conducting effective internal investigations Recent regulatory initiatives Reporting ramifications Joint representations</p>	<p>PARTICIPANTS</p> <p>Maria Douvas, Christian R. Bartholomew, Caroline Hall, David Knight, James Meadows, Lee S. Richards III</p>
+	<p>TB: Institutional Equity Sales and Trading</p> <p>Market Structure Initiatives and Updates on Reg ATS, Order Routing, Access Fees Desk Commentary Updates & On-going MiFID Challenges for Global Dealers; Research Unbundling, Restrictions on Dark Liquidity and Other...</p>	<p>PARTICIPANTS</p> <p>C. Annette Kelton, James Brigagliano, Matthew Danton, Jon Kroeper, Nick Sahadi</p>
+	<p>TB: Legal Issues in Investment Banking</p> <p>Managing Information and Conflicts Inside an Underwriter New Avenues for Accessing Capital Markets Cybersecurity - Legal Issues in Emerging Technologies New Developments in Corporate Control and Governance Legal Challenges and...</p>	<p>PARTICIPANTS</p> <p>Patrick Moran, Craig Barrack, Todd Baskin, Sipi Bhandari, Michael Kaplan</p>

+	<p>TB: Private Client Firms: Key Legal and Regulatory Issues</p> <p>Evolving "Retail" Standards of Care (SEC, DOL, CFP, States) Sales Practices and Incentive Compensation New and Innovative Products Securities Based-Lending and Margin Oversight Enforcement and Litigation Environment</p>	<p>PARTICIPANTS</p> <p>Anne Cooney, Joe Fleming, Jack McGuire, Scott M. Murray, Neal E. Sullivan, Brent H. Taylor</p>
+	<p>TB: Workshop on Protecting Against Ponzi Schemes and Penny Stock Fraud</p> <p>Detecting and Preventing Third Party Fraud Red Flags and Controls Detecting and Preventing Fraudulent Employee Involvement and Schemes The Role of AML Coordinating with Internal and External Parties</p>	<p>PARTICIPANTS</p> <p>Greg Ruppert, Joseph P. Borg, Karen Crupi, Henry Klehm III, Ilene Marquardt, Scott Nussbum</p>
+	<p>TB: Compliance for Small and Regional Firms</p> <p>Senior Investors Privacy & Cybersecurity Anti-Money Laundering New AML Risks Examination and Risk Management Speed-Dating</p>	<p>PARTICIPANTS</p> <p>Carrie Chelko, Jacqueline Beauprez, Jeffrey Freiburger, Paula D. Shaffner, Alan Smith</p>
+	<p>TB: Using Data Analytics to Enhance Compliance Programs</p> <p>Data Analysis Basics How Regulators are Using Data Analytics Transforming Data into Strategy Emerging Trends and Issues in Data Analytics Regulatory Expectations</p>	<p>PARTICIPANTS</p> <p>Janet Epstein, Giulio Girardi, Scott B. Reents, Jonathan S. Sokobin, Mayur Thakur</p>
1:20PM – 2:30PM		
+	<p>Networking Lunch</p> <p>Sponsored by:</p> <p>Cravath, Swaine & Moore LLP</p>	
+	<p>Lunch & Learn: Balancing the Three Legged Stool of Litigation/Compliance: Inside Counsel, Outside Counsel and Discovery Vendors</p> <p>Hosted by:</p> <p>Integreon</p> <p>Pre-registration is required</p> <p>Operationalize processes to support reasonable, repeatable, and defensible discovery in litigation and regulatory inquiries and investigations. Topics will include options to work...</p>	<p>PARTICIPANTS</p> <p>Neil Bloomfield, Robert Daniel, Craig Smith, Jamal Stockton</p>
+	<p>Lunch & Learn: Protecting Your Legal Department: eDiscovery Hot Button Issues for Lawyers Who Don't Care about eDiscovery</p> <p>Hosted by:</p> <p>QuisLex, Inc.</p> <p>Pre-registration is required</p> <p>Senior in-house counsel and law firm partners often don't concern themselves with the nuances of eDiscovery or the day-to-day details of how...</p>	<p>PARTICIPANTS</p> <p>Kelly Carrero, Sirisha Gummaregula, Joseph Polizzotto, Kelli Stenstrom</p>
+	<p>Lunch & Learn: You Are What You Eat: How Data Impacts your BSA/AML and OFAC Program</p> <p>Hosted by:</p> <p>Exiger</p> <p>Pre-registration is required</p> <p>You've been improving the fitness of your BSA/AML and OFAC program to meet increasingly stringent regulatory demands. But, is bad data sabotaging...</p>	<p>PARTICIPANTS</p> <p>Brandon Daniels, John Melican</p>

3:00PM – 5:00PM



Build-A-Bike, A SIFMA C&L Community Service Event

Sponsored by:

[Sidley Austin LLP](#)

All are Welcome.

Pre-registration required.

Please contact clsociety@sifma.org

6:00PM – 8:30PM



50th Anniversary Reception

Co-Sponsored by:

[Allen & Overy LLP](#)

[Bressler, Amery & Ross, P.C.](#)

[Exiger](#)

[Kirkland & Ellis LLP](#)

In celebration of the Annual Seminar's 50TH Anniversary, please join...

10:00PM – 12:00AM



After Hours Evening Reception

Co-Sponsored by:

[Crowell & Moring LLP](#)

[Ropes & Gray LLP](#)

PROGRAM

Sunday
March 18, 2018

Monday
March 19, 2018

Tuesday
March 20, 2018

Wednesday
March 21, 2018

7:15AM - 11:55AM		
	Registration Desk Hours	
+	Exhibition Hall Hours Stop by the SIFMA C&L Annual Exhibition Hall to visit over 50 exhibitors, share your thought leadership in the Learning Lab, update your professional headshot and indulge in a specialty...	
7:15AM - 8:00AM		
	Networking Breakfast	
8:30AM - 9:45AM		
	General Session	
8:30AM - 8:45AM		
	Welcome Remarks	
8:45AM - 9:45AM		
+	Featured Speaker General Michael Hayden	PARTICIPANTS General Michael Hayden
9:45AM - 10:20AM		
	Networking Break	
10:20AM - 11:35AM		
+	WA: Artificial Intelligence: Governance and Other Considerations for Legal and Compliance Understanding Artificial Intelligence: A Technology Spectrum Using AI in the Business and Control Functions Looking out for Unintended Consequences Managing Risks and Governance	PARTICIPANTS Alexander C. Gavis, Cheryl L. Haas, Amy Hinzmann, Kavita Jain, Natalie R. Williams
+	WA: Avoiding Pitfalls in the Recruitment Process The Protocol: Dead, Alive or on Life Support? Social Media Issues Legislative Updates Affecting Recruiting The "Top 10" Summary	PARTICIPANTS AnnMarie Davis, John P. Davis, David Erb, Julie L. Taylor
+	WA: Coverage Challenges for International Private Clients Foreign License and Registration for Products and Lending when Servicing Clients Resident Outside the US Legal Consideration when Traveling to meet Clients Outside of the US FACTA, AEI/CRS, and other...	PARTICIPANTS Alison Morpurgo-Cotter, James Collins, Lucas Glass, Rebecca Leon, Joan Schwartz
+	WA: Digital Advice Platforms: Compliance & Legal Challenges Overview of the Digital Marketplace Regulatory Compliance Hot Topics Sales Practice and Marketing	PARTICIPANTS David C. Heaton, David Forman, Jennifer Grego, Susan Steintal, Stephen P. Wink
+	WA: Financial Crimes Crossroads: Sanctions, Bribery, and AML Increasing Convergence Between FCPA and Sanctions Recent Cases/Prosecutions Show Convergence with AML and Sanctions Convergence Between AML and Sanctions Addressing Convergence in Compliance Programs	PARTICIPANTS Jeffrey Harwin, Carlton Greene, Katie Allen Kessler, Jeffrey M. King, Thomas Koffer

+	<p>WA: General Counsel Roundtable</p> <p>Me Too/Time's Up Legal Operations Cybersecurity Ethical Issues around Big Data Ethical issues facing Attorneys of Public/Regulated Companies – Focusing on Enforcement Actions and Whistleblower Issues</p>	<p>PARTICIPANTS</p> <p>Christopher Lewis, Jessica S. Carey, Adam Meshel, Michelle Bryan Oroschakoff, Jonathan Santelli</p>
+	<p>WA: Latest Developments Affecting Research</p> <p>FINRA: Research Updates “Paying” for Research: MIFID II and Regulatory Implications Accessing “Big Data” for Research: Privacy and other Concerns Disclosure and other Automated Failures Recent Regulatory Developments</p>	<p>PARTICIPANTS</p> <p>Pamela Torres, Raymond Abbott, Sean C. Davy, Sofia Logue, Stephanie Nicolas, Philip Shaikun</p>
+	<p>WA: Going to Trial with the Government</p> <p>Considerations for Individuals Versus Financial Institutions Recent Court Decisions Limiting the Government’s Civil and Criminal Enforcement Powers Thinking Strategically About Discovery – What Are Your Pretrial and Trial Goals? Looking...</p>	<p>PARTICIPANTS</p> <p>Joshua E. Levine, Bridget Fitzpatrick, Randall Lee, Michael Schachter, Matthew Solomon</p>
+	<p>WA: Ongoing Challenges of the Volcker Rule</p> <p>The Future of the Volcker Rule The Volcker Rule and the Compliance Model Monitoring and Testing Program Training Compliance Risk Assessment Attestation and Sub-Attestation Process Governance Model Foreign Bank Issues...</p>	<p>PARTICIPANTS</p> <p>Rena Shadowitz, David Lynch, Jai Massari, Ryan Taylor</p>
+	<p>WA: Understanding Bank Regulatory Expectations of Compliance Programs</p> <p>Elements of a Comprehensive Compliance Framework The CCO’s Expanding Remit Conduct and Accountability Navigating Regulatory Expectations in a Changing Regulatory Environment</p>	<p>PARTICIPANTS</p> <p>Nancy Swift, David DiBari, Raymond Dorado, Una Neary, Andrew Weinberg</p>
+	<p>WA: WORM Farming: The Care and Feeding of Data from Creation to Deletion</p> <p>WORM storage requirements under the Federal Securities Laws Best practices for Recordkeeping throughout the Data Life Cycle Challenges of Recordkeeping for Emerging Technology and Products Lessons Learned from Recent Disciplinary...</p>	<p>PARTICIPANTS</p> <p>Melissa MacGregor, Mariano Agmi, Mike Conley, Paul A. Merolla, Hillary Russell-Pelletier</p>

11:35AM – 11:55AM

Networking Break

11:55AM – 1:10PM

+	<p>WB: Anti-Fraud Framework</p> <p>Fraud Trends (e.g. increased volumes of elder financial exploitation, cyber events). The convergence between the Fraud Detection and AML Activities (e.g. Regulators holding AML officers responsible for Anti-Fraud failures in...</p>	<p>PARTICIPANTS</p> <p>Elizabeth “Paige” Baumann, James Fiebelkorn, John O’Neill, Paul M. Tyrrell</p>
+	<p>WB: Compliance Risk Assessments</p> <p>Building an Effective Enterprise Compliance Risk Assessment Program Practical Tips for Complete and Effective Risk Analysis and Mitigation Regulatory Recommendations and Expectations Defining, Identifying and Mitigating Risk, including Conduct Risk...</p>	<p>PARTICIPANTS</p> <p>Helene Jepson, Nanna Goodfellow, Gina E. Hyde, Kathleen Maloney, Mike Nicholson</p>
+	<p>WB: Internal Investigations: A Simulation</p> <p>Ethical Issues - Upjohn Warnings, Conflicts and Representation Issues/Indemnification, Privilege and Whistleblowers Witness Interview and Document Collection Pitfalls Balancing Parallel Regulatory Inquiries with Internal Investigations Challenges from Increasing Employee Use...</p>	<p>PARTICIPANTS</p> <p>Andrew Stemmer, Patricia Canavan, Colleen Conry, Steven R. Glaser, Julie M. Riewe, Richard C. Tartowe</p>
+	<p>WB: Investment Adviser Considerations for Dual Registrants</p> <p>Key Themes in SEC Examinations and Enforcement Actions Managing Different Standards of Care Focus on Retail Investor Protection Supervision of Representatives Providing Investment Advice Robo-Advisors, Rule 3a-4 and Technology Governance</p>	<p>PARTICIPANTS</p> <p>Kurt Lofgren, Mackenzie Crane, Mara Galeano, Jennifer Klass, Maureen Sheehan</p>

+	<p>WB: Managing an Information Security Breach: Regulatory and Reputational Considerations</p> <p>Changing Regulator views on Security Breaches The Evolving Threat Landscape Information Sharing Proactive Preparation and Risk Mitigation Incident Response</p>	<p>PARTICIPANTS</p> <p>Christine Frye, Patrick Chavez, Michael S. Pieciak, James E. Powell, Paul M. Rosen, Heather Egan Sussman</p>
+	<p>WB: Outsourcing: Vendors, Technology and Data Storage</p> <p>Regulatory Considerations Features of a Strong Due Diligence Process Protecting Your Data and Guarding Against Data Breaches and Cyber Risk Business Resilience in the Event of Outsourcing Failure Investing in...</p>	<p>PARTICIPANTS</p> <p>Iain Duke-Richardet, Yoon-Young Lee, Melissa MacGregor, Matthew Moore</p>
+	<p>WB: Negotiating Skills: Learn from the Experts – ETHICS CLE</p> <p>Effective Strategies and Tactics Key Factors Affecting Success Stages of Negotiation Ethical Issues in Negotiation: Good Faith, Conflicts, Confidentiality</p>	<p>PARTICIPANTS</p> <p>Joe Salama, David M. Brodsky, Geoffrey R. Chopiga, Tracy L. Gerber, Charlene Jones, Peter Kozlowski</p>
+	<p>WB: Virtual Currencies – Tales from the “Crypt”</p> <p>Creation and Explosion of Digital Currencies. Who’s your miner? Payment networks vs Market Speculation Bitcoin, Ripple, Litecoin and others – Decentralized, Distributed open Source vs Peer to Peer What’s in...</p>	<p>PARTICIPANTS</p> <p>Bari Jane Wolfe, Joseph P. Borg, Susan Boudrot, Gus Stergiopoulos, Valerie A. Szczepanik</p>

1:10PM – 1:10PM

Seminar Adjourns