



FMS REGIONAL CONFERENCE

June 7-9, 2017 Fairmont Chicago, Chicago, IL

24TH ANNUAL

WEDNESDAY, JUNE 7

06:00pm - 07:30pm Welcome Reception

THURSDAY, JUNE 8

08:00am - 05:00pm Registration Hours

08:00am - 08:45am Registration and Continental Breakfast

Sponsored By: Deloitte

08:45am - 08:55am Opening Remarks



Joseph D'Auria

President

SIFMA Financial Management Society

Managing Director, Corporate Division

Jefferies LLC

08:55am - 09:45am Accounting Update

The Accounting Update will provide an overview of the changing accounting guidance and regulation impacting the financial services industry.



Paul J. Nockels

Partner

RSM US LLP

09:45am - 10:45am Liquidity Panel

During this session, participants will learn from the regulators their thinking and perspectives on liquidity. The FINRA Notice 15-33 and the SEC future rulemaking both include liquidity and leverage updates.

Moderator:



Grace Vogel
Managing Director, Financial Services Advisory Practice
PwC

Panelists:



Stephen J. Bushmann
Managing Director and Chief Financial Officer
Stifel Nicolaus



Daniel Dufresne
Global Treasurer
Citadel



Thomas K. McGowan
*Associate Director, Division of Trading and Markets,
Office of Broker-Dealer Finances*
U.S. Securities and Exchange Commission

10:45am - 11:00am Networking Break

Sponsored By: Broadridge Advisor Compensation Solutions, Inc.

11:00am - 12:15pm Revenue Recognition and Leases

This discussion will provide an overview of the changing accounting guidance for two specific FASB updates - Revenue Recognition Accounting Standard, and Lease Accounting - and how they will affect the industry.

Moderator:



Billy Dunne
Senior Manager
Deloitte & Touche LLP

Panelists:



Derek Bradfield
Partner
Deloitte & Touche LLP



Karen Proietti
*Managing Director, Corporate Accounting Policy
Group*
Charles Schwab Corporation



Keith Wenk
*Director of Regulatory Reporting, External
Reporting, & Risk*
Edward Jones & Co., Inc.

12:20pm - 01:45pm Luncheon: Economic & Market Update

The Economic and Market Update will provide the latest developments in market activity and share the current state of the financial sector. Participants can apply these perspectives, data and trends to business strategy, corporate decision making, evaluating new business opportunities, and other related firm activities.

Introduction by:



Gregg Fuesel
Director of Regulatory Reporting
TD Ameritrade, Inc.



John M. Roberts
*Senior Vice President, Director of Research and
Real Estate Investment Trusts (REITs) Senior
Analyst*
Hilliard Lyons

Sponsored By: Ernst & Young LLP

01:45pm - 02:45pm Washington Update

The Washington Update will provide the latest information on the legislative and regulatory actions relating to the financial services industry.



Carter K. McDowell
Managing Director and Associate General Counsel
SIFMA

02:45pm - 03:00pm Networking Break

03:00pm - 04:00pm First 100 Days and Beyond

This panel takes a closer look at the first 100 days of the new U.S. administration and will cover the impact on Washington, regulatory reform, reviews of the DOL Fiduciary Rule and Dodd-Frank, tax reform, and other changes.

Moderator:



Michelle Zahler
Partner, Tax
Ernst & Young

Panelists:



John Hallmark
Director, Office of Policy Group
Ernst & Young



Jeff Levey
Executive Director, Washington Council
Washington Council Ernst & Young (WCEY)

04:00pm - 05:00pm State of the Industry from Executive Leadership Perspective

As head of the largest equity derivatives clearing organization and a veteran of over two decades in the global financial markets, Mr. Donohue will discuss resiliency, the foundation of secure markets, latest developments in market activity as well as the state of the financial sector.

Conversation led by:



Amy C. Shelly
Senior Vice President and Chief Financial Officer
Options Clearing Corporation



Craig S. Donohue
Executive Chairman and Chief Executive Officer
Options Clearing Corporation

05:30pm - 08:00pm Networking Reception

Tavern at the Park
130 E Randolph St
Chicago, IL 60601

Sponsored By: RSM US LLP

FRIDAY, JUNE 9

08:15am - 12:00pm Registration Hours

08:15am - 09:00am Continental Breakfast

09:00am - 09:50am Risk and Data Governance

This panel will explore the increasing regulatory expectations and operational risks surrounding risk governance and data security. Topics will include business continuity planning, cybersecurity and vendor risk management.

Moderator:



Steven Goldberg
Director, Advisory Practice
Grant Thornton LLP

Panelists:



Merlin T. Grim
Senior Managing Director, Chief Risk & Operations Officer
BB&T Securities, LLC



Ann McCague
Managing Director, Global Head of Compliance
Piper Jaffray & Co.



David Svenson
Director of IT Audit
TD Ameritrade Inc.

09:50am - 12:00pm Regulator Panel

This interactive panel will provide insight and address questions on the current regulatory landscape, and offer practical guidance on managing the rapid changes in the industry. Participants can expect to associate current accounting policy and standards to the regulatory framework (such as lease accounting changes, and more), and discuss current regulatory changes and the impact they have on business decisions, corporate governance, company structure, company profitability, accounting/tax policy, and so on.

Moderator:



Daniel T. McIsaac

Director - Financial Services Capital Markets Regulatory Risk Practice

KPMG LLP

Panelists:



Michael A. Macchiaroli

Associate Director, Division of Trading and Markets

U.S. Securities and Exchange Commission



Anna Tvishor

Information Security Risk Management Specialist

Federal Reserve Bank of Chicago



William Wollman

Executive Vice President, Member Regulation, Risk

Oversight and Operational Regulation

FINRA

12:00pm - 12:10pm Closing Remarks

12:10pm Conference Adjourns