



25TH ANNUAL

FMS REGIONAL CONFERENCE 2018

June 13–15, 2018 | Hyatt Centric Chicago Magnificent Mile

Wednesday
June 13, 2018

Thursday
June 14, 2018

Friday
June 15, 2018

6:00PM – 7:30PM

Welcome Reception

Wednesday
June 13, 2018

Thursday
June 14, 2018

Friday
June 15, 2018

8:00AM – 5:00PM

Registration Desk Hours

8:00AM – 8:45AM

Networking Breakfast

Sponsored by [Deloitte](#)

8:45AM – 8:55AM

Opening Remarks

SPEAKER



Anthony Stucchio

Managing Director, COO- DCRO America's
Head & Chief Operations Officer
[Deutsche Bank Securities Inc.](#)
[Biography](#)

8:55AM – 9:55AM

Accounting Update

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

SPEAKER



Paul J. Nockels

Partner, Assurance Services
[RSM US LLP](#)
[Biography](#)

8:55AM – 9:55AM

Accounting Update

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

SPEAKER



Paul J. Nockels
Partner, Assurance Services
[RSM US LLP](#)
[Biography](#)

9:55AM – 11:10AM

Blockchain and Cryptocurrencies

Blockchain (also known as Distributed Ledger Technology) is the underlying technology that enables cryptocurrencies, such as Bitcoin and Ethereum. Blockchain technology has the potential to reshape many industries and transaction types, including the exchange of and investment in securities. This panel will demystify some of the applications and use cases of blockchain, while discussing the impact to brokerage and other financial services firms that implement blockchain projects - including operations, compliance and regulatory, integration of blockchain with existing processes and technology.

MODERATOR



Rob Massey
Tax Partner
[Deloitte & Touche LLP](#)
[Biography](#)

PANELISTS



David Aman
Senior Advisor, Risk Oversight and
Operational Regulation (ROOR)
[FINRA](#)
[Biography](#)



Marlon Q. Paz
Partner
[Seward & Kissel LLP](#)
[Biography](#)

11:10AM – 11:25AM

Networking Break

Sponsored by [Broadridge Advisor Compensation Solutions, Inc.](#)

11:25AM – 12:25PM

Intelligent Process Automation

This session addresses innovations in the securities industry. These are not “what if” ideas, but automation technologies and innovations that exist today that will grow exponentially over the next decade. Topics include: Robotic Process Automation, Machine Learning and Artificial Intelligence.

MODERATOR



Tim Williams
Principal
[Ernst & Young LLP](#)
[Biography](#)

PANELISTS



Wendy Rick
Group Leader, Account Billing / Recon
Control
[Edward Jones](#)
[Biography](#)



Patrick Roach
Director and Chief Financial Officer
[ING Financial Markets LLC](#)
[Biography](#)

12:25PM – 2:00PM

Lunch: 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 perspectives, data and trends provided on the Financial Services industry to business strategy, corporate decision making, evaluating new business opportunities, and other areas of the business.

- Sponsored by [EY](#)

SPEAKERS



Gregg Fuesel
Director, Regulatory Reporting
[TD Ameritrade, Inc.](#)
[Biography](#)



Brian S. Wesbury
Chief Economist
[First Trust Advisors L.P.](#)
[Biography](#)

2:00PM – 3:15PM

Managing Cyber Risk / Cybersecurity

This session will describe today's cyber threats faced by the financial services industry, and the best practices to address cyber risk. Discussion topics include: looking at firm culture, ongoing training, information sharing, and operational resilience – in addition to lessons learned and successes of financial peers.

MODERATOR



Joseph Nocera
Principal
[PwC](#)
[Biography](#)

PANELISTS

Andrew Innocenti
Special Agent
[FBI – Chicago Division](#)
[Biography](#)



Jerald Tillery
Vice President Cyber Security Architecture and Engineering
[Options Clearing Corporation](#)
[Biography](#)



Bill Wollman
Executive Vice President, Member Regulation - Regulatory Oversight & Operational Regulation
[FINRA](#)
[Biography](#)

3:15PM – 3:30PM

Networking Break

3:30PM – 4:00PM

Washington Update

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

SPEAKER



Kenneth E. Bentsen, Jr.
President and CEO
[SIFMA](#)
[Biography](#)

4:00PM – 5:00PM

State of the Industry from Executive Leadership Perspective

Chairman of Robert W. Baird & Co., Paul E. Purcell, and SIFMA's President and CEO, Kenneth E. Bentsen, Jr. will discuss the industry and regulatory landscape as well as the priorities ahead for financial management professionals. During their conversation, Mr. Purcell and Mr. Bentsen will also offer insights into trends and their impact on the capital markets, before concluding the session with a look to the future.

SPEAKERS



Kenneth E. Bentsen, Jr.
President and CEO
[SIFMA](#)
[Biography](#)



Paul E. Purcell
Chairman
[Robert W. Baird & Co.](#)
[Biography](#)

5:30PM – 8:00PM

Networking Reception

Sponsored by [RSM US LLP](#)

[The Godfrey Hotel Chicago](#), 127 West Huron at LaSalle, Chicago, IL 60654

PROGRAM

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8:15AM - 12:00PM

Registration Desk Hours

8:15AM - 9:00AM

Networking Breakfast

9:00AM - 9:50AM

Internal Audit Hot Topics

This session on Internal Audit will cover hot topics from multiple financial services perspectives. Topics include: reoccurring audit finding, 17a-5 compliance report and exemption reports, and monitoring risk and controls.

MODERATOR



Aileen Wright Bacon
Executive Director, Advisory Services
[Ernst & Young LLP](#)
[Biography](#)

PANELISTS



Robert F. Cullen III
Principal, Internal Audit
[Edward Jones](#)
[Biography](#)



Kristine Gaeta
Vice President, Internal Audit
[Charles Schwab & Co., Inc.](#)
[Biography](#)



Bill Hard
Internal Audit Director
[William Blair](#)
[Biography](#)

9:50AM - 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, etc.), and discuss current regulatory changes and the impact they have on business decisions, corporate governance, company structure, company profitability, accounting/tax policy, and other areas.

MODERATOR



Daniel T. McIsaac
Director, Advisory Practice
[KPMG LLP](#)
[Biography](#)

PANELISTS

Timothy C. Fox
Branch Chief, Division of Trading and Markets
[U.S. Securities and Exchange Commission](#)
[Biography](#)



Thomas J. Smith
Deputy Director, Division of Swap Dealer and Intermediary Oversight
[Commodity Futures Trading Commission](#)
[Biography](#)



Bill Wollman
Executive Vice President, Member Regulation - Regulatory Oversight & Operational Regulation
[FINRA](#)
[Biography](#)