Fintech Conference

Wednesday June 20, 2018

12:00pm – 6:20pm

Registration Desk Hours

12:00pm – 2:00pm

Lunch with Our Diamond Sponsors

Accenture

**Session 1: Applying The New to Regulatory Change Management**

Come and see the new technologies being applied to the regulatory change process to drive operational efficiency and enhanced control as financial institutions continue to develop a Compliance function fit for the digital age.

Speaker: Ben Shorten

**Session 2: Blockchain Solution for Consolidated Audit Trail – Customer and Trade Data Reconciliation and Regulatory Submission for CAT**

This demonstration uses blockchain as an interface to provide shared common access for broker-dealers with specific privileges to a single secure source of data. The different actors can cross-check data with counterparties flawlessly, removing the need for data reconciliation prior to submitting trade order and reference information to the regulators.

Speaker: Venetia Woo

**Session 3: Introduction to Accenture Analytics Chatbot that Communicates with Users Through Messaging Apps, Chat Windows or Voice Using Natural Language**
The Analytics Bot takes on the work of analyzing and interpreting large amounts of data to answer business questions based on related transaction, customer and other enterprise data to support decision making. The solution can also serve multiple functions within the organization to help firms prevent cost leakage, save on unwanted expenses related to their resources efforts, increase team productivity and improve decision making and performance over a period of time.

Speaker: Aron Elston

Speakers

Ben Shorten
Compliance Transformation Lead, North America
Accenture

Venetia Woo
North American Regulatory Strategy Lead
Accenture

Aron Elston
National Leader for Reg & Compliance Analytics
Accenture

Broadridge Financial Solutions, Inc.

The AI Force Awakens: What are the Achilles Heel and Real Value of AI

The Broadridge hosted fireside chat on Artificial Intelligence features a Q&A discussion on the impact of AI in the financial services industry, the Achilles Heel to deploying AI, and the real value of AI across a network of industry participants. Come learn about the results of the AI sentiment survey Broadridge did and find out which movie resembles the future of AI.

Speakers

Michael J. Alexander
President, Wealth & Capital Markets Solutions
Broadridge Financial Solutions Inc.

Marc Zutty
Blockchain Consortium Governance and Operating Model

Blockchain technology has moved from pilot/proof-of-concept phase to real use cases. Many early adopters have formed consortium and come under a network to leverage blockchain among member participants. They have overcome huge hurdles, formed new legal structures and mitigated risks to launch such networks. However, in order to truly scale the network and derive intended benefits the governance and operating model needs to be flushed out. In this session, you’ll hear how IBM is working with such consortium to help institute a governance and operating model to better facilitate interaction among member participants of the network.

Speaker

Shyam Nagarajan
Director of Global Blockchain Sales
IBM

2:25pm – 2:30pm
Welcome Remarks

Speaker

Randy Snook
Executive Vice President, Business Policies & Practices
SIFMA

2:30pm – 2:55pm
Regulator Perspective

Speaker

Beth Knickerbocker
Chief Innovation Officer
Office of the Comptroller of the Currency (OCC)
2:55pm – 4:15pm
Blockchain Solutions

This session will explore how market participants are using Distributed Ledger Technology (DLT) to advance innovation in the securities industry, and will examine the current state of DLT implementation. Hear from firms that are moving their DLT projects from the proof-of-concept phase into production, as well as those planning to make the transition in the near future. This interactive session will include live demos.

A – Solution Presentations & Demos

Speakers

Horacio Barakat
Vice President of Corporate Strategy
Broadridge Financial Solutions Inc.

Ron Papanek
Managing Director
Symbiont

B – Smart Contracts

What they are and what they mean for the Securities Industry.

Speaker

Charles M. Post
Head of Legal Data Management & Advisory
BNY Mellon

C – Panel Discussion: Putting Blockchain Solutions into Production

Moderator

Michael J. Alexander
Panelists

John Evans
Senior Investment Fintech Strategist, Investment Management Group
Vanguard

Richard B. Levin
Chair of the Financial Services Technology (FinTech) and Regulation Practice
Polsinelli PC

Ron Papanek
Managing Director
Symbiont

Charles M. Post
Head of Legal Data Management & Advisory
BNY Mellon

4:15pm – 4:30pm
Networking Break

Sponsored by Polsinelli LLC

4:30pm – 5:20pm
Fintech and the Future of the Securities Industry

What will the continuing adoption of fintech and future advances in analytics and technology mean for the securities industry? How will the role of securities firms evolve and how will it affect the workforce of the future?

Moderator

Sadia Halim
Managing Director
BNP Paribas

Panelists
Amit Gupta  
Managing Director, Capital Markets  
Accenture

Brian Lincoln  
Wealth Management Solutions Lead, Financial Markets  
IBM

Vijay Mayadas  
President, Global Fixed Income and Analytics  
Broadridge Financial Solutions, Inc.

Grainne McNamara  
Principal, Financial Services & Banking and Capital Markets  
PwC

5:20pm – 6:20pm  
Networking Reception

Thursday June 21, 2018

8:00am – 1:15pm  
Registration Desk Hours

8:00am – 9:00am  
Breakfast with Our Diamond Sponsors  
Accenture

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Accenture

**Venetia Woo**
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**Aron Elston**
National Leader for Reg & Compliance Analytics
Accenture

**Broadridge Financial Solutions, Inc.**

**Blockchain Demo Deep Dive**

Broadridge is creating a new bilateral repo environment using Distributed Ledger Technology to facilitate seamless execution of repo trading and more effective use of collateral. This blockchain-enabled solution automates end-to-end processes,
eliminating fails, improving efficiency and reducing counterparty risk. Come join us over breakfast to get a deep dive of the demo and a chance to speak with our technologists.

Speakers

Horacio Barakat  
Vice President of Corporate Strategy  
Broadridge Financial Solutions Inc.

John Garahan  
Vice President  
Broadridge Financial Solutions Inc.

Hrishikesh Nashikkar  
Blockchain Lead  
Broadridge Financial Solutions Inc.

IBM

Transform Your Risk and Compliance Programs with Cognitive Solutions and RegTech

This session will describe how RegTech is transforming the way compliance departments operate, allowing smaller teams to focus on higher-value activities; shifting them from information gatherers to information analyzers, enabled by augmented decision-making made possible through cognitive technologies. Learn how financial institutions can apply cognitive capabilities to meet ever-changing regulatory expectations and radically reduce costs.

Speaker

Judith Pinto  
Managing Director  
Promontory, an IBM Company

9:10am – 9:15am

Welcome Remarks
9:15am – 9:35am

**From Insight to Inspiration: The Evolving Role of AI in Our Lives**

Since the 2011, the “AI Spring” has emerged and evolved rapidly. We’ve seen advances in underlying analytic technologies, practices and the application of AI to solving for a wide range of problems. However, the AI industry is still in its infancy – both in terms of the products and technologies on the market, but also in terms of our understanding of its full utility. One of the key things that we’re just beginning to fully grasp is the relationship between people and AI technology – how the one is not replaced by the other, but rather by how AI augments and extends human intelligence. In this talk I will outline the evolutionary pressures that are driving further advances in AI technology, and more importantly, the evolving role of AI in our lives.

**Speaker**

**Rob High**  
IBM Fellow, Vice President and Chief Technology Officer  
IBM Watson

9:35am – 10:30am

**AI – Machine Learning**

This session will present the big-picture opportunities that artificial intelligence technology presents. Participants will view demos of examples of real-world application and hear how market participants are operationalizing AI at their firms.

A – Demo: Arria

Explore the technology of natural language generation (NLG) and see a demo of how it can be applied to enrich interactions with customers.

**Speaker**

**Riyaz Nakhooda**  
Head of Market Strategy
B – Demo: Accern

Explore predictive analytics and see a demo of how it can used to transform analysis of news and market events.

**Speaker**

**Kumesh Aroomoogan**
Co-founder and CEO
Accern

C – Demo: BNP Paribas

Explore how the Innovation lab approached a concrete AI use case: streamlining the validation of scanned documents, from the identification, exploration and learning to fast prototyping towards a solution.

**Speaker**

**Martin Caupin**
Head of Innovation – Analytics Lab
BNP Paribas

D – Panel Discussion

**Moderator**

**Akhilesh Tripathi**
Vice President and Head of Global Sales for Software Products & Platforms
Tata Consultancy Services

**Panelists**

**Martin Caupin**
Head of Innovation – Analytics Lab
BNP Paribas
This session will describe how to develop a risk oversight and control framework around applications of emerging technologies such as the cloud and robotics process automation. Panelists will also discuss the issues related to “Shadow Infrastructure” and regulatory challenges associated with concentrated tech providers. Participants will receive insight into how firms can effectively integrate start-ups and their technology into large, highly regulated organizations – including how to manage the impact of big data.

**Moderator**

Christopher B. Killian  
Managing Director, Securitization and Corporate Credit  
SIFMA

**Panelists**

Jennifer Klass  
Partner  
Morgan, Lewis & Bockius, LLP

Stefan Dicker  
Vice President, Rise FinTech Platform Lead  
Barclays

Gary Nichols  
Managing Director, Security Design & Engineering, Schwab Cybersecurity Services  
Charles Schwab
11:45am – 12:45pm

Regulation and Innovation

How can American regulation and supervision support fintech? Panelists will discuss SIFMA’s policy recommendations and response to the U.S. Department of the Treasury’s review of the financial regulatory framework, explore what works internationally, and debate regulatory considerations for overseeing innovation in the capital markets.

Moderator

Jai Massari
Partner
Davis Polk & Wardwell LLP

Panelists

Elijah Alper
Assistant General Counsel
Capital One

Michael Herskovitz
Senior Vice President & Partner, Co-Head Global Operations and Technology
AB

Jessica Renier
Senior Advisor
U.S. Department of the Treasury

Andres Wolberg-Stok
Global Head of Fintech Policy for Global Consumer Banking
Citi

12:45pm – 1:15pm

Keynote Speaker, Craig Phillips, Counselor to the Secretary, US Department of the Treasury

Speaker

Craig Phillips
Counselor to the Secretary
U.S. Department of the Treasury
1:15pm – 1:15pm

Conference Adjourns