

# Fintech Conference

**Wednesday June 20, 2018**

**12:00pm – 6:20pm**

**Registration Desk Hours**

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**12:00pm – 2:00pm**

**Lunch with Our Diamond Sponsors**

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**Accenture**

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## **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.

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### 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**



Vice President, Strategy and Business Development  
Broadridge Financial Solutions Inc.

## IBM

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### 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**

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### Speaker



**Randy Snook**  
Executive Vice President, Business Policies & Practices  
SIFMA

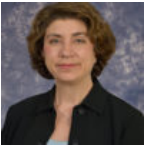
**2:30pm – 2:55pm**

**Regulator Perspective**

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### Speaker

**Beth Knickerbocker**  
Chief Innovation Officer  
Office of the Comptroller of the Currency (OCC)



**2:55pm – 4:15pm**

## **Blockchain Solutions**

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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**

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### **Speakers**



**Horacio Barakat**

Vice President of Corporate Strategy  
Broadridge Financial Solutions Inc.



**Ron Papanek**

Managing Director  
Symbiont

## **B – Smart Contracts**

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**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**

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### **Moderator**

**Michael J. Alexander**



President, Wealth & Capital Markets Solutions  
Broadridge Financial Solutions Inc.

## 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**

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Sponsored by Polsinelli LLC

**4:30pm – 5:20pm**

**Fintech and the Future of the Securities Industry**

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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**

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**Thursday June 21, 2018**

**8:00am – 1:15pm**

**Registration Desk Hours**

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**8:00am – 9:00am**

**Breakfast with Our Diamond Sponsors**

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**Accenture**

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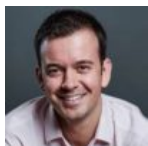
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Compliance Transformation Lead, North America  
Accenture



**Venetia Woo**

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Accenture



**Aron Elston**

National Leader for Reg & Compliance Analytics  
Accenture

## **Broadridge Financial Solutions, Inc.**

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### **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.

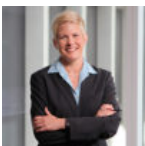
## IBM

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### **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**

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## Speaker



**Thomas F. Price**

Managing Director, Technology, Operations, and Business Continuity  
SIFMA

**9:15am – 9:35am****From Insight to Inspiration: The Evolving Role of AI in Our Lives**

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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**

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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**

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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



Arria NLG

## B – Demo: Accern

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

### Speaker



**Kumesh Aroomoogan**

Co-founder and CEO

Accern

## C – Demo: BNP Paribas

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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

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### 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

**Rob Stanich**

Offering Manager for Financial Markets and Banking  
IBM Watson Financial Services

**Joseph Voyles**

Director  
PwC

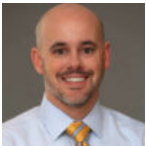
**10:30am – 10:50am****Networking Break**

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**10:50am – 11:45am****Risk Management and Compliance for Emerging Technologies**

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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**

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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 &amp; Wardwell LLP

**Panelists****Elijah Alper**

Assistant General Counsel

Capital One

**Michael Herskovitz**

Senior Vice President &amp; Partner, Co-Head Global Operations and Technology

AB

**Jessica Renier**

Senior Advisor

U.S. Department of the Treasury

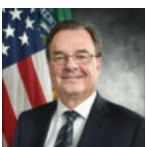
**Andres Wolberg-Stok**

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**

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**Speaker****Craig Phillips**

Counselor to the Secretary

U.S. Department of the Treasury

**1:15pm – 1:15pm**

**Conference Adjourns**

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