



# Global Corporate Actions Forum

The Global Corporate Actions Forum brings together operations and technology professionals from broker-dealers, banks, asset managers, service providers and clearing firms to discuss the latest regulations, challenges, best practices and emerging technologies affecting Corporate Actions.

Join us on October 3 in NYC or via Webinar to examine:

- Regulatory updates and priorities from FINRA, NYSE, and Nasdaq
- Mergers and Acquisitions – An inside look at deal offerings
- Bankruptcy: Navigating complexities and best practices
- Machine Learning and Microservices – upskilling for Operations
- Proxy and European Shareholder Rights Directive II
- Breakout Sessions on industry challenges
- And more!

## Thursday October 3, 2019

**8:00am – 6:15pm**

**Registration Desk Hours**

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**8:00am – 9:00am**

**Networking Breakfast**

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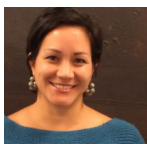
**9:00am – 9:10am**

**Chair's Opening Remarks**

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Welcome and introduction to the 16th annual Global Corporate Actions Forum.

## Speaker



**Carly Byrd**  
Director, Global Tax Utility  
Deutsche Bank AG

**9:10am – 10:00am**

## Regulatory Perspective Panel

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Panelists representing FINRA, NYSE and Nasdaq will review efforts and priorities within these organizations, which are helping to create efficiency and reduce risk. This session is a terrific opportunity for operations professionals to hear regulatory perspectives and participate in a Q&A with the panelists.

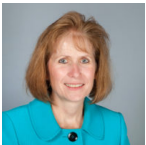
### Moderator



**Lawrence Conover**

Vice President, Operations and Services Group (OSG)  
Fidelity Investments

### Panelists



**Patricia Casimates**

Vice President of Market Operations  
FINRA



**Tara Petta**

Director, Corporate Actions Operations  
Nasdaq



**Benjamin Sawyer**

Head of the Corporate Actions and Market Watch Groups  
New York Stock Exchange

**10:00am – 10:25am**

### Mergers and Acquisitions – An Inside Look at Deal Offerings

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Corporate transactions can result in complex issues that market participants must carefully consider in advance of an acquisition or strategic investment. Our featured speaker will discuss the impact of social, political and cybersecurity risk on the success of a transaction and how to best address them.

### Speaker



**F. Dario de Martino**

Partner  
Morrison Foerster

**10:25am – 10:45am**

### Networking Break

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Sponsored by Mediant

10:45am – 12:15pm

## Industry Challenges and Best Practices – Breakout Sessions

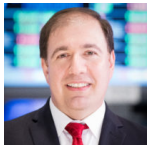
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This session will start with a 45-minute panel discussion led by the DTCC that will examine the more challenging corporate action events that have occurred this year. The panel will be followed by three concurrent breakouts – *Reorganization, Tax, and Dividends* – during which forum participants will collectively discuss the key issues experienced and lessons learned in 2019.

### Speakers



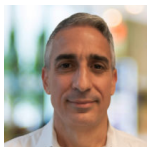
**Siobhan Bolger**  
Director, Global Asset Services  
Bank of America Merrill Lynch



**Silvio (Joe) Conte**  
Head of the Corporate Actions Product  
Equiniti



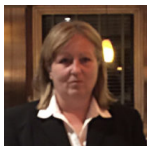
**Ian DeSacia**  
Director, Asset Services Product Management  
DTCC



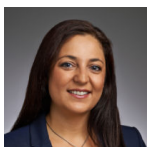
**Fernando Divirgilio**  
Associate Director, Dividend Stock Processing and Global Tax Service  
DTCC



**Larry R. Hammond, Jr.**  
Vice President, Corporate & Investment Bank  
JPMorgan Chase & Co.



**Cynthia Rainis-Tirino**  
Manager, Global Asset Servicing  
Bank Leumi



**Neda Sheridan**  
U.S. Regional Manager – Corporate Actions  
Computershare Inc.



**William Simunek**  
Director, Mandatory Reorg Operations  
DTCC

**12:15pm – 1:30pm**

**Networking Lunch**

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Sponsored by Financial Information Incorporated – Financial Technologies Solutions

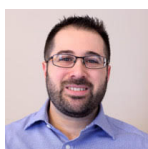
**1:30pm – 2:30pm**

**Emerging Technologies**

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This session will explore how emerging technologies can be used to streamline corporate actions. The discussion will focus on Blockchain and Distributed Ledger Technology (DLT) opportunities, and will also examine data management.

**Moderator**



**Charles Centrelli**

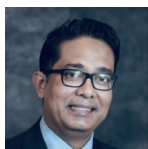
Head of Intelligent Automation for Capital Markets  
PwC

**Panelists**



**Gerard Bermingham**

Executive Director  
IHS Markit



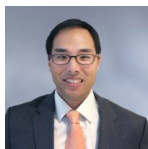
**Sanjay Prasad**

Head of Capital Markets and Wealth Solutions  
TCS BaNCS



**John Regan**

Senior Product Manager  
FIS



**Michael Tae**

Senior Vice President, Corporate Strategy  
Broadridge Financial Solutions, Inc.

**2:30pm – 3:10pm**

**Machine Learning and Microservices: Upskilling for Operations**

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Today's operations teams manage processes. Those same teams will need to manage automation, which manages the processes, in tomorrow's operations. In this session, Google Cloud breaks down four

compelling concepts that operations teams must embrace to effectively manage the automation behind a growing body of processes and to flourish in a rapidly changing business environment. Learn how:

- ML and chatbots help automate low-touch routine tasks, so humans can focus on building customer relationships
- Microservice architecture is redefining the financial services applications landscape (and how team members can best respond to this new normal)
- Cloud accommodates evolving regulations and best practices for greater levels of auditability in a complex, microserviced environment
- Cloud is rapidly commodifying the stack, from virtual machines to risk calculation, and what skills are needed to accommodate this trend

## Speaker



**Matt Tait**

Customer Engineer  
Google Cloud

**3:10pm – 3:30pm**

**Networking Break**

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**3:30pm – 4:15pm**

**Bankruptcy: Navigating Complexities and Best Practices**

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Bankruptcies often create a unique set of challenges related to the event terms and complex documentation requirements. This panel of subject matter experts will focus on the collaborative activities taking place in the industry to educate issuers and attorneys on the operational challenges and how to identify solutions to maximize efficiency.

## Speakers



**Christina Pullo**

Vice President, Solicitation and Public Securities  
Prime Clerk LLC



**Christopher Scotto**

Director of Product Management  
Depository Trust & Clearing Corporation

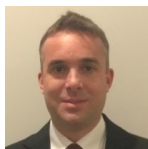
**4:15pm – 5:00pm**

**Proxy and European Shareholder Rights Directive II (SRD II)**

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Panelists will describe the latest corporate actions communications practices and challenges, and provide updates on proxy and shareholder communications.

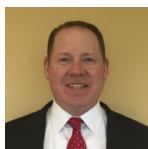
## Moderator



**Steven Watts**

Executive Director, Position Services Group  
Morgan Stanley

## Panelists



**Lawrence Conover**

Vice President, Operations and Services Group (OSG)  
Fidelity Investments



**James Monahan**

Partner  
Sionic



**Chris Nixon**

Director of New Product and Business Development  
Broadridge Financial Solutions, Inc.



**Charles (Chip) Pasfield**

Vice President, Client Services  
Broadridge Financial Solutions

**5:00pm – 5:05pm**

**Closing Remarks**

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## Speaker



**John O'Day**

Director, Global Asset Services  
Bank of America Merrill Lynch

**5:05pm – 6:15pm**

**Networking Reception**

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