



Global Corporate Actions Forum

SIFMA's Global Corporate Actions Forum gathers 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 in Corporate Actions.

On October 1-2, 2020, attendees participated virtually to discuss: Transfer Agents, State of Class Actions, Emerging Technologies, Industry Challenges and Best Practices, Regulatory Priorities, DTCC Update, and Proxy and Shareholder Communications. On demand content from the virtual forum is now available through December 24, 2020.

Already registered? If you registered prior to October 1-2, you may access content on demand here.

If you are new registrant, signing up after October 2, please contact Meagan Prescott to register. You will receive replay access instructions within 3 days of your registration.

Member

Registration Rates \$199

Non-Member

Registration Rates \$299

Regulator

Registration Rates \$99

Member Non-Member Regulator

Registration Rates \$199 \$299 \$99

Registration Closed

Already registered? If you registered prior to October 1-2, 2020, you may access content on demand here.

If you are new registrant, signing up after October 2, please contact Meagan Prescott to register. You will receive replay access instructions within 3 days of your registration.

Thursday October 1, 2020

12:00pm – 12:05pm

Chair's Opening Remarks

Welcome and introduction to the 17th annual Global Corporate Actions Forum – Virtual Event.

Speaker



John O'Day

Director

Bank of America Merrill Lynch

12:05pm – 12:45pm

Transfer Agents

The session covers initiatives in the transfer agent space including medallion guarantees, further expansion of dematerialization, DRS restricted shares, and SPAC processing.

Moderator

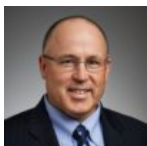


John Falco

Vice President, Position Services Group

Morgan Stanley

Panelists



Kevin P. Burns

Senior Manager, Industry Relations

Computershare Inc.



Mark Zimkind

Senior Vice President and Director of Shareholder Services

Continental Stock Transfer & Trust Company

12:55pm – 1:25pm

State of Class Actions

Class actions events are ever-changing. We'll discuss the latest trends and how to stay ahead of the curve. Also, we'll discuss what it takes to file claims for your accounts and why you should consider claim filing.

Speaker

**James Tharin**

Founder and Chief Executive Officer
Chicago Clearing Corporation

1:35pm – 2:15pm

Emerging Technologies

This session will explore how emerging technologies can be used to streamline corporate actions.

Moderator**Andy Sears**

Managing Director
EY

Panelists**Stevie D. Conlon**

Vice President, Tax & Regulatory Counsel
Wolters Kluwer Financial Services

**Christine Huizinga**

Senior Director, XSP Product Management
FIS

2:25pm – 3:15pm

Industry Challenges and Best Practices – Breakout Sessions

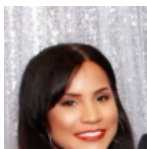
This session will host three concurrent breakouts – *Reorganization, Tax, and Dividends* – during which forum participants will attend one session and collectively discuss the key issues experienced and lessons learned in 2020.

Dividends Breakout Session

- Non DTCC eligible spin-offs requiring physical certificates or DRS
- Ex-date declaration with no price adjustment made

Speakers**Claribel Made**

Senior Director, Asset Services
Fidelity Investments

**John Price**

Senior Director
Fidelity Investments

Reorganization Breakout Session

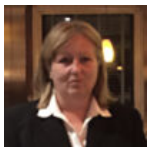
- Bankruptcies, the problems we confront
- Complex Offer Case Study: Starz Flutter, complexities and resolution
- Smart Track Liabilities Hub, challenges and opportunities

Speakers**John Falco**

Vice President, Position Services Group
Morgan Stanley

**Kirk Flessas**

Vice President
Jefferies LLC

**Cynthia Rainis-Tirino**

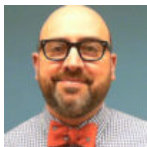
Manager, Global Asset Servicing
Bank Leumi

Tax Breakout Session

- Industry Challenges around non-US tax on corporate action events

Speakers**Siobhan Bolger**

Director, Global Asset Services
Bank of America Merrill Lynch

**Fred Ceraso**

Vice President, Tax Operations
Goldman, Sachs & Co.

Friday October 2, 2020

12:00pm – 12:20pm

Day Two Opening Remarks and Key Breakout Session Findings

Speakers



Christopher Thiebaut

Vice President, Corporate Actions
BlackRock



Siobhan Bolger

Director, Global Asset Services
Bank of America Merrill Lynch



Kirk Flessas

Vice President
Jefferies LLC



John Price

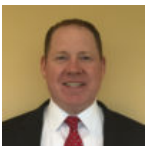
Senior Director
Fidelity Investments

12:30pm – 1:10pm

Regulatory Perspective Panel

During this session, Operational Professionals will hear regulatory perspectives on the latest challenges and trends in Corporate Action processing, including the impact of COVID-19, emerging Digital Assets, and unique offers in the marketplace. The panel will also provide insights into priorities within the regulatory organizations to help with efficiencies and reduce risk in Corporate actions events.

Moderator



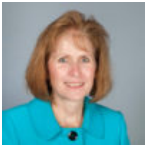
Lawrence Conover

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

Panelists

Patricia Casimates

Vice President of Market Operations
FINRA

**Tara Petta**

Director of Corporate Data Operations
Nasdaq

**Benjamin Sawyer**

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

1:20pm – 1:50pm

DTCC Update

During this session DTCC will provide updates on a number of initiatives including:

- Automated Instruction for Voluntary Corporate Actions
- Market Effective Date enhancements to CA Web
- Extension of PTOF and PSOP instruction deadlines

Speakers**Patrick B. Barthel**

Product Director, Asset Services
DTCC

**Christopher Scotto**

Director of Product Management
DTCC

2:00pm – 2:40pm

Proxy and Shareholder Communications Panel

Panelists will review the unique challenges that presented for the 2020 Proxy season due to COVID-19, including key learnings and future considerations for the changing landscape. Other topics include Regulatory discussions around shareholder communications and voting, as well as a look at the implementation of the European Shareholder Rights Directive II (SRD II).

Moderator

Steven Watts



Executive Director, Position Services Group
Morgan Stanley

Panelists



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



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



Charles (Chip) Pasfield
Vice President, Client Services
Broadridge Financial Solutions



Christina Young
Managing Director, Operations
Charles Schwab & Co., Inc.

On Demand On Demand