



OPS2018

MAY 7-10 | JW MARRIOTT PHOENIX DESERT RIDGE | ARIZONA



PROGRAM

Monday May 7, 2018	Tuesday May 8, 2018	Wednesday May 9, 2018	Thursday May 10, 2018
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3:00PM – 7:00PM

Registration Desk Hours

3:00PM – 6:00PM



Welcome Refreshments

Sponsored by [FIS](#)

3:30PM – 4:00PM



Partner Workshop: Tata Consultancy Services / TCS BaNCS – Blockchain Highlight

"Blockchain Highlight" is a quick overview on blockchain as a technology including TCS' point of view on various trends for business adoption and a guide on where and how to...

PARTICIPANTS

Melanie Alvarez

4:00PM – 4:30PM



Partner Workshop: Tata Consultancy Services / TCS BaNCS – Corporate Actions 4.0 – Leveraging AI, NLP, Robotics and DLT in Corporate Actions, Income and P&I Processing.

Moving Corporate Actions processing from being a risk ridden back office function to reliable decision making tool. This session will discuss how modern Corporate Actions technology is leveraging Analytics, AI,...

PARTICIPANTS

Kshitiz Mittal, Kevin Blair, Gary Dedilectis, Jeremy Jackson, Sanjay Prasad

5:30PM – 7:00PM



Welcome Reception

Sponsored by [IBM](#)

Monday May 7, 2018	Tuesday May 8, 2018	Wednesday May 9, 2018	Thursday May 10, 2018
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6:00AM – 7:00AM



Run-for-a-Cause

Sponsored by [Tata Consultancy Services](#) / [TCS BaNCS](#)

7:00AM – 4:30PM

Registration Desk Hours

7:15AM – 8:15AM

Continental Breakfast – Exhibition Hall

7:45AM – 8:05AM		
+	<p>Learning Lab: FIS – Another Way to Skin the CAT</p> <p>Ready or not, the Consolidated Audit Trail is coming. What can we learn from the past regulatory compliance implementations such as MIFID II or OATS? MIFID II kept the specifications...</p>	<p>PARTICIPANTS</p> <p>Nathan Call</p>
8:15AM – 12:15PM		
+	<p>General Session</p> <p>General Session Audio Visual Sponsored by Tata Consultancy Services / TCS BaNCS</p>	
8:15AM – 8:30AM		
+	<p>Welcome to SIFMA OPS 2018</p>	<p>PARTICIPANTS</p> <p>Kenneth E. Bentsen, Jr.</p>
8:30AM – 8:55AM		
+	<p>Featured Speaker: SIFMA Chair, Lisa Kidd Hunt of Charles Schwab & Co., Inc.</p> <p>The Next Decade of Investing Access to the markets and advice is at an all-time high, while the cost to invest or gain information is at an all-time low. With...</p>	<p>PARTICIPANTS</p> <p>Lisa Kidd Hunt</p>
8:55AM – 9:20AM		
+	<p>Featured Speaker: John P. Carlin, Former Assistant Attorney General for U.S. Department of Justice’s National Security Division</p>	<p>PARTICIPANTS</p> <p>John P. Carlin</p>
9:20AM – 9:45AM		
+	<p>Featured Speaker: Hans-Juergen Rieder, Group Chief Technology Officer of UBS AG – Focus on Strategic Planning for AI Evolution</p> <p>The financial services industry is a leading adopter of AI technologies, many of which are in a nascent stage. Hans-Juergen Rieder, Group CTO for UBS AG, will discuss his observations...</p>	<p>PARTICIPANTS</p> <p>Hans-Juergen Rieder</p>
9:45AM – 10:10AM		
+	<p>A Conversation with Michael C. Bodson, DTCC President & Chief Executive Officer</p> <p>SIFMA’s President & CEO, Ken Bentsen will interview Mike Bodson who will share his insights as CEO of the world’s largest market infrastructure on the top trends reshaping the post-trade...</p>	<p>PARTICIPANTS</p> <p>Kenneth E. Bentsen, Jr., Michael C. Bodson</p>
10:10AM – 10:35AM		
	Networking Break – Exhibition Hall	
10:35AM – 11:00AM		
+	<p>Featured Speaker: Commissioner Brian D. Quintenz, CFTC</p>	<p>PARTICIPANTS</p> <p>Commissioner Brian D. Quintenz</p>
11:00AM – 12:15PM		
+	<p>Featured Speaker: John Foley, Former Blue Angels Lead Solo Pilot</p> <p>As lead solo pilot of the Blue Angels, John Foley had to consistently perform as part of a team in an intense, high-stakes environment. Reaching that level of excellence required...</p>	<p>PARTICIPANTS</p> <p>John Foley</p>
12:15PM – 2:00PM		
+	<p>Networking Lunch – Exhibition Hall</p> <p>Sponsored by Tata Consultancy Services / TCS BaNCS</p>	
12:45PM – 1:05PM		
+	<p>Learning Lab: Deloitte – Lowering Cost of Change</p> <p>Traditional transformation efforts have been slow to deliver returns and unable to sustain initial gains for broker-dealers, banks and asset managers. The cost of change and change control must be...</p>	<p>PARTICIPANTS</p> <p>Sanjiv Nathwani</p>

1:30PM – 1:50PM



Learning Lab: Accenture – 5 Technology Design Principles for Capital Markets

Stagnating revenue. Increased competition. Weak returns. How does your firm stay ahead of the curve? Join Accenture's Wynn Davies as he reveals five technology design principles to prepare for digital...

PARTICIPANTS

Wynn Davies

2:00PM – 3:00PM



Breakout Session 1: Payment Systems

Payments are changing faster than ever due to a convergence of rising client expectations and new entrants and technologies. Shrinking settlement windows, bigger data demands, cybersecurity concerns, the need for...

PARTICIPANTS

Tim O'Donnell, Ryan Masters, Carl Slabicki



Breakout Session 2: Buy-Side Operational Perspectives

Join buy-side operational leaders and subject matter experts for an informative discussion on Buy-Side operational perspectives. Topics include fintech and what asset management ops are doing now to adopt emerging...

PARTICIPANTS

Louis J. Rosato, III, Bill Galipeau, Michael Herskovitz, Joseph M. Liguori, Jason Minkler, Jesse Robinson



Breakout Session 3: Corporate Actions – AI and FINtech Solutions for Corporate Actions

Operations professionals continue to focus on the mitigation of risk and enhancement of the customer experience driven by the evolving complexity and regulatory requirements in the corporate actions space. This session...

PARTICIPANTS

Carly Byrd, Sharyn S. Bilenker, Lawrence Conover, James Monahan, Cynthia Rainis-Tirino, Daniel Thieke



Breakout Session 4: Cognitive Learning and its Impact on Financial Services (Robots Take on Wall Street)

Cognitive and analytical technologies are poised to introduce widespread change in the financial services industry. From regulation to middle and back-office...

PARTICIPANTS

Ron Lefferts, Thomas A. Giacalone, Graeme McEvoy, Christina K. McGlosson-Wilson, Mark J. Sullivan



Breakout Session 5: Bulk Transfer Initiative

The panel will discuss the industry Bulk Transfer initiative, a collaboration among regulators and the industry to create a common data and regulatory architecture for the efficient and speedy 'bulk...

PARTICIPANTS

Michael Alexander, Michele Hillery, Lawrence Holmes, Christopher Pullano, Joseph Zaets



Partner Workshop: Appian – Transforming for Operational Agility

Why are leading financial institutions using an innovative digital platform approach to drive operational excellence? Tackling complex global financial issues requires powerful and new approaches for creating more compelling and...

PARTICIPANTS

Michael Heffner, Dennis Mackey



Partner Workshop: KPMG – Intelligent Automation in Capital Markets

Intelligent Automation is enabling a dramatic revolution in Capital Markets Operations driving increased efficiencies and business growth. In this session we will explore how Intelligent Automation can transform client interactions,...

PARTICIPANTS

Tim Cerino, Chris Long, Atul Subbiah

3:00PM – 3:30PM

Networking Break – Exhibition Hall

3:30PM – 4:30PM



Breakout Session 1: Distributed Ledger Technology

Blockchain holds great promise to help transform securities markets and processes – but what does actual implementation of this technology look like? This panel will explore how the industry is...

PARTICIPANTS

Christopher Rigg, Pramod Achanta, Chris Church, James O'Neill, Jennifer C. Peve



Breakout Session 2: Survival of the Fittest – Best Practices for Mitigating the Insider Threat

Nearly 25% of all cyber incidents today are caused by malicious insiders or by employees unintentionally introducing malware into their environments through phishing attacks. Along with this, the number of...

PARTICIPANTS

Thomas M. Wagner, Craig Byrkit, Justin Harvey, Matt Miller, Alan Charles Raul, Ellen Schubert



Breakout Session 3: The Future of ACATS: A Visionary Look

In a world of instantaneous information and high-speed transaction processing, the account transfer process – which moves accounts between brokerage firms and/or banks – must ensure that it takes the...

PARTICIPANTS

Ellen Bocina, Kelly Cornwell, Helene W. Garcia, Bill J. Kapogiannis, Evan Oliveaux

+	<p>Breakout Session 4: The Current Status of a Fiduciary Standard of Care</p> <p>Join subject matter experts to better understand how firms are currently applying the DOL's fiduciary rule and an update on the status of the SEC's Development of a Best Interest...</p>	<p>PARTICIPANTS</p> <p>Kevin Carroll, Daniel Bender, Robert Cirrotti, Jay Haines, Daniel Kleinman</p>
+	<p>Breakout Session 5: Creating an Alternate Settlement Model with Settlement Optimization</p> <p>Following the successful implementation of T+2, DTCC is looking to further modernize the settlement process in order to capture many of the benefits realized by compressing the settlement cycle. This...</p>	<p>PARTICIPANTS</p> <p>Daniel Thieke, John Abel, Graeme McEvoy, Kevin Souder</p>
+	<p>Partner Workshop: Accenture – The Rise of the New Wealth Platform</p> <p>The successful wealth management firm of the future will have to use new technology platforms to be able to deliver personalized client service and experience to different target groups. To...</p>	<p>PARTICIPANTS</p> <p>Scott Reddel, Kendra Thompson</p>
+	<p>Partner Workshop: Broadridge Financial Solutions, Inc. – From Bots to Products: Transforming Capital Markets with Artificial Intelligence</p> <p>The adoption of Artificial Intelligence (AI), Machine Learning (ML), and Robotic Process Automation (RPA) by financial services firms has accelerated in the last two years, driven by the explosion of...</p>	<p>PARTICIPANTS</p> <p>Erik DiGiacomo, Michael Alexander, David Easthope, Michael Walsh</p>

4:30PM – 6:00PM

+	<p>Networking Reception – Exhibition Hall</p> <p>Sponsored by Accenture</p>	
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Monday
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May 10, 2018

7:00AM – 4:30PM

Registration Desk Hours

7:00AM – 8:10AM

+	<p>Operations & Technology Society Breakfast – 2018 Elections: What Could be Old, New, Red, and Blue?</p> <p>Expect the unexpected – that was the takeaway from the 2016 presidential elections. With just six months remaining before voters cast their ballots in congressional and gubernatorial elections, Accenture's head...</p>	<p>PARTICIPANTS</p> <p>Robert Hoffman</p>
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7:30AM – 8:30AM

Continental Breakfast – Exhibition Hall

7:45AM – 8:05AM

+	<p>Learning Lab: Agreement Express – “Alexa: Find Me a Financial Advisor”</p> <p>Amazon's inevitable entry into financial services reinforces the urgency for firms to explore technology to increase revenue and profitability while reimagining client experience. Amazon's scale and customer data-centric focus positions...</p>	<p>PARTICIPANTS</p> <p>Philip Wilkins</p>
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8:15AM – 11:55PM

+	<p>General Session</p> <p>General Session Audio Visual Sponsored by Tata Consultancy Services / TCS BaNCS</p>	
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8:15AM – 8:25AM

+	<p>Welcome to Day Two of SIFMA OPS 2018</p>	<p>PARTICIPANTS</p> <p>Randy Snook</p>
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8:25AM – 8:45AM

+	<p>Featured Presentation: The Nexus Between Financial Services and Technology</p> <p>During the next two to five years, the financial services industry will continue to undergo a digital transformation, driven by blockchain and other emerging technologies. Ms. McNamara will discuss what...</p>	<p>PARTICIPANTS</p> <p>Grainne McNamara</p>
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8:45AM – 9:55AM		
+	<p>General Session Panel: Looking to the Future of Financial Services Operations</p> <p>The transformative impacts of emerging technologies are not limited to new ways of interacting with customers, but have the potential to reshape the operations, systems, and processes that drive the...</p>	<p>PARTICIPANTS</p> <p>Joe Guardino, Phil Davies, Thomas A. Giacalone, Olga Naumovich, Murray C. Pozmanter, Thomas Tremaine</p>
9:55AM – 10:45AM		
+	<p>General Session Panel: Regulatory Impact on Financial Services Operations</p> <p>This panel will bring together regulators across multiple asset classes to share their views on the emerging regulatory landscape. Regulators will share their perspectives on agency priorities and discuss current...</p>	<p>PARTICIPANTS</p> <p>Ira D. Hammerman, Saliha Olgun, Anthony Russell, Bill Wollman</p>
10:45AM – 11:15AM		
Networking Break – Exhibition Hall		
11:15AM – 11:55PM		
+	<p>Featured Speaker: Michael Wade, Managing Director, Deloitte & Touche LLP</p> <p>ART OF THE POSSIBLE IN FUTURE OF OPERATIONS - Emerging technologies are re-shaping the operations function in financial services and other industries. These technologies present limitless possibilities for the broker...</p>	<p>PARTICIPANTS</p> <p>Michael Wade</p>
12:00PM – 1:00PM		
+	<p>Breakout Session 1: Consolidated Audit Trail – 2018 and Beyond</p> <p>Implementation of the Consolidated Audit Trail ("CAT") will be one of the largest and most complex projects that operations professionals will be tasked with in 2018 and beyond. This informative...</p>	<p>PARTICIPANTS</p> <p>Robert Walley, Gregg E. Berman, Ph.D., Shelly Bohlin, Andre Frank, Manisha Kimmel, Ronald J. Veith</p>
+	<p>Breakout Session 2: U.S. Government Securities Market (Clearing and Tri-Party)</p> <p>The US Government Securities Market is going through many changes. The changes include post trade settlement, a greater need for clients to mobilize these high-quality assets around the globe and...</p>	<p>PARTICIPANTS</p> <p>Brian Ruane, Edward Corral, Brian Disken, Michael Katz, Philippe Seyll, Suzanne Sprague, Mark Trivedi</p>
+	<p>Breakout Session 3: Managing Operational Risk</p> <p>Managing operational risk is a critical responsibility for operations leaders. This expert panel will share how operational risk management is evolving in response to new technologies, changing processes, and changing...</p>	<p>PARTICIPANTS</p> <p>Staci Sullivan, John P. Davidson, Thomas Ferlazzo, David Inggs, Michael McClain</p>
+	<p>Partner Workshop: Fannie Mae/Freddie Mac – Getting Ready for the Single Security: What You Need to Know</p> <p>Fannie Mae and Freddie Mac are scheduled to implement the Single Security in Q2 2019. Will you be ready for this significant change impacting the to-be-announced (TBA) mortgage-backed security (MBS)...</p>	<p>PARTICIPANTS</p> <p>Stephanie Milner, Barbara Pak</p>
+	<p>Partner Workshop: Thomson Reuters – The Evolution of Institutional Wealth Management Operations: Trends, Challenges and Opportunities</p> <p>The challenges facing institutional broker dealers and wealth management firms are familiar, but evolving. Senior leaders have long grappled with how best to optimize operational efficiencies, mitigate risk, and reduce...</p>	<p>PARTICIPANTS</p> <p>Colette Rex, Roger Shaffer, Don Witynski, Larry Zywicki</p>
+	<p>Breakout Session 4: Digitizing Operations</p> <p>Operations in the industry is under great pressure to transform given changing client needs, continuing margin pressures and the potential for technology-based disruption. All the while, Operations must ensure the...</p>	<p>PARTICIPANTS</p> <p>Sanjiv Nathwani, James Heinzman, Bradley Killinger, Leonard Law, Lauren Robbins</p>
1:00PM – 3:00PM		
Networking Lunch – Exhibition Hall		

1:45PM – 2:05PM			
+	Learning Lab: Deloitte – CAT – Dealing with the Uncertainty With the uncertainty surrounding final effective dates and requirements for Consolidated Audit Trail, understanding the intent of the regulation, the reportable events that will need to be captured and where...	PARTICIPANTS Sriram Gopalakrishnan, Robert Walley	
2:20PM – 2:40PM			
+	Learning Lab: Shadow Financial Systems, Inc. – Production Proven Innovation: Transforming the Middle and Back-Office with Technology Post-financial crisis, financial services firms have focused on the reduction and outsourcing of middle and back-office headcount. The use of legacy systems continues to be the greatest middle and back-office...	PARTICIPANTS Joe South	
3:00PM – 4:30PM			
+	Women's Leadership Event SIFMA is pleased to announce the inaugural Women's Leadership Event at this year's Operations Conference & Exhibition. For 45 years, this event has gathered operations, technology and regulatory leaders from...	PARTICIPANTS Sherry Moreland, Deborah A. Bussière, Ann P. Gonzalez, Samantha O'Neil, Felicia Sokalski	
10:00PM – 12:00AM			
+	After Hours Reception Sponsored by Fidelity Clearing & Custody Solutions .		
Monday May 7, 2018	Tuesday May 8, 2018	Wednesday May 9, 2018	Thursday May 10, 2018 ▼
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Registration Desk Hours			
8:30AM – 10:15AM			
+	General Session with Breakfast General Session Audio Visual Sponsored by Tata Consultancy Services / TCS BaNCS		
8:30AM – 8:50AM			
+	Featured Speaker: Scott Mullins, Head of Worldwide Financial Services Business Development at Amazon Web Services (AWS) – A Focus on the “Future” – Technology at Work in Financial Services What will the bank of tomorrow look like? How will markets function in 10 years? How will I interact with my financial life in the future? We all wonder what...	PARTICIPANTS Scott Mullins	
8:50AM – 9:15AM			
+	A Conversation with Chris Church, Chief Business Development Officer of Digital Assets SIFMA's Executive Vice President of Business Policies and Practices, Randy Snook, will interview Chris Church who will describe how financial services firms can modernize their infrastructure using Distributed Ledger Technology...	PARTICIPANTS Chris Church, Randy Snook	
9:15AM – 10:15AM			
+	General Session Panel: Vendor Panel – What Does the Future Hold for Buy and Sell-Side Operations Professionals? The transformation of middle and back office functions is well underway, driven by recent advances in fintech. Firms are tasked with selecting those products and services that will be most...	PARTICIPANTS Stuart Bowers, Michael Alexander, Jan Dinger, Donald Marino, Laura Paul, Sanjay Vatsa	
10:15AM – 10:15AM			
Conference Adjourns			