



# FMS Regional Conference

Each year, the SIFMA Financial Management Society (SIFMA FMS) Regional Conference gathers industry leaders, regulators and financial managers to examine the latest developments in securities finance, regulatory priorities, accounting and tax.

2019 conference participants were eligible for 11.6 CPE credits.

## Wednesday June 12, 2019

**6:00pm – 7:30pm**

**Welcome Reception**

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## Thursday June 13, 2019

**8:00am – 5:00pm**

**Registration Desk Hours**

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**8:00am – 8:45am**

**Networking Breakfast**

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Sponsored by Deloitte

**8:45am – 8:55am**

**Opening Remarks**

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## Speaker



**Anthony Stucchio**

Managing Director, COO- DCRO America's Head & Chief Operations Officer  
Deutsche Bank Securities Inc.

**8:45am – 5:05pm**

**General Session Audio Visual**

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Sponsored by KPMG LLP

**8:55am – 9:45am**

## **Accounting Update**

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The Accounting Update will provide an overview of the changing accounting guidance and regulation impacting the financial services industry.

### **Speaker**



**Paul J. Nockels**

Partner, Assurance Services  
RSM US LLP

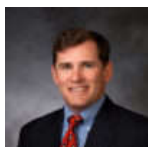
**9:45am – 11:00am**

## **Treasury and Liquidity Panel**

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During this session participants will learn of what the regulators and the industry are thinking about liquidity. With FINRA Notice 15-33 and the SEC future rulemaking including both a liquidity and leverage updates. Topics will also include the transition to the alternative rate benchmark due to end of Libor expected after 2021.

### **Moderator**



**Michael Bolan**

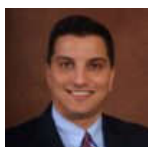
Managing Director, Risk Advisory Services  
Deloitte & Touche LLP

### **Panelists**



**Steven W. Kastenholz**

Former Managing Director & Treasurer  
SG Americas Securities, LLC



**Paul Shoukry**

SVP of Finance, Treasurer & Head of Investor Relations  
Raymond James Financial



**Bill Wollman**

Executive Vice President, Member Supervision  
FINRA

**11:00am – 11:15am**

## **Networking Break**

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Sponsored by Broadridge Advisor Compensation, Inc.

**11:15am – 12:05pm**

## **High Performing Regulatory Reporting Teams**

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Broker-dealer financial regulatory team performance – in producing daily compliant computations and related reporting – is dependent on cross functional collaboration within firms. Topics for this panel include an overview of the latest science of team trust, followed by a discussion on regulatory reporting team challenges, successes and strategies to enhance team performance in an increasingly complex environment.

### **Moderator**

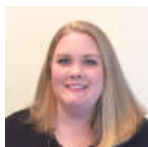


**Bernie Henning**

Client Executive, Financial Services

EY

### **Panelists**



**Jessica S. McIntosh**

Senior Vice President, Controller

U.S. Bancorp Investments, Inc.



**Amy C. Shelly**

Senior Vice President and Chief Financial Officer

Options Clearing Corporation



**Keith Wenk**

Director of Regulatory & External Reporting

Edward Jones

**12:05pm – 1:05pm**

## **Networking Luncheon**

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Sponsored by EY LLP

**1:05pm – 1:55pm**

## **Economic & Market Update**

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The economic and market update will provide the latest developments in market activity and share the current state of the financial sector. Participants will be able to apply perspectives, data and trends

provided on the financial services industry to business strategy, corporate decision making, evaluating new business opportunities, and so on.

## Speaker



**Diane Swonk**  
Chief Economist  
Grant Thornton LLP

**1:55pm – 3:10pm**

### CFO Roundtable

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During this session participants will learn of best practices used by CFO/Finance professionals in managing their firm and departments. Topics can include but not be limited to cost control, risk management, financial and regulatory reporting.

## Moderator

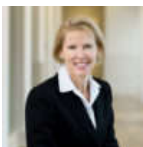


**Dale R. Weigand**  
Chief Financial Officer/Director  
Boenning & Scattergood

## Panelists



**Dana L. Bjornson**  
Executive Vice President and Chief Financial and Compliance Officer  
George K. Baum & Company



**Michelle M. Sandberg**  
Executive Vice President, Treasurer, and Chief Financial Officer  
Dougherty & Company LLC



**Frederick Schrick**  
Chief Financial Officer  
Stifel Nicolaus

**3:10pm – 3:25pm**

### Networking Break

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**3:25pm – 4:15pm**

### Washington Update

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The Washington Update will provide the latest information on the legislative and regulatory actions relating to the financial services industry.

## Speaker



**Carter K. McDowell**

Managing Director, Associate General Counsel  
SIFMA

**4:15pm – 5:05pm**

### **State of the Industry from Executive Leadership Perspective**

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As an accomplished senior executive with over 30 years of experience in the Brokerage, Wealth, Investment Management, Institutional, and Private Banking business, Mr. Mara will discuss the Securities Industry past, present and future.

## Moderator



**Dale R. Weigand**

Chief Financial Officer/Director  
Boenning & Scattergood

## Speaker



**Michael Mara**

President  
Boenning & Scattergood

**5:30pm – 8:00pm**

### **Networking Reception**

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Sponsored by RSM US LLP

River Roast Chicago  
315 N LaSalle Dr  
Chicago, IL 60654

## Friday June 14, 2019

**8:15am – 12:00pm**

**Registration Desk Hours**

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**8:15am – 9:00am**

**Networking Breakfast**

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**8:59am – 12:00pm**

**General Session Audio Visual**

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Sponsored by KPMG LLP

**9:00am – 9:50am**

**Risk Management Panel**

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Recent financial turmoil has heightened concern and focus of enterprises on risk management (ERM), asserting the need for a robust framework to effectively identify, assess, and manage risk. Some key areas are: focus on risk management by boards of directors, broad adoption of CRO position, ERM becoming standard practice in organizations, and increasing use of stress tests; more attention is needed on conduct risk and risk culture; increasing importance and cost of regulatory requirements, risk data and technology systems all continue to pose challenges.

### Moderator

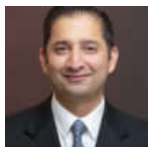


**Daniel Bender**  
Managing Director  
EY

### Panelists



**Louis Giacalone**  
Director Trader Operations, Oversight & Supervision  
TD Ameritrade



**Vishal Thakkar**  
Senior Vice President, Head of Enterprise Risk Management  
Options Clearing Corporation

**Bridget Wherley**  
Head of Risk Control and Audit



Piper Jaffray Companies

**9:50am – 12:00pm**

## **Regulator Panel**

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This interactive panel will provide insight and address questions on the current regulatory landscape, and offer practical guidance on managing the rapid changes in the industry. Participants can expect to associate current accounting policy and standards to the regulatory framework (such as, lease accounting changes, etc.), and discuss current regulatory changes and the impact they have on business decisions, corporate governance, company structure, company profitability, accounting/tax policy, and other areas.

## **Moderator**



**Daniel T. McIsaac**

Director, Advisory Practice  
KPMG LLP

## **Panelists**



**Michael A. Macchiaroli**

Associate Director, Division of Trading and Markets  
U.S. Securities and Exchange Commission



**Thomas J. Smith**

Deputy Director, Division of Swap Dealer and Intermediary Oversight  
Commodity Futures Trading Commission



**Bill Wollman**

Executive Vice President, Member Supervision  
FINRA

As a participant of the FMS Regional Conference, you will be eligible to receive CPE Credits. Participants will learn the latest developments in securities finance, regulatory priorities, accounting and tax. This session is eligible for up to 11.6 CPE Credits.

### **Fields of Study:**

- Accounting: 1.0 hr
- Economics: 1.0 hr
- Management Services: 2.5 hrs

- Personal Development: 2.5 hrs
- Specialized Knowledge: 4.6 hours

**Program Level:** Intermediate

**Delivery Method:** Group Live

**Advance Preparation:** None



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