Listed Options Symposium

Thursday November 15, 2018

12:00pm – 5:15pm
Registration Desk Hours

12:00pm – 12:45pm
Networking Lunch

Sponsored by Shadow Financial Systems, Inc.

12:45pm – 5:15pm
General Session Audio Visual

Sponsored by Oppenheimer & Co. Inc.

12:45pm – 12:50pm
Welcome and Introduction

Speaker

Ellen Greene
Managing Director, Financial Services Operations
SIFMA

12:50pm – 1:20pm
State of the Options Industry

Henry Schwartz of Trade Alert will provide a data-driven view of major themes in listed derivatives markets this year, with a focus on trends in volume, volatility, market quality and how these dynamics are impacting traders, brokers, exchanges and end users.

Speaker
1:25pm – 1:55pm

Industry Perceptions

The presentation will provide industry sentiment with respect to market structure topics including the role of technology, regulatory challenges and factors driving business strategies. The presentation will present industry views on what the industry has gotten right over the past several years and where it still has work to do. Industry perceptions on auctions, exchange proliferation and the changing business environment for market makers will be discussed.

Speaker

Andy Nybo
Director, Exchange Vertical Research
Burton-Taylor International Consulting

1:55pm – 2:55pm

Market Structure – Views from the Industry, Exchanges and Buy-Side

The more things change, the more they stay the same. After a fast and volatile start to the year, markets have calmed back down and while we are still on pace for record volume, market quality and liquidity are still top of mind. This panel will offer perspectives on what changes to market structure are needed to improve the trading experience for all market participants and to ensure the continued growth of the industry.

Moderator

Lawrence (LT) Tanzman
Head of CES Options Routing
Citadel Securities

Panelists

Shelly Brown

https://www.sifma.org/event/listed-options-symposium/#sessions
In 2018, the options industry continued its focus on risk mitigation and other regulatory changes impacting the listed options market. This panel of regulatory experts – from exchanges, regulators and market participants – will review how the industry and exchanges are working together to mitigate risk and enhance market resiliency. Topics include changes to exchange give-ups and CMTA, the obvious error rules, the continued debate surrounding the options regulatory fee (ORF), options enforcement and the Consolidated Audit Trail.

**Moderator**

Ronald J. Veith  
Executive Director  
JPMorgan Chase & Co.

**Panelists**
Opportunity and Strategies – Retail and Institutional Perspectives

This panel of industry participants will describe the latest efforts in continuing to expand retail and institutional adoption of options. Who should lead the charge for industry growth initiatives? This discussion will address education and driving awareness among a variety of industry constituents including individual investors, FAs, RIAs and institutional money managers.

Moderator

Joseph (JJ) Kinahan
Chief Market Strategist, Managing Director
TD Ameritrade, Inc.

Panelists

James Carney
Founder, Chief Executive Officer/Portfolio Manager
Parplus Partners

David Dooman
Managing Director - Head of Business Development
Dash Regulatory Technologies

Stacey Gilbert
5:15pm – 6:15pm

Networking Reception

Sponsored by Aplomb Strategies