

# Operations Conference & Exhibition

**Monday May 6, 2019**

**12:30pm – 12:30pm**

**2019 SIFMA Operations Conference & Exhibition**

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**12:30pm – 5:30pm**

**Pre-Conference Activity: Golf Tournament**

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**Sponsored by Gresham Technologies.**

**Golf Tournament:** Tee off at one of the finest golf resorts in Florida, which was built in 1926. Discover the rich and historic value and tradition of this exquisite golf course dating back to when PGA professionals Sam Snead and Tommy Armour served at the course. The Shotgun Tournament will provide plenty of excitement as teams travel throughout the course and experience what this course has to offer.

**Cost:** \$225 per player (includes green and cart fees)

**Registration Form:** Please click the OPS 2019 Golf Outing Registration Form to register. Please send all completed forms to Lizzie Grimm at [egrimm@sifma.org](mailto:egrimm@sifma.org).

**Cancellation Policy:** Refund requests received by April 29, 2019 will be granted less a \$50 administrative fee. No refunds for cancellations received after April 29, 2019. Cancellation requests must be in writing.

**3:00pm – 6:00pm**

**Registration Desk Hours**

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**Welcome Hospitality Refreshments**

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Sponsored by DTCC

**3:30pm – 4:30pm**

**Partner Workshop: Vestmark, Inc. – Flexible Portfolio Solutions Enabling Better Client Outcomes**

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Learn how to leverage technology to create a scalable process resulting in customized portfolio solutions, enabling the delivery of better client outcomes in a more efficient way for your financial advisors and home office operations.

## Speakers



**Wayne Gilpin**

Senior Vice President, Global Partners  
Vestmark, Inc.



**Rob Klapprodt**

Corporate Strategy Officer  
Vestmark, Inc.



**Nick Thacker**

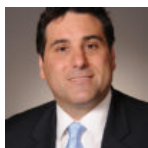
Senior Vice President, Business Development  
Vestmark, Inc.

### **Partner Workshop: Orion Advisor Services, LLC – Gaining Clarity of Regulatory Priorities and How to Best Implement Them into Compliance and Operational Processes**

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In this session, we'll cover not only what SEC Examination Priorities you need to adhere to for 2019, but also what additional topics should be on your firms radar and what tech solutions are available to help create efficiencies in hailing these issues and preparing for an examination.

## Speakers



**Dan Bernstein**

Chief Regulatory Counsel  
MarketCounsel



**Bill Wostoupal**

Executive Vice President of Sales  
Orion Advisor Services, LLC

### **Partner Workshop: Tata Consultancy Services – Winning in the Business 4.0 World**

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When disruption knocks, opportunity is close behind. The rise of digital technologies has completely upended industries, companies, and consumers, throwing open abundant

possibilities to redefine every aspect of business. We call this transformation Business 4.0.

Let's explore together how companies are leveraging Digital technologies such as cloud, the internet of things (IoT), analytics, automation, robotics, and artificial intelligence (AI) to redefine the customer experience and creating exponential value.

## Speakers



**Kshitiz Mittal**  
Director of Sales  
TCS BaNCS



**Sanjay Prasad**  
Head of Capital Markets and Wealth Solution  
TCS BaNCS

**5:30pm – 7:00pm**

**Welcome Reception**

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Sponsored by IBM

**Tuesday May 7, 2019**

**7:00am – 6:00pm**

**Registration Desk Hours**

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**7:15am – 8:15am**

**Networking Breakfast in the Exhibition Hall**

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**7:30am – 7:50am**

**Learning Lab: Protiviti – Operational Resilience: Bringing Confidence to a Dynamic World**

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In response to recent outages impacting the financial sector and growing cyber concerns, the Bank of England in the Summer of 2018 released a discussion paper titled “Building the UK financial sector’s operational resilience.” Important to any financial institution in today’s environment of rapid digital change, operational resilience continues to be top of mind for industry executives and supervisory authorities around the world.

Join Protiviti's Ron Lefferts, Andrew Retrum, Doug Wilbert and Jordan Moss for a session on how financial services firms, and the sector as a whole, can prevent, adapt and respond to, recover and learn from operational disruption through:

- Guiding principles and best practices
- Understanding firm-wide and macro-economic impact
- The Protiviti Resilience Framework: Considerations firms should undertake when designing, implementing, or assessing their resilience practices

## Speakers



**Ron Lefferts**

Managing Director, Global Leader of Technology Consulting  
Protiviti



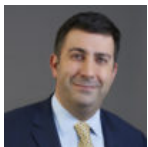
**Jordan Moss**

Manager, Financial Services Technology Consulting  
Protiviti



**Andrew Retrum**

Managing Director  
Protiviti



**Douglas Wilbert**

Managing Director  
Protiviti

**8:10am – 12:15pm**

**General Session**

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**8:10am – 8:15am**

**Welcome to SIFMA Ops 2019**

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## Speaker



**Kenneth E. Bentsen, Jr.**

President and CEO  
SIFMA

**8:15am – 8:35am**

**One-on-One with the Chair of SIFMA's Board of Directors**

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## Clients First: A Conversation About SIFMA Priorities with SIFMA Board Chair James R. Allen and SIFMA President and CEO Kenneth E. Bentsen, Jr.

### Moderator



**Kenneth E. Bentsen, Jr.**  
President and CEO  
SIFMA

### Speaker



**James R. Allen**  
Chairman and Chief Executive Officer  
Hilliard Lyons

**8:35am – 9:05am**

#### **One-on-One Conversation with Bank of America Chief Operations and Technology Officer**

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One-on-One with Bank of America Chief Operations and Technology Officer Catherine Bessant on the evolving role technology holds in financial services.

### Moderator



**Bonnie McGeer**  
Executive Editor  
American Banker

### Speaker



**Catherine P. Bessant**  
Chief Operations and Technology Officer  
Bank of America

**9:05am – 9:35am**

#### **One-on-One Conversation with IBM Senior Vice President, Global Industries, Platforms and Blockchain**

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### Moderator

**Kenneth E. Bentsen, Jr.**



**President and CEO**  
SIFMA

## Speaker



**Bridget van Kralingen**  
Senior Vice President, Global Industries, Platforms and Blockchain  
IBM

**9:35am – 10:05am**

**One-on-One Conversation with Goldman Sachs Chief Data Officer**

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From Curation to Insights: Governing Data Transformation

## Moderator



**Grainne McNamara**  
Principal  
EY

## Speaker



**Jeffrey S. Wecker**  
Chief Data Officer  
Goldman Sachs

**10:05am – 10:30am**

**One-on-One Conversation with SEC Commissioner**

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## Moderator



**Ira D. Hammerman**  
Executive Vice President & General Counsel  
SIFMA

## Speaker



**Robert J. Jackson, Jr.**  
Commissioner  
U.S. Securities and Exchange Commission (SEC)

**10:30am – 10:50am****Networking Break – Exhibition Hall**

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Sponsored by Google Cloud

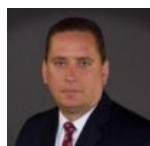
**10:50am – 11:50am****Featured Panel: Operations Leaders on Priorities and Initiatives**

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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 securities industry. This panel brings together operations leaders to explore looking how new technologies and industry initiatives can drive greater efficiency and reduce risk, and how the industry and the role of the operations professional may evolve over the next five years.

**Moderator****Joseph Guardino**

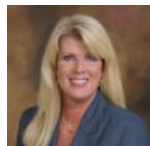
Managing Director, Client Operational Services, Global Banking & Markets Operations  
Bank of America Merrill Lynch

**Panelists****Michael DeBevec**

Head of Global Investment Operations  
BlackRock

**Thomas A. Giacalone**

Managing Director  
UBS AG

**Kelly Metz**

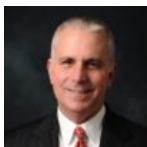
Managing Director, Operations  
Wells Fargo Clearing Services, LLC

**Claire Santaniello**

Managing Director & Head of Operations  
Pershing LLC, a BNY Mellon Company

**Thomas Tremaine**

Executive Vice President and Chief Operations Officer



Raymond James Financial, Inc.

**11:50am – 12:15pm****Featured Speaker, Robert Walley, Principal, Financial Services at Deloitte**

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### Operations Transformation – The Journey Continues

As the 4th Industrial Revolution continues to evolve through advances in technology, the financial services industry is beginning to drive business transformation through technology enablement. Operational functions are being reimagined, redesigned and fundamentally transformed. Last year, we led a discussion on “What If” and we set the challenge to think big and to be the catalyst for change in your organization. In this session, Bob Walley will continue the journey and discuss the “Operations Transformation”, reflect on some of the lessons learned and provide a perspective on where we see the industry is headed.

### Speaker

**Robert Walley**Principal, Financial Services  
Deloitte**12:15pm – 2:00pm****Networking Lunch – Exhibition Hall**

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Sponsored by Tata Consultancy Services

**12:40pm – 1:00pm****Learning Lab: PwC – Citizen Led Automation: Driving Innovation from the Trenches**

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Automation technologies, such as Robotic Process Automation (RPA), present opportunities to reduce cost and improve quality, leveraging existing legacy platforms. However, firms have struggled to gain significant scale with RPA using centralized, top-down efforts. This struggle is often caused by ineffective opportunity identification mechanisms and ROI hurdles that only allow for large implementations. PwC and UiPath will introduce the concept of Citizen Led automation, allowing users to drive both



ideation and implementation of big and small automation projects, surrounded by the appropriate crowd sourcing mechanisms, change management processes, and control framework. This approach and framework provide the starting point for key considerations in Digital Upskilling of the workforce and provide a way to engage your staff in framing the Operations analyst of the future.

## Speakers



**Kevin Kroen**

Partner, US Financial Services Digital Labor Leader  
PwC



**Jay McGrath**

Vice President, Financial Services and Insurance  
UiPath, Inc.

**1:10pm – 1:30pm**

### **Learning Lab: PeerNova, Inc. – Road to Golden Source: Leveraging DLT**

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Blockchain and Distributed ledger technology has everybody talking about the golden source of truth. Given that, the state of a singular dataset has been extremely difficult to achieve in practice, what constitutes a “golden copy” as it applies to data and how data is actually ensured to be this golden source. Does DLT truly enhance the notion of Golden source of data and how can we leverage it for production scale applications.

- Understand applications of single trusted & verifiable representation of data or “golden source” in Blockchain and Distributed Ledger Technology
- Introduces the field of golden source of data, including information systems design for DLT, data normalization & canonicalization.
- Reviews how a golden source is achieved and its applications in DLT.

## Speakers



**Bala Annadorai**

Senior Director of Business Development and Strategy  
PeerNova, Inc.

**Mark Jennis**

Global Head of Customer Engagements  
PeerNova, Inc.



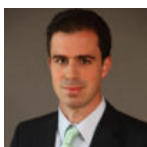
**2:00pm – 3:00pm**

### **Breakout Session 1: Robotics Process Automation**

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Robotics Process Automation (RPA) is a powerful technological tool that firms can use to transform their operations to build greater efficiency and accuracy, and better understand and manage risk. As the industry increasingly adopts RPA, this expert panel will explore what you need to do to successfully implement this technology – from identifying the right use cases and applying the technology to building it into risk management and governance frameworks.

### **Moderator**



**Charles DeSimone**

Vice President, Technology and Operations  
SIFMA

### **Panelists**



**Todd Lohr**

Principal, Technology Enablement & Automation  
KPMG LLP



**Todd Purdy**

General Partner  
Edward Jones



**Sridhar Rajan**

Principal  
Deloitte



**Andrew Wedderburn**

Executive Director  
UBS

### **Breakout Session 2: Regulation Best Interest (Reg BI)**

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- What it is, what does it require, and what challenges does it present?

- Timing and implementation period for the final rule?
- Fiduciary proliferation – Nevada, other States, CFP Board, who else?
- Practical implications for complying with multiple standards?

## Moderator

**Kevin Carroll**

Managing Director and Associate General Counsel  
SIFMA

## Panelists

**David Forman**

Senior Vice President & Deputy General Counsel  
Fidelity Investments  
Chief Legal Officer  
Fidelity Brokerage Services

**Merri Jo Gillette**

Deputy General Counsel  
Edward Jones

**Julie Glynn**

Deputy Chief Legal Officer  
J.P. Morgan Securities LLC

**Yoon-Young Lee**

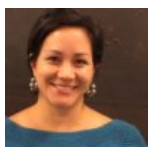
Partner  
WilmerHale

## Breakout Session 3: Corporate Actions

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Operations professionals continue to focus on the enhancement of the customer experience while at the same time mitigating risk created by the complexity and regulatory requirements in the corporate actions space. This session will highlight how firms and financial service providers are looking to manage regulatory and operational risk in corporate actions. Panelists will explore challenges and financial risks associated with voluntary elections, claims processing, and proxy shareholder services, while looking at ways automation and technology solutions can reduce risk and improve customer experience.

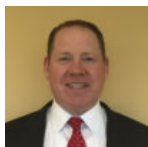
## Moderator



**Carly Byrd**

Director, Global Tax Utility  
Deutsche Bank AG

## Panelists



**Lawrence Conover**

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



**James Monahan**

Executive Director & Regional Head of North America Position Services  
Morgan Stanley



**John O'Day**

Director, Global Asset Services  
Bank of America Merrill Lynch



**Michael Tae**

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



**Andrew Zelenka**

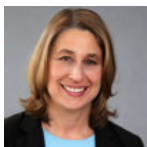
Director, Asset Services  
Tata Consultancy Services

## Breakout Session 4: CAT: Ready, Set, Go!

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With Consolidated Audit Trail (CAT) testing quickly approaching in December 2019 and the CAT's go-live date set for April 2020, firms are working through this complex implementation project to ensure they meet their reporting obligations. The industry – in conjunction with the Exchanges, FINRA, and the SEC – has been preparing for this milestone over the last several years given that the CAT is one of the industry's most significant builds in recent memory. During this session, subject matter experts will discuss various aspects of CAT reporting and what should be top of mind for firms as this critical reporting date approaches.

## Moderator

**Ellen Greene**

Managing Director, Financial Services Operations  
SIFMA

## Panelists

**Shelly Bohlin**

Chief Operating Officer, FINRA CAT LLC  
FINRA

**David Emero**

Vice President, Regulatory Operations  
Goldman Sachs

**Manisha Kimmel**

Senior Policy Advisor  
U.S. Securities and Exchange Commission (SEC)

**Judy A. McDonald**

Associate Director, Technology  
Susquehanna International Group, LLP

## Breakout Session 5: The Future of Clearing

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As highlighted in the recent Treasury Markets Practice Group (TMPG) White Paper, clearing is a critical component of the past, present and future of the financial ecosystem. Benefit from the panelists' diverse perspectives and gain insights into what's next for clearing across three key areas: capital management, risk management and product development.

## Moderator

**Brian Ruane**

Chief Executive Officer, Government Securities Services and Broker Dealer Services  
BNY Mellon

## Panelists

**Joseph Barkley**

Senior Vice President, Operations  
Raymond James & Associates, Inc.

**Jim Hraska**

Managing Director and General Manager  
DTCC

**John Morik**

Managing Director  
BNY Mellon

**Suzanne Sprague**

Managing Director, Credit Risk, Risk Policy, Banking & Solutions  
CME Group

## **Partner Workshop: Deloitte: Ops Transformation – A Deep Dive into the Journey**

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A deeper dive discussion and demonstration on some of the tools and technologies that underpin the “Operations Transformation” initiative. The team of hands-on solution providers will share their insights and lessons from the field in designing and implementing next generation of technology in Operations functions.

## **Speakers**

**Sriram Gopalakrishnan**

Managing Director  
Deloitte

**Garrett O'Brien**

Principal  
Deloitte

**Shumona Roy**

Senior Manager, Deloitte Advisory  
Deloitte

**Sachin Sondhi**

Principal, Deloitte Consulting  
Deloitte

**Robert Walley**

Principal, Financial Services  
Deloitte

## **Partner Workshop: Co-Hosted by NRI and Refinitiv – Institutional Wealth Management Operations: Multi Market/Multi Currency from Settlement to Corporate Actions**

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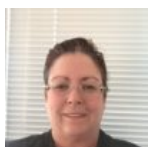
The challenges facing institutional broker dealers and wealth management firms continue to evolve. Firms strive to optimize operational efficiencies, mitigate risk, and reduce costs and errors, while at the same time maximizing revenue. Expansion into global market opportunities provides an untapped revenue potential for firms as the sophistication of advisors and investors grows. With the evolution of technology, solutions evolve as well. Innovation, integration and strategic partnerships are critical to success. Our panel of distinguished leaders will discuss how they're preparing for this increasing future expansion by improving usability, enhancing functionality, and simplifying operations and accessibility to global markets processing.

## Speakers



**Dave Allen**

Senior Product Manager  
NRI



**Colette Rex**

Executive Vice President of Operations  
Axos Clearing LLC



**Don Witynski**

Senior Product Manager  
Refinitiv



**Larry Zywicki**

Director, BETA Platform Interactive Solutions  
Refinitiv

**3:00pm – 3:30pm**

**Networking Break – Exhibition Hall**

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Sponsored by Google Cloud

**3:30pm – 4:30pm**

**Breakout Session 1: Personal Data Panel – Protecting a Client's Most Valuable Asset**

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Personal financial data is an increasingly valuable asset in today's global economy. Improving data quality to enhance the customer experience is critical to business success but protecting data from improper use is paramount. Discover the best

practices to collect, store and use data while also safeguarding it from internal and external threats in an evolving environment.

## Moderator



**Mark Steinhoff, CIPP**  
Managing Director  
Deloitte

## Panelists



**Leigh Feldman**  
Managing Director, Head of U.S. Privacy within the Global Privacy and Data Protection Practice  
Promontory, an IBM Company



**Jodi Pinedo**  
Director & Senior Managing Counsel  
Pershing LLC, a BNY Mellon Company



**Stuart Rubinstein**  
President, Fidelity Wealth Technologies  
Fidelity Investments

## Breakout Session 2: Bulk Transfer Initiative

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The panel will discuss the Bulk Transfer initiative, a collaboration among regulators and the industry to create a common data and regulatory architecture for the efficient and speedy 'bulk transfer' of customer accounts, from a carrying broker dealer experiencing financial difficulties to a new carrying broker dealer(s). Subject matter experts and regulators will discuss the recently published Bulk Transfer Playbook, and the ongoing effort to standardize Bulk Transfer conversion files with the assistance of Sheltered Harbor.

## Moderator



**Grace Vogel**  
Managing Director, Financial Services Advisory Practice  
PwC

## Panelists

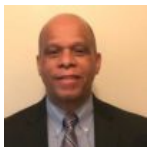


**Michael J. Alexander**

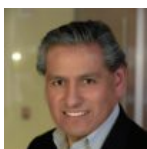
President, Wealth & Capital Markets Solutions  
Broadridge Financial Solutions Inc.

**Michele Hillery**

Managing Director  
DTCC

**Lawrence Holmes**

Senior Broker Dealer Operations Specialist, Division of Trading & Markets  
U.S. Securities and Exchange Commission (SEC)

**Carlos Recalde**

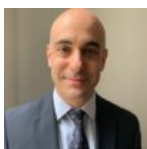
President & Chief Operating Officer  
Sheltered Harbor LLC

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**Breakout Session 3: CAT 2020 Vision: What Should I Do to be Ready for April 2020?**

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As Firms are getting ready for the brave new world of the Consolidated Audit Trail (CAT), what are the CAT challenges and solutions they should consider? During this session, subject matter experts will discuss the operational, technical and governance aspects of CAT implementation including data sourcing, control frameworks, vendor readiness, customer information, industry testing, regulatory operations, and more.

**Moderator****Josh Beaton**

Executive Director  
Morgan Stanley

**Panelists****David Goldman**

Director, Head of Regulatory Operations  
RBC Capital Markets

**Jess Haberman**

Senior Vice President and Compliance Officer  
Fidessa

**Janet Varner**

Division Leader, Trade Management & Asset Servicing  
Wells Fargo Advisors

**Robert Walley**

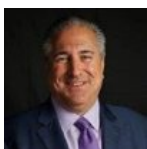
Principal, Financial Services  
Deloitte

## **Breakout Session 4: Buy-Side Operations Perspective**

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While buy-side is driving operational transformation to an ideal end-to-end automation, we still currently need to deal with the reality of working with archaic structures and processes across counter-parties and custodians. As the operational complexity and business environment are getting ever more challenging, join buy-side operational leaders and subject matter experts for an informative discussion on today's solutions.

### **Moderator**

**Louis J. Rosato, III**

Director, Investment Operations Group  
BlackRock

### **Panelists**

**Joseph Haddock**

Managing Director, Operational Risk  
Annaly Capital Management, Inc.

**Sharif Ismail**

Vice President  
Goldman Sachs Asset Management, L.P.

**Jesse Robinson**

Managing Director  
State Street Global Advisors

**Kevin Welch**

Managing Director  
Brown Brothers Harriman

## **Breakout Session 5: BREXIT – Current State**

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This panel of experts will focus on the business environment, political backdrop, and the implementation challenges of Brexit for financial service participants. The audience will learn how participants are dealing with key issues like market infrastructure, clearing, regulatory and client's considerations.

## Moderator



**Graeme McEvoy**

Managing Director & Global Head, ISG Product Operations  
Morgan Stanley

## Panelists



**Andrew Gray**

Partner and Global Head of Brexit for Financial Services  
PwC



**Joseph M. Liguori**

Managing Director  
JPMorgan Chase & Co.



**Michael Walsh**

Head of Operations for the Americas  
Société Générale

## Partner Workshop: Broadridge Financial Solutions, Inc. – No Longer SciFi – How Capital Markets and Wealth Firms Are *\*Already\** Leveraging AI and ML In Their Operations

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Disruptive technologies like Artificial Intelligence (AI), Machine Learning (ML), Robotic Process Automation (RPA), and Smart Process Automation (SPA) are no longer the stuff of science fiction, nor the “next big thing”. Successful firms are leveraging these technologies **\*today\*** in many facets of their operations: from trade analytics to advisor insights to smarter processes. This workshop will highlight current successes and observation on innovation from industry-leading financial institutions and service providers.

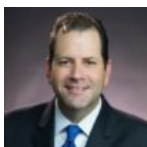
## Moderator

**Michael Tae**

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



## Panelists

**Robert Anselmo**

Head of Technology, Wealth Management Americas  
UBS

**David Easthope**

Senior Vice President  
Celent

**Ramprasad 'RP' Sandilya**

Vice President, Solutions Offerings  
Broadridge Financial

### **Partner Workshop: KPMG – Google Cloud & KPMG Clients' Discussion on How Intelligent Automation Adoption is Transforming Operations and Client Interaction**

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Intelligent Automation is enabling a dramatic evolution in Capital Markets, enabling increased efficiencies and creating new ways of working and adding value for clients, employees and other stakeholders across the organization. The maturing of the underlying technologies creates new opportunities to help human employees to consider new strategies and approaches, expand product and service offerings, make informed decisions and create a new level of client interactions.

In this industry panel discussion, we will explore how Intelligent Automation is being adopted today and how it is transforming the way we interact with clients, streamline operations and allows us to create value across the organization in entirely new ways.

## Moderator

**Sigrid Seibold**

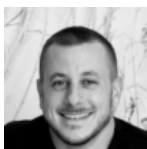
Principal, Advisory, Financial Services Solutions  
KPMG LLP

## Panelists

**Peter Akwaboah**



**Managing Director**  
Morgan Stanley



**Russ Kole**  
Engineering Manager, Financial Services  
Google Cloud



**Brian Steele**  
Global Head of Digital Transformation  
Goldman Sachs

**4:30pm – 6:00pm**

**Networking Reception – Exhibition Hall**

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Sponsored by Google Cloud

**Wednesday May 8, 2019**

**7:00am – 4:30pm**

**Registration Desk Hours**

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**7:00am – 8:00am**

**Networking Breakfast – Exhibition Hall**

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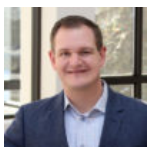
**7:30am – 7:50am**

**Learning Lab: Kingland – The Art of the Possible: Unstructured Data and Text Analytics**

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Throughout the industry, firms are looking to Artificial Intelligence and Machine Learning technologies to optimize their business. Text analytics uses AI, ML, and Natural Language Processing to unlock data from documents, filings, forms, agreements, and other unstructured formats. From risk monitoring and corporate actions processing to client on-boarding and data management, this Learning Lab explains text analytics and provides practical applications of text analytics for capital markets leaders.

## Speaker



**Tony Brownlee**  
Executive Vice President, Chief Strategy Officer  
Kingland

**8:00am – 12:00pm****General Session**

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**8:00am – 8:05am****Welcome to Day Two of SIFMA Ops 2019**

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## Speaker



**Joseph L. Seidel**  
Chief Operating Officer  
SIFMA

**8:05am – 8:30am****One-on-One Conversation with Broadridge President & Chief Executive Officer**

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## Industry Insights, Tech Transformation and the Power of Partnership

With a broad view across financial services, Timothy C. Gokey, President and CEO of Broadridge Financial Solutions, shares his unique view and perspective on the latest industry trends. Tim will provide a different approach to the challenges facing investors and institutions. He will discuss how innovation can drive technology transformation to enhance the business value of technology and operations.

## Moderator



**Joseph L. Seidel**  
Chief Operating Officer  
SIFMA

## Speaker



**Timothy C. Gokey**  
President & Chief Executive Officer  
Broadridge Financial Solutions, Inc.

**8:30am – 8:50am****Featured Speaker: Peter Driscoll, Director, Office of Compliance Inspection Examinations of U.S. Securities and Exchange Commission**

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## Staying Vigilant to Protect Investors

## Speaker

**Peter Driscoll**

Director, Office of Compliance Inspections and Examinations  
U.S. Securities and Exchange Commission (SEC)

**8:50am – 9:40am**

**Featured Panel: Regulatory Priorities for 2019 and Beyond**

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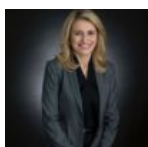
This panel of regulatory and industry leaders will address key priorities and emerging regulatory issues facing financial services operations professionals. Regulators will share their perspectives on agency priorities and discuss current and potential regulatory initiatives for 2019 and beyond.

## Moderator

**Ira D. Hammerman**

Executive Vice President & General Counsel  
SIFMA

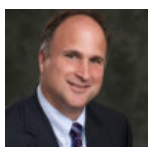
## Panelists

**Ornella Bergeron**

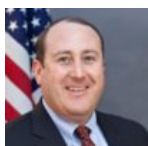
Senior Vice President, Regulatory Oversight & Operational Regulation  
FINRA

**Vic Chakrian**

Senior Vice President, Financial Market Infrastructure, Supervision Group  
Federal Reserve Bank of New York

**Mark Katzelnick**

Chief Risk and Compliance Officer  
Fidelity Investments

**Peter Driscoll**

Director, Office of Compliance Inspections and Examinations  
U.S. Securities and Exchange Commission (SEC)

**9:40am – 10:00am**

**Featured Speaker: Stuart Wexler, Group General Counsel of NEX Group**

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## **Appreciating Clearing and Settlement Risks in the UST Market: Recent work by the Treasury Market Practices Group (TMPG)**

Following the Joint Staff Report (2015), the TMPG began a study of clearing and settlement practices in the Treasury securities market in 2016 to see if they have kept pace with market evolution, culminating in the publication of a white paper exploring such issues and a recent paper recommending enhanced best practices in this area. A member of the TMPG will provide an overview of the work done by the TMPG, the feedback received from market participants, and TMPG's recommendation that all market stakeholders ensure they contribute to a healthy and robust clearing and settlement ecosystem for this critically important market.

### **Speaker**



**Stuart Wexler**  
Group General Counsel  
NEX Group

**10:00am – 10:20am**

**Networking Break**

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Sponsored by Verizon Business Group

**10:20am – 11:00am**

**Featured Panel: Perspectives on Financial Services Leadership and Innovation**

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Join industry leaders as they discuss the importance of leadership and innovation in our industry given changing consumer expectations, a changing workforce, industry consolidation and transformation. Panelists will share their views on the skills and attributes required for future leaders and what their firms are doing to take their leadership development programs to the next level. The session will include a discussion on diversity and firms' approach for both short and long term with a specific focus on adding more diversity in senior leadership roles. Panelists will also opine on how digital has transformed and is transforming the entire value chain in financial services and provide views on fintech issues and disruptive technologies are your firms grappling with now.



## Moderator



**Claire Santaniello**

Managing Director & Head of Operations  
Pershing LLC, a BNY Mellon Company

## Panelists



**Frederic Crosnier**

Head of Global Markets and Investment Banking and Capital Markets Operations  
Credit Suisse



**Olga Naumovich**

Managing Director  
Goldman, Sachs & Co.



**Staci Sullivan**

President, Operations  
TD Ameritrade Clearing, Inc.

**11:00am – 11:20am**

**Featured Speaker: Steven J. Randich, Executive Vice President and Chief Information Officer, FINRA**

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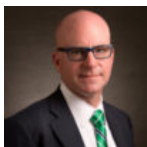
## Changing the firms digital experience with FINRA

FINRA has created a culture of innovation, and become industry leaders in the use of its technology tools and resources. With the move to the cloud, devops automation over the years, and now being named the CAT Processor, there are many opportunities for becoming not only a better regulator, but a better service provider to the firms. FINRA is on a mission to change the digital experience that the firms have today, to make it easier, and simpler – changing the way we partner and continue to innovate to provide the best possible service.

## Speaker

**Steven J. Randich**

Executive Vice President and Chief Information Officer  
FINRA



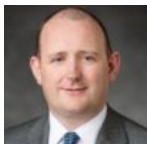
**11:20am – 12:00pm**

**Featured Panel: DTCC Leaders on Clearing & Settlement Initiatives**

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This panel will address the critical role of the DTCC in managing risk, clearing operations and capital on behalf of the industry. You will hear from the senior leaders of the DTCC who are shaping important capital and cyber risk management efforts and leading innovation as the industry's largest financial markets utility. The panel will also discuss DTCC led projects for 2019 and beyond including Settlement Optimization and others.

**Moderator**



**Phil Davies**

Managing Director and Global Head of Operations  
Morgan Stanley

**Panelists**



**Timothy Cuddihy**

Managing Director, Financial and Operational Risk Management (FORM)  
DTCC



**Lisa Hershey**

Managing Director, Head of Operational Risk Management  
DTCC



**Murray C. Pozmanter**

Managing Director and General Manager, Systemically Important Financial Market Utility (SIFMU)  
DTCC

**12:00pm – 1:00pm**

**Breakout Session 1: LIBOR**

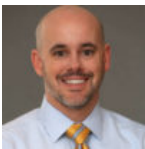
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LIBOR is the most widely used reference rate in the world, referenced in trillions of dollars of bond and swap transactions. However, its future is uncertain. Global regulators have directed market participants to develop alternatives to LIBOR, and it is unclear whether LIBOR will exist after 2021. In the US, the Alternative Reference Rates

Steering Committee has developed an alternative – SOFR – and trading has commenced in futures, swaps, and bonds referencing this new, more robust rate.

During this session, subject matter experts will discuss open issues and the roadmap. Many issues remain to be addressed, and much work still needs to be done across the industry to prepare for a broader transition to new rates. LIBOR is not just about bonds and swaps – it is also used in internal models, agreements, systems and other areas. Panelists will discuss where we are, where we are going, and what the industry needs to focus on to enhance resiliency and the robustness of our financial markets as we move towards new reference rates.

## Moderator



**Chris Killian**

Managing Director, Securitization and Corporate Credit  
SIFMA

## Panelists



**David Bowman**

Special Adviser to the Board  
Federal Reserve Board of Governors



**Roy Choudhury**

Partner, Financial Services Advisory  
EY



**Jason Granet**

Managing Director  
Goldman Sachs



**Alex Roever**

Managing Director and Head of Interest Rate Strategy  
JPMorgan Chase & Co.

## Breakout Session 2: Future of Operations Professionals

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The role of the operations professional continues to evolve – driving the securities industry’s efforts to adopt new technologies, innovate processes and products, and expand the role to understanding and managing risk. As operations changes and

evolves, this panel will explore the new skills, responsibilities and the place in the firm that ops professionals will take on.

## Moderator



**Marc Winters**

Managing Director, Global Head of Client Operations  
Bank of America

## Panelists



**Susan Crozier**

Director, Product Management & Regulatory Affairs  
FIS



**Krissy Davis**

Partner  
Deloitte



**Ed Morris**

Head of Sales, Financial Services  
Google Cloud

## Breakout Session 3: Customer Account Transfer

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The Customer Account Transfer (CAT) Forum, with their partner DTCC have identified opportunities to modernize the transfer process. This panel of industry experts will continue to explore the industry's efforts to expedite the movement of assets, including the impact that interacting systems and processes have on our ability to significantly shorten the ACAT cycle.

## Moderator



**Kelly Cornwell**

Manager, FAS Mutual Fund Administration  
Vanguard

## Panelists

**Bill J. Kapogiannis**

Executive Director, Product Management - Equity Clearing

**DTCC****Edward Leddy**

Director

Merrill Lynch

**Kevin Moran**Managing Director, Global Head of Managed Services Operations  
Broadridge Financial Solutions, Inc.**Evan Oliveaux**

Vice President

Fidelity Investments

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**Breakout Session 4: Managing Operational Risk Including IT Failures and Cyber Threats**

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This panel of industry experts will discuss the techniques and tools that firms are employing to increase resilience and reduce the probability of operational failure. Many failures were the result of poor technology change management processes, prompting more awareness operational, cyber and technology resilience. How do you manage towards production stability and achieve recovery time objectives including the use of software and other tools without compromising client experience?

**Moderator****Anthony Lichty**

Director

Edward Jones

**Panelists****Michael J. Alexander**President, Wealth & Capital Markets Solutions  
Broadridge Financial Solutions Inc.**Andrew Retrum**Managing Director  
Protiviti**Louis J. Rosato, III**



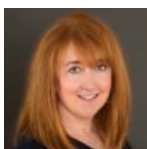
Director, Investment Operations Group  
BlackRock

## **Partner Workshop: Fannie Mae – Single Security: Countdown to Launch**

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This workshop reviews the upcoming changes to the “to-be-announced” (TBA) mortgage market with the implementation of the Single Security Initiative going live on June 3<sup>rd</sup> this year. Representatives from the government-sponsored enterprises (GSEs), both Fannie Mae and Freddie Mac, will present valuable information to any firm that participates in the TBA market or invests in single-family mortgage-backed securities (MBS). Workshop attendees have the opportunity to delve into the intricacies of the optional PC Exchange and the new “uniform MBS,” (UMBS) commingled securities. The GSEs are here to answer questions and assist firms in getting to the finish line.

### **Speakers**



**Jamie Miller**  
Senior Director, Investments & Capital Markets  
Freddie Mac



**Stephanie Milner**  
Director - Capital Markets and Securitization  
Fannie Mae

## **Partner Workshop: Google Cloud – Machine Learning & Microservices: Upskilling for Operations**

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Today’s operations teams manage processes. Tomorrow’s operations teams will manage automation that manages the processes. In this session, Google Cloud breaks down four compelling concepts 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

**1:00pm – 2:30pm**

**Networking Lunch – Exhibition Hall**

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**1:30pm – 1:50pm**

**Learning Lab: Verizon Business Group – The Future of 5G in Financial Services**

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5G is the next generation of mobile broadband technology that promises not only immense changes in speed, throughput, connectivity and cost but changes in the way we do business and our daily lives. This session will educate the audience on what 5G is, time frames for deployment and examples and use cases of how it will effect the financial services community.

## Speaker



**Serhad Doken**

5G Emerging Technology Incubation & Innovation Ecosystem Leader  
Verizon Business Group

**2:00pm – 2:20pm**

**Learning Lab: Doxim – Bringing Digital Transformation to Securities Backed Lending: A Customer Story**

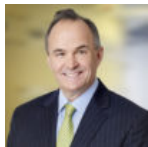
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Leaders from The Bancorp will outline how they used Doxim's Client Onboarding solution to help transform the Securities Backed Lending (SBL) process, so clients can meet liquidity needs quickly, without selling holdings. They will share how they addressed pain points during SBLOC origination, used digitization to re-envision and streamline the process, and ensured their new tool was adopted across the organization. By incorporating liability management into their asset management



conversations, The Bancorp's advisors respond to lending needs as part of a broader investment strategy. They can do so knowing the technology is in place to deliver SBLOCs quickly and easily.

## Speakers



**William Cassidy**

Executive Vice President – Head of Sales, Institutional Banking  
The Bancorp



**Jeff Hazelwood**

Managing Director – Banking Solution Manager, Institutional Banking  
The Bancorp

**3:00pm – 4:30pm**

### Women's Leadership Event

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Join industry leaders for a lively conversation on the challenges and opportunities in the financial services sector. SIFMA's second annual Women's Leadership Event is open to all attendees and will be immediately followed by a reception.

Sponsored by Deloitte , Fidelity Clearing & Custody Solutions | Fidelity Corporate Actions Solutions, MarketAxess Corporation , Protiviti and PwC

## Moderator



**Gail Manley**

Director, Diversity & Inclusion  
Fidelity Investments

## Panelists



**Kim Bozzella**

Managing Director  
Protiviti



**Krissy Davis**

Partner  
Deloitte

**Camille McKelvey**





Head of Business Development STP  
Trax



**Grace Vogel**  
Managing Director, Financial Services Advisory Practice  
PwC

**10:00pm – 12:00am**

**After Hours Networking Reception**

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Sponsored by Fidelity Clearing & Custody Solutions

**Thursday May 9, 2019**

**7:00am – 11:00am**

**Registration Desk Hours**

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**7:45am – 11:00am**

**General Session with Breakfast**

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**8:15am – 8:40am**

**Featured Speaker: Scott Penberthy, Director of Applied AI, Google**

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Advanced AI for People in a Hurry- What if we could re-imagine and connect science, math, physics, biology, chemistry, and systems techniques that Einstein used for his theory of relativity work over 100 years ago? At Google, we do just that. We use the universal approximation theorem that, when applied correctly, improves processing time by  $10^5$ - $10^6$ , with double digit improvement in quality. Learn how yesterday's innovations are still shaping today's operations, specifically for capital markets firms.

## Speaker



**Scott Penberthy**  
Director of Applied AI  
Google

**8:40am – 9:05am**

**Featured Speaker: Christopher Rigg, Principal and Capital Markets Technology Lead, EY**

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The Future of the Capital Markets: How technology is disrupting the ecosystem that serves Issuers and Investors and the implications for the current participants.

Technology has impacted virtually all aspects of the capital markets and the pace of change is accelerating. We will examine how these changes are impacting the roles and functions of the organizations that make up the ecosystem function and the value they are able to create.

## Speaker



**Christopher Rigg**

Principal and Capital Markets Technology Lead  
EY

**9:05am – 9:30am**

**Featured Speaker: Marianne Brown, Chief Operating Officer, Global Financial Solutions, FIS**

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The Future is Now – Innovative developments and disruptive technologies continue to morph the world we live in today. The gadgets and technologies we once thought were so “far-fetched” and “out of this world”.... are part of our now. It’s a very exciting time for technology!

## Speaker



**Marianne Brown**

Chief Operating Officer, Global Financial Solutions  
FIS

**9:30am – 10:00am**

**Featured Speaker: Anand Sekhar, Vice President, Practice Management & Consulting, Fidelity Clearing & Custody Solutions**

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## Client Experience / Examples of Excellence

This program outlines specific approaches to help advisors delight clients and prospects through the experiences they deliver. Topics include:

- Best practice examples from inside/outside the industry

- Client segmentation
- Client communications
- Creating impactful moments
- Hosting meaningful events
- Engaging centers of influence

## Speaker

**Anand Sekhar**

Vice President, Practice Management & Consulting  
Fidelity Clearing & Custody Solutions

**10:00am – 11:00am**

**Featured Panel: The Transformation of Vendor Solutions**

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Recent advances in Fintech have driven a transformation of middle- and back-office functions. As firms evaluate new products and services, which will be most impactful to their firms? With new offerings in robotics to artificial intelligence, big data to cyber, panelists will share how these new initiatives can reduce risk while driving greater efficiencies.

## Moderator

**Kevin Pleiter**

Principal, Advisory Services  
Grant Thornton

## Panelists

**Dave Allen**

Senior Product Manager  
NRI

**Gerard Bermingham**

Executive Director  
IHS Markit

**Nathan Call**

Director of RegTech Solutions, Protegent, Institutional and Wholesale  
FIS



**Rob Klapprodt**  
Corporate Strategy Officer  
Vestmark, Inc.

**11:00am – 11:00am**

**Conference Adjourns**

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