Operations Conference & Exhibition

Monday May 6, 2019

12:30pm – 12:30pm
2019 SIFMA Operations Conference & Exhibition

12:30pm – 5:30pm
Pre-Conference Activity: Golf Tournament

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.

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

Welcome Hospitality Refreshments

Sponsored by DTCC

3:30pm – 4:30pm
Partner Workshop: Vestmark, Inc. – Flexible Portfolio Solutions Enabling Better Client Outcomes
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**

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**

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**

Sponsored by IBM

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**Tuesday May 7, 2019**

**7:00am – 6:00pm**

**Registration Desk Hours**

**7:15am – 8:15am**

**Networking Breakfast in the Exhibition Hall**

**7:30am – 7:50am**

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

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.

[https://www.sifma.org/event/ops/](https://www.sifma.org/event/ops/)
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**

8:10am – 8:15am  
Welcome to SIFMA Ops 2019

**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
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

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

**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

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

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

Sponsored by Google Cloud

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

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](image)

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

**Panelists**

![Michael DeBevec](image)

**Michael DeBevec**
Head of Global Investment Operations
BlackRock

![Thomas A. Giacalone](image)

**Thomas A. Giacalone**
Managing Director
UBS AG

![Kelly Metz](image)

**Kelly Metz**
Managing Director, Operations
Wells Fargo Clearing Services, LLC

![Claire Santaniello](image)

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

**Thomas Tremaine**
Executive Vice President and Chief Operations Officer
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

Sponsored by Tata Consultancy Services

12:40pm – 1:00pm

Learning Lab: PwC – Citizen Led Automation: Driving Innovation from the Trenches

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

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

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)

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

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
Panelists

**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**

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

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
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**

Sponsored by Google Cloud

**3:30pm – 4:30pm**

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

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**

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

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
Breakout Session 4: Buy-Side Operations Perspective

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
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**

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**

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

Sponsored by Google Cloud

Wednesday May 8, 2019

7:00am – 4:30pm
Registration Desk Hours

7:00am – 8:00am
Networking Breakfast – Exhibition Hall

7:30am – 7:50am
Learning Lab: Kingland – The Art of the Possible: Unstructured Data and Text Analytics

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

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

Speaker

Joseph L. Seidel  
Chief Operating Officer  
SIFMA

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

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

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**

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**
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

Sponsored by Verizon Business Group

10:20am – 11:00am
Featured Panel: Perspectives on Financial Services Leadership and Innovation

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

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

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

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

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**

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

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

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 3rd 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


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*

**1:30pm – 1:50pm**

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

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*

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

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 Bozella
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

Sponsored by Fidelity Clearing & Custody Solutions

Thursday May 9, 2019

7:00am – 11:00am
Registration Desk Hours

7:45am – 11:00am
General Session with Breakfast

8:15am – 8:40am
Featured Speaker: Scott Penberthy, Director of Applied AI, Google

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
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**

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**

**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

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