



Corporate Actions Section
SIFMA OPERATIONS & TECHNOLOGY SOCIETY

14th GLOBAL CORPORATE ACTIONS FORUM

October 5, 2017 | Wyndham Boston Beacon Hill | Boston, MA

PROGRAM

Thursday
October 5, 2017

8:00AM – 9:00AM

Registration and Continental Breakfast

9:00AM – 9:10AM



President’s Opening Remarks

PARTICIPANTS
Lawrence Conover

9:10AM – 10:00AM



Regulatory Perspective with FINRA, NYSE and NASDAQ

This panel discussion with FINRA, NYSE and NASDAQ will highlight various issues, challenges and risks within Corporate Action processing. The panel will review efforts within these organizations that are helping...

PARTICIPANTS
Lawrence Conover, Patricia Casimates, Silvio (Joe) Conte, Tara Petta

10:00AM – 10:45AM



Transfer Agents, Brokers, and DTCC – Issues and Synergies

This interactive panel discussion will focus on the flow of financial transactions, corporate actions processing, and information reporting between Transfer Agents, Brokers and DTCC. Hear from leading industry experts on...

PARTICIPANTS
Carly Byrd, John O’Day, Christine Hensel, Neda Sheridan, Christopher Scotto

10:45AM – 11:00AM



Networking Break

Sponsored By: [FIS](#)

11:00AM – 12:30PM



Industry Challenges and Best Practices: Breakout Sessions

Dividend Committee Wes Colbert, Anna Schiermann & John O’Day Baker Hughes Merger and \$17.50 Special Dividend Distribution – CUSIP 057224107 Fiat Chrysler Automobiles (CUSIP: N31738102) Spin-off with elections – US...

PARTICIPANTS
Wes Colbert, John O’Day, Anna Schiermann, Christopher Thiebaut, Cynthia Rainis-Tirino, Nick Sblano, Julia Dumont

12:30PM – 1:30PM



Networking Luncheon

Sponsored By: [Financial Information Incorporated \(FII\)/Financial Technologies Solutions, LLC \(FTS\)](#)

Program as of 4/10/18. All information subject to change. For the most current program, visit www.sifma.org.

1:30PM – 2:00PM		
+	<p>DOL Fiduciary Rule – Regulatory Update</p> <p>SIFMA Associate General Counsel, Lisa Bleier, will share the latest status of the DOL Fiduciary rule and expected implementation timelines and milestones. Key operational challenges, and how firms are responding...</p>	<p>PARTICIPANTS</p> <p>Lisa J. Bleier</p>
2:00PM – 3:00PM		
+	<p>Global Market Practices – Blockchain</p> <p>Blockchain technology is quickly moving from theoretical use case discussions to practical applications in the Global Financial Services arena. Hear from industry experts on how Blockchain is being applied to...</p>	<p>PARTICIPANTS</p> <p>Paul A. Conn, Lyell Dampeer, Bradley Koehler, Artem Korenyuk</p>
3:00PM – 3:15PM		
<p>Networking Break</p>		
3:15PM – 4:00PM		
+	<p>Global Tax Regulations</p> <p>Industry experts will speak on global tax regulations affecting the Financial Markets, including 871(m) and 305C as well as the latest changes in global market requirements for tax relief and...</p>	<p>PARTICIPANTS</p> <p>Greggory Lewis, Richard Ryndak</p>
4:00PM – 4:15PM		
+	<p>DTCC CA Transformation Update</p> <p>This session will provide an update on the DTCC Corporate Action Transformation Phase 5 for Reorganizations, including the timing and next steps of this important industry initiative.</p>	<p>PARTICIPANTS</p> <p>Christopher Scotto</p>
4:15PM – 4:45PM		
+	<p>Proxy and Corporate Actions Shareholder Communications Update</p> <p>Shareholder actions and proxy topics continue to be a top discussion in the industry. Panelists will address the latest industry issues and challenges, including regulatory focus on the capital formation...</p>	<p>PARTICIPANTS</p> <p>Leonard (Len) Belvedere, Wes Colbert, Jean Luther, Charles (Chip) Pasfield</p>
4:45PM – 5:15PM		
+	<p>Bankruptcy Processing</p> <p>In a conversation led by Cynthia Rainis of Deutsche Bank, Epiq's Executive Vice President, Jane Sullivan, will discuss the challenges and potential best practices in Bankruptcy offerings as well as...</p>	<p>PARTICIPANTS</p> <p>Cynthia Rainis-Tirino, Jane Sullivan</p>
5:15PM – 5:20PM		
+	<p>Closing Remarks</p>	<p>PARTICIPANTS</p> <p>Lawrence Conover</p>
5:20PM – 6:15PM		
+	<p>Networking Reception</p> <p>Co-Sponsored By: Chicago Clearing Corporation and GlobeTax</p>	