



# C&L SOCIETY NEW YORK REGIONAL SEMINAR

NOVEMBER 5 | MARRIOTT MARQUIS



## PROGRAM

**Monday**  
November 5, 2018

8:00AM – 5:45PM

**Registration Desk Hours**

8:00AM – 8:35AM

**Networking Breakfast**

8:35AM – 8:45AM

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**Welcome Remarks**

### SPEAKER



**Barbara Armeli**  
Chief Compliance Officer  
[Charles Schwab & Co., Inc](#)

8:45AM – 10:00AM

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**Concurrent Session: Corporate and Investment Bank  
Current Issues**

### MODERATOR



**Scott W. Anderson**  
Managing Director Americas  
Head of Investment Bank  
Compliance & Operational  
Risk Control  
[UBS](#)  
[Biography](#)

### SPEAKERS



**Craig Barrack**  
Managing Director & General  
Counsel  
[Citigroup](#)  
[Biography](#)



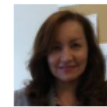
**Michael Kim**  
Managing Director  
[Morgan Stanley](#)  
[Biography](#)



**Yoon-Young Lee**  
Partner  
[WilmerHale](#)  
[Biography](#)

## Concurrent Session: Current Issues in Wealth Management & Investment

### MODERATOR



**Mara Galeano**  
Managing Director & Deputy  
General Counsel  
[UBS Financial Services Inc.](#)  
[Biography](#)

### PANELISTS



**Richard D. Marshall**  
Partner  
[Katten Muchin Rosenman LLP](#)  
[Biography](#)



**Phil Martin**  
Managing Director,  
Compliance  
[Charles Schwab & Co., Inc](#)  
[Biography](#)



**Kelly Orzillo**  
Deputy Director of Wealth  
Management Investment  
Advisory Compliance  
[UBS](#)  
[Biography](#)



**Anna Pacewicz Hill**  
Executive Director  
Morgan Stanley  
[Biography](#)



**Carlos Pelayo**  
Wealth & Investment  
Management, Legal Executive  
[Bank of America Merrill Lynch](#)  
[Biography](#)

10:00AM – 10:20AM

## Networking Break

Sponsored by [Bressler, Amery & Ross](#)

10:20AM – 11:20AM

## General Session: Washington Update

### MODERATOR



**Ira D. Hammerman**  
Executive Vice President &  
General Counsel  
[SIFMA](#)  
[Biography](#)

### PANELISTS



**Andy Blocker**  
Head of US Government  
Affairs  
[Invesco Ltd.](#)  
[Biography](#)



**Jeffrey T. Brown**  
Senior Vice President,  
Legislative and Regulatory  
Affairs  
[Charles Schwab & Co., Inc.](#)  
[Biography](#)



**John Savercool**  
Senior Lobbyist and Managing  
Director  
[UBS Americas, Inc.](#)  
[Biography](#)



**Michael Thompson**  
Managing Director and Head  
of U.S. Government Affairs  
[Goldman, Sachs & Co.](#)  
[Biography](#)

11:20AM – 12:05PM

— **SEC Featured Speaker**

**SPEAKER**



**Brett Redfearn**  
Director, Division of Trading  
and Markets  
[U.S. Securities and Exchange  
Commission](#)  
[Biography](#)

12:05PM – 1:05PM

— **Networking Luncheon**

Sponsored by [McGuireWoods LLP](#)

1:05PM – 2:20PM

— **Concurrent Session: Sales & Trading**

**MODERATOR**



**Neil Rosolinsky**  
Deputy General Counsel,  
Litigation & Employment  
[Citizens Financial Group](#)  
[Biography](#)

**PANELISTS**



**Vaishali Javeri**  
Director & Counsel  
[Credit Suisse](#)  
[Biography](#)



**Angie Karna**  
Managing Director, Legal  
[Nomura Securities, Inc.](#)  
[Biography](#)



**Theodore R. Lazo**  
Managing Director &  
Associate General Counsel,  
Equities  
[SIFMA](#)  
[Biography](#)



**Kate Lesker**  
Associate, Litigation; SEC  
Enforcement; Government  
Enforcement  
[Skadden, Arps, Slate,  
Meagher & Flom LLP](#)  
[Biography](#)

## Concurrent Session: Ethics

### MODERATOR



**Joellen Valentine**

Director, Associate General Counsel

[Citigroup](#)

[Biography](#)

### PANELISTS



**Cheryl J. Scarboro**

Partner

[Simpson Thacher & Bartlett LLP](#)

[Biography](#)



**Daniel Silver**

Litigation & Dispute Resolution Partner

[Clifford Chance](#)

[Biography](#)



**Michael Stone**

Senior Fellow & Director of Compliance

[Cardozo & Fordham Law Schools](#)

[Biography](#)



**James Q. Walker**

Partner

[Richards Kibbe & Orbe LLP](#)

[Biography](#)

2:20PM – 3:20PM

## General Session: Hot Topics in Compliance

### MODERATOR



**Susan Boudrot**

Managing Director and Global CCO

[TD Ameritrade Holding Corporation](#)

[Biography](#)

### PANELISTS



**Lisa M. Francomano**

Executive Director, Chief Compliance Officer, Advisory Business

[UBS](#)

[Biography](#)



**Ben A. Indek**

Partner

[Morgan, Lewis & Bockius](#)

[Biography](#)



**Douglas Siegel**

Managing Director & Chief Compliance Officer

[Oppenheimer](#)

[Biography](#)



**Michael D. Solomon**

Senior Vice President and Regional Director

[FINRA](#)

[Biography](#)

3:20PM – 3:40PM

## Networking Break

Sponsored by [Morgan, Lewis & Bockius LLP](#)

3:40PM – 4:40PM

## General Session: Enforcement

### MODERATOR



**Susan F. Axelrod**

Chief Supervisory Officer

[Merrill Lynch](#)

[Biography](#)

### PANELISTS



**Joon H. Kim**

Partner

[Cleary Gottlieb Steen & Hamilton LLP](#)

[Biography](#)



**Mark D. Knoll**

Principal

[Bressler, Amery & Ross, P.C.](#)

[Biography](#)



**Ilene Marquardt**

Head of Regulatory and Other Investigations

[UBS](#)

[Biography](#)



**Steven Peikin**

Co-Director, Division of Enforcement

[U.S. Securities and Exchange Commission](#)

[Biography](#)



**Susan A. Schroeder**

Executive Vice President and Head of Enforcement

[FINRA](#)

[Biography](#)

4:40PM – 4:45PM

## Closing Remarks

### SPEAKER



**Brent H. Taylor**

Managing Director & General Counsel

[UBS](#)

4:45PM – 5:45PM

## Networking Reception

Sponsored by [Consilio](#)