



C&L 2017 ANNUAL SEMINAR

POCKET GUIDE

MARCH 19-22

MARRIOTT MARQUIS
SAN DIEGO MARINA

C&L 2017 MOBILE APP

Search for 'SIFMA Events' in the app store and download the mobile app for full event details including:

- Attendees
- Program
- Speakers
- Sponsors & Exhibitors
- Activity & City Guides
- Panel Surveys



Username: Your email address used for registration

MOBILE APP SPONSORED BY:



MEETING SPACE WIFI

Network: SIFMA2017

Password: annualeseminar

WELCOME

Dear Colleagues,

It is with great pleasure that we welcome you to SIFMA's 2017 Compliance & Legal Society Annual Seminar. Now in its 49th year, this is the premier event for compliance and legal professionals working in the financial services industry.

The C&L Annual Seminar provides a unique opportunity for industry leaders and regulators to come together to share information and collaborate with the goal of ensuring our capital markets are the most fair, transparent and ethical in the world.

Compliance and legal departments are critical to a firm's effectiveness. In recent years, we have witnessed an explosion of new rules which have put tremendous demands on our compliance and legal professionals. This is not to say that regulation is unnecessary or bad. SIFMA supports a smart financial regulatory framework that does not unnecessarily impede capital formation. We support open and constructive dialogue with our regulators and coordination among agencies to eliminate duplicative or outdated rules. And, we support a path forward that effectively reduces risk, protects investors and improves trust and confidence while also protecting the vitality of our markets.

Our seminar planning committee, led by chairperson, Bari Havlik of Charles Schwab, and co-chairpersons, David Levine of Och-Ziff Capital Management Group and Michelle Oroschakoff of LPL Financial, have once again developed an outstanding program.

Over the next three days, you will have the opportunity to hear from some of the industry's biggest names. General Session keynote speakers include: Preet Bharara, United States Attorney, Southern District of New York at the DOJ; Jan Lynn Owen, Commissioner at the California Department of Business Oversight; Kenneth E. Bentsen, Jr., President and CEO at SIFMA; and Robert W. Cook, President and Chief Executive Officer at FINRA.

In addition, each day's breakout sessions will draw from more than 120 organizations - member firms, law firms, regulators, academics and others - to share their expertise, experience and perspectives. With more than 60 sessions to choose from, we will cover core and emerging topics and provide participants with the opportunity to earn 9+ CLE and Ethics CLE credits.

We do hope you will join us for our professional development events, including a Women's Luncheon with Suni Harford, Managing Director, Regional Head of Markets, North America at Citi and member of SIFMA's Board of Directors, and our Diversity and Inclusion Breakfast with Christopher Lewis, Principal and General Counsel at Edward Jones along with Sandra Grannum, Partner at Drinker Biddle & Reath LLP, and Christopher P. Reynolds, Managing Officer, General Counsel and Chief Legal Officer at Toyota Motor Corporation.

Finally, we encourage you to make the most of your time in San Diego by participating in a variety of extracurricular activities ranging from a golf outing to a community service experience. Everyone is welcome, but pre-registration is required.

On behalf of SIFMA and SIFMA's Compliance & Legal Society, thank you for joining us.

With kindest personal regards,

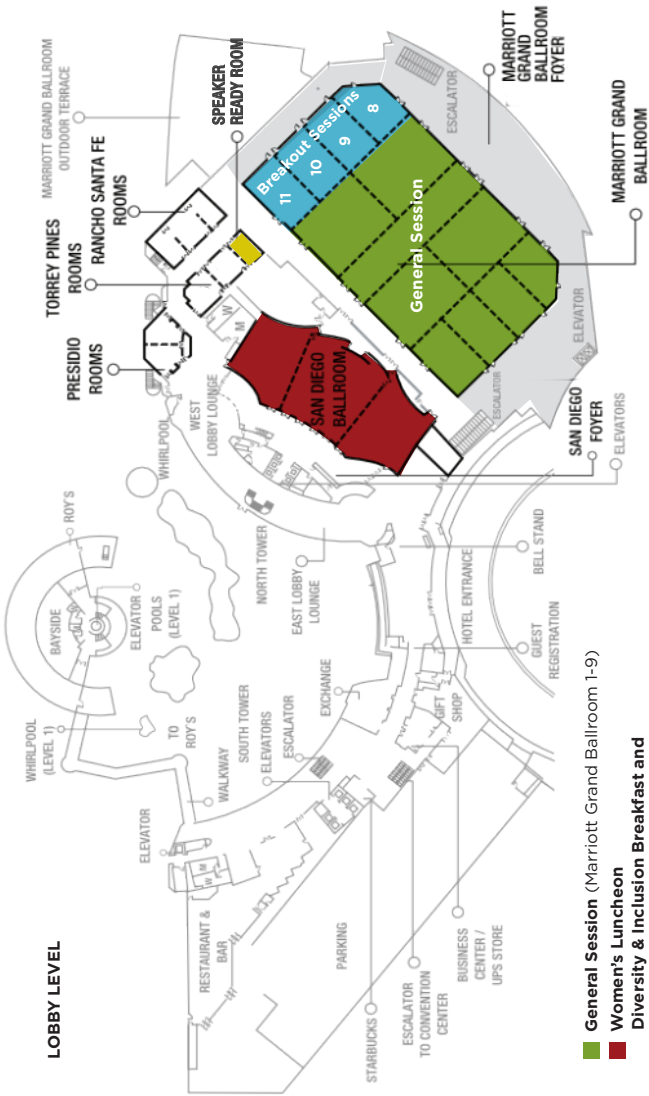


David C. Prince

President

SIFMA Compliance & Legal Society
General Counsel and Chief Compliance Officer
Stephens Investment Management Group, LLC

LOBBY LEVEL



General Session (Marriott Grand Ballroom 1-9)

**Women's Luncheon
Diversity & Inclusion Breakfast and
Tools for School** (San Diego Ballroom)

Breakout Sessions 8-11 (Marriott Grand Ballroom 10-13)

Speaker Ready Room (Torrey Pines 1)

SEMINAR AT-A-GLANCE

SUNDAY, MARCH 19

3:00 PM – 8:00 PM

Registration Desk Hours

Pacific Ballroom

3:00 PM – 6:00 PM

Exhibition Hall Hours

Pacific Ballroom

3:00 PM – 6:00 PM

Welcome Hospitality Refreshments

Pacific Ballroom

Sponsored by Skadden, Arps, Slate, Meagher & Flom LLP

6:00 PM – 8:00 PM

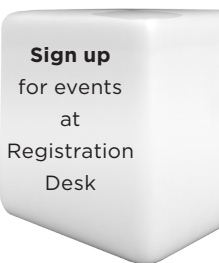
Welcome Reception

Marina Terrace

Co-Sponsored by

Fried, Frank Harris, Shriver & Jacobson LLP

Paul, Weiss, Rifkind, Wharton & Garrison, LLP



MONDAY, MARCH 20

6:30 AM – 7:30 AM

Run For A Purpose

Marina Boardwalk

Sponsored by Orrick, Herrington & Sutcliffe LLP

(Pre-Registration Required)

7:00 AM – 2:00 PM

Registration Desk Hours

Pacific Ballroom

7:00 AM – 2:00 PM

Exhibition Hall Hours

Pacific Ballroom

7:00 AM – 2:00 PM

Professional Headshots

Pacific Ballroom

Sponsored by KPMG LLP

7:00 AM – 7:45 AM

Networking Breakfast

Pacific Ballroom

8:00 AM – 10:00 AM

General Session

Marriott Grand Ballroom

8:00 AM - 8:10 AM

Welcome Remarks



David C. Prince

President

SIFMA Compliance & Legal Society

General Counsel & Chief Compliance Officer

Stephens Investment Management Group, LLC



Bari M. Havlik

Seminar Chairperson

SIFMA

Chief Compliance Officer, Senior Vice President

The Charles Schwab Corporation

8:10 AM - 8:20 AM

Opening Remarks



Jan Lynn Owen

Commissioner

California Department of Business Oversight

8:20 AM - 8:50 AM

A Conversation with SIFMA President and CEO



Kenneth E. Bentsen, Jr.

President and CEO

SIFMA

MODERATOR:



Michelle Oroschakoff

Managing Director, Chief Risk Officer

LPL Financial LLC

8:50 AM - 10:00 AM

Regulatory Priorities

10:00 AM – 10:20 AM

Networking Break

Pacific Ballroom

Co-Sponsored by

Cleary Gottlieb Steen & Hamilton LLP

Norton Rose Fullbright

10:20 AM – 11:35 AM

Session A Panels

See page 12 for schedule and room assignments

SEMINAR AT-A-GLANCE

11:35 AM – 11:55 AM

Networking Break

Pacific Ballroom

Sponsored by Weil, Gotshal & Manges LLP

11:55 AM – 1:10 PM

Session B Panels

See page 13 for schedule and room assignments

1:20 PM – 2:30 PM

Women's Luncheon

San Diego Ballroom



Suni Harford

Managing Director,

Regional Head of Markets, North America

Citi

SIFMA Board of Directors

Sponsored by Clifford Chance US LLP

(Pre-Registration Required)

1:20 PM – 2:30 PM

Networking Lunch

Marina Terrace

Sponsored by Jones Day

1:30 PM – 6:00 PM

Golf Outing

Sponsored by Deloitte

Transportation will depart from Pacific Ballroom Foyer at 1:30 pm

(Pre-Registration Required)

6:00 PM – 8:00 PM

Networking Reception

Marina Terrace

Co-Sponsored by

Davis Polk & Wardwell LLP

Morgan, Lewis & Bockius LLP

Sullivan & Cromwell LLP

TUESDAY, MARCH 21

7:00 AM – 2:00 PM

Registration Desk Hours

Pacific Ballroom

7:00 AM – 2:00 PM

Exhibition Hall Hours

Pacific Ballroom

7:00 AM – 2:00 PM

Professional Headshots

Pacific Ballroom

Sponsored by KPMG LLP

7:00 AM – 7:45 AM

Diversity & Inclusion Breakfast

San Diego Ballroom

MODERATOR:



Christopher Lewis

Principal, General Counsel
Edward D. Jones & Co., L.P.

PANELISTS:



Sandra D. Grannum

Partner
Drinker Biddle & Reath LLP



Christopher P. Reynolds

Managing Officer, General Counsel and
Chief Legal Officer
Toyota Motor Corporation

Sponsored by WilmerHale

(Pre-Registration Required)

7:00 AM – 8:00 AM

Networking Breakfast

Pacific Ballroom

8:00 AM – 10:00 AM

General Session

Marriott Grand Ballroom

8:00 AM – 8:05 AM

Welcome Remarks

8:05 AM – 8:15 AM

Presentation of the Alfred J. Rauschman Memorial Award to Edward Turan

8:15 AM – 8:50 AM

Potential Regulatory Change Under the New Administration

8:50 AM – 10:00 AM

Enforcement Priorities

10:00 AM – 10:20 AM

Networking Break

Pacific Ballroom

Sponsored by Sidley Austin LLP

SEMINAR AT-A-GLANCE

10:20 AM – 11:35 AM

Session A Panels

See page 14 for schedule and room assignments

11:35 AM – 11:55 AM

Networking Break

Pacific Ballroom

Sponsored by Proskauer Rose LLP

11:55 AM – 1:10 PM

Session B Panels

See page 15 for schedule and room assignments

1:20 PM – 2:30 PM

Networking Lunch

Marina Terrace

Sponsored by Cravath, Swaine & Moore LLP

3:00 PM – 5:00 PM

Tools For School, A C&L Community Service Event

San Diego Ballroom

(Pre-Registration Required)

6:00 PM – 8:30 PM

Networking Reception on the USS Midway

Co-Sponsored by

Allen & Overy LLP

Bressler, Amery & Ross, P.C.

Kirkland & Ellis LLP

The USS Midway is walking distance from all seminar hotels, but shuttle bus service will also be available outside of the Pacific Ballroom Foyer at the Marriott Marquis and the Hilton San Diego Bayfront.

10:00 PM – 12:00 AM

After Hours Evening Reception

Marriott Grand Ballroom Foyer

Sponsored by Ropes & Gray LLP

WEDNESDAY, MARCH 22

7:00 AM – 10:45 AM

Registration Desk Hours

Pacific Ballroom

7:00 AM – 10:45 AM

Exhibition Hall Hours

Pacific Ballroom

7:15 AM – 8:00 AM
Networking Breakfast

Pacific Ballroom

8:00 AM – 9:00 AM
General Session

Marriott Grand Ballroom

8:00 AM – 8:05 AM
Welcome Remarks



Michelle Oroschakoff
Managing Director, Chief Risk Officer
LPL Financial LLC

8:05 AM – 9:00 AM
**A Conversation with
Robert Cook and Ira Hammerman**



Robert W. Cook
President and Chief Executive Officer
FINRA



Ira D. Hammerman
Executive Vice President & General Counsel
SIFMA

9:00 AM – 9:15 AM
Networking Break

Pacific Ballroom

9:15 AM – 10:30 AM
Session A Panels

See page 16 for schedule and room assignments

10:30 AM – 10:45 AM
Networking Break

Pacific Ballroom

10:45 AM – 12:00 PM
Session B Panels

See page 17 for schedule and room assignments

12:00 PM
Seminar Adjourns

Don't forget to drop off your
CLE attendance tracker form at
the CLE information desk!

**Due by
Mar. 22**

PANELS AT-A-GLANCE

MONDAY, MARCH 20

Session A Panels: 10:20 AM – 11:35 AM

- MA-1 Legal Issues for Small and Regional Firms
Pacific Ballroom 14
- MA-2 What Does the DOL Rule Mean for the Rest of the Business
Pacific Ballroom 15
- MA-3 Evolving Robo Advisor Compliance Programs
Pacific Ballroom 16
- MA-4 Diminished Capacity Issues for Investors and Advisors
Pacific Ballroom 17
- MA-5 Litigation Update - Regulatory and Criminal
Pacific Ballroom 23-24
- MA-6 Using Data Analytics to Enhance Compliance Programs
Pacific Ballroom 25
- MA-7 Developments in AML: Traps for the Unwary
Pacific Ballroom 26
- MA-8 Latest Developments Affecting Research
Marriott Grand Ballroom 10
- MA-9 A Practitioner's Guide to Managing a Regulatory Investigation
Marriott Grand Ballroom 11
- MA-10 Electronic and Algorithmic Trading
Marriott Grand Ballroom 12
- MA-11 Current Issues in Prime Brokerage, Securities Lending and Custody
Marriott Grand Ballroom 13

Session B Panels: 11:55 AM – 1:10 PM

- MB-1 Private Client CCO Roundtable
Pacific Ballroom 14
- MB-2 Arbitration: Issues and Strategies
Pacific Ballroom 15
- MB-3 Swaps and OTC Derivatives
Pacific Ballroom 16
- MB-4 Managing an Information Security Breach: Regulatory and Reputational Considerations
Pacific Ballroom 17
- MB-5 Current Considerations in Settling Enforcement Matters
Pacific Ballroom 23-24
- MB-6 Everyday Legal Ethical Issues - **Ethics CLE**
Pacific Ballroom 25
- MB-7 Global CCO Perspectives
Pacific Ballroom 26
- MB-8 The Perils of Litigating with Current Employees
Marriott Grand Ballroom 10
- MB-9 Managing Conflicts of Interest With or Without the DOL Rule
Marriott Grand Ballroom 11
- MB-10 Understanding Bank Regulatory Expectations of Compliance Programs
Marriott Grand Ballroom 12
- MB-11 A Practitioner's Guide to Managing a Global Regulatory Investigation
Marriott Grand Ballroom 13

PANELS AT-A-GLANCE

TUESDAY, MARCH 21

Session A Panels: 10:20 AM – 11:35 AM

- TA-1 Selecting and Managing Outside
Counsel & Resources
Pacific Ballroom 14
- TA-2 Cybersecurity: It's Not Just for
Technology Anymore
Pacific Ballroom 15
- TA-3 Private Client Firms: Key Legal
and Regulatory Issues
Pacific Ballroom 16
- TA-4 Behavioral Economics:
Influencing Employee Conduct
Pacific Ballroom 17
- TA-5 Litigation Update: Major Civil Cases
Pacific Ballroom 23-24
- TA-6 Equity Market Structure
Pacific Ballroom 25
- TA-7 Investment Adviser Considerations
for Retail
Pacific Ballroom 26
- TA-8 Municipal Securities: Origination,
Sales & Trading
Marriott Grand Ballroom 10
- TA-9 Internal Investigations: A Simulation
Marriott Grand Ballroom 11
- TA-10 Fiduciary Standards for
Various Business Models
Marriott Grand Ballroom 12
- TA-11 Negotiating Skills:
Learn from the Experts
Marriott Grand Ballroom 13

Session B Panels: 11:55 AM – 1:10 PM

- TB-1 Equity Sales and Trading
Pacific Ballroom 14
- TB-2 Compliance Risk Assessments
Workshop
Pacific Ballroom 15
- TB-3 Regulators' Use of Data Analytics
Pacific Ballroom 16
- TB-4 Power of Partnering and Leveraging
the Value of Diversity - **Ethics CLE**
Pacific Ballroom 17
- TB-5 General Counsel Roundtable
Pacific Ballroom 23-24
- TB-6 Regulatory and Political Challenges in
Approaching a Fiduciary Standard
Pacific Ballroom 25
- TB-7 Fixed Income Sales and Trading
Pacific Ballroom 26
- TB-8 Avoiding Pitfalls in the
Recruitment Process
Marriott Grand Ballroom 10
- TB-9 Arbitrating in the FINRA Forum
Marriott Grand Ballroom 11
- TB-10 Anatomy of an Insider Trading
Investigation
Marriott Grand Ballroom 12
- TB-11 Gaining Credit for Cooperation:
Yates and Beyond
Marriott Grand Ballroom 13

PANELS AT-A-GLANCE

WEDNESDAY, MARCH 22

Session A Panels: 9:15 AM – 10:30 AM

- WA-1 British Pounds and Troy Ounces:
Current Issues in Currency, Commodity
and Energy Markets
Pacific Ballroom 14
- WA-2 Defending Securities Litigation
Pacific Ballroom 15
- WA-3 Handling Whistleblowers: Best Practices
in Responding to Allegations
Pacific Ballroom 16
- WA-4 Private Client Enforcement Priorities
Pacific Ballroom 17
- WA-5 Ask FINRA: A Panel of Senior FINRA
Officials Responds to Your Questions
Pacific Ballroom 23-24
- WA-6 Building and Maintaining an
Ethical Culture - **Ethics CLE**
Pacific Ballroom 25
- WA-7 Personal Liability for Compliance
Officers: How to Protect Yourself
Pacific Ballroom 26
- WA-8 Workshop on Protecting Against Ponzi
Schemes and Penny Stock Fraud
Marriott Grand Ballroom 10
- WA-9 Compliance & Legal Issues in
Investment Banking
Marriott Grand Ballroom 11
- WA-10 An Introduction to Blockchain
Marriott Grand Ballroom 12
- WA-11 Compliance for Small and
Regional Firms
Marriott Grand Ballroom 13

Session B Panels: 10:45 AM – 12:00 PM

- WB-1 Current Challenges of the Volcker Rule
Pacific Ballroom 14
- WB-2 Applying Compliance Controls to
Emerging Communications Technology
Pacific Ballroom 15
- WB-3 Regulators' Views on Roles of
Compliance
Pacific Ballroom 16
- WB-4 Current Issues in Bank Regulation
Pacific Ballroom 17
- WB-5 Privilege and Work Product
Protections: Ethical Considerations
for In-House Teams - **Ethics CLE**
Pacific Ballroom 23-24
- WB-6 Ask The Experts:
General Q&A on the DOL
Pacific Ballroom 25

Airport Shuttles are available outside
the Pacific Ballroom Foyer.
The last shuttle departs at 1:30pm

Win Bose QuietComfort 35 Wireless Noise Cancelling Headphones!

**Stay for WB Sessions
for a chance to win.**

Winner announced in each session at 11:55 AM



UPCOMING EVENTS



COMPLIANCE & LEGAL SOCIETY

REGIONAL SEMINARS



JUNE 7: Boston – Seaport Hotel

JUNE 20: St. Louis – Edward Jones

SEPTEMBER 19: Charlotte – The Ritz-Carlton

AUGUST: San Francisco

NOVEMBER: New York

BREAKFASTS

APRIL 28: Charlotte – Bank of America

JULY 14: Minneapolis – RBC

OCTOBER 6: Toronto – BMO

NOVEMBER 10: Chicago – Mesirow Financial

DECEMBER 1: St. Petersburg – Raymond James
Financial

LUNCHEONS

MAY 9: New York – SIFMA Conference Center

OCTOBER 17: St. Louis – Edward Jones

DECEMBER 6: New York – SIFMA Conference
Center

FOR MORE INFORMATION, VISIT:
www.sifma.org/cl

2017 PLANNING COMMITTEE

2017 SEMINAR CHAIRPERSON

Bari M. Havlik
The Charles Schwab Corporation

SEMINAR CO-CHAIRPERSON

David Levine
Och-Ziff Capital Management Group

SEMINAR CO-CHAIRPERSON, SPONSOR & EXHIBITOR RELATIONS

Michelle Oroschakoff
LPL Financial LLC

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Douglas Kelly
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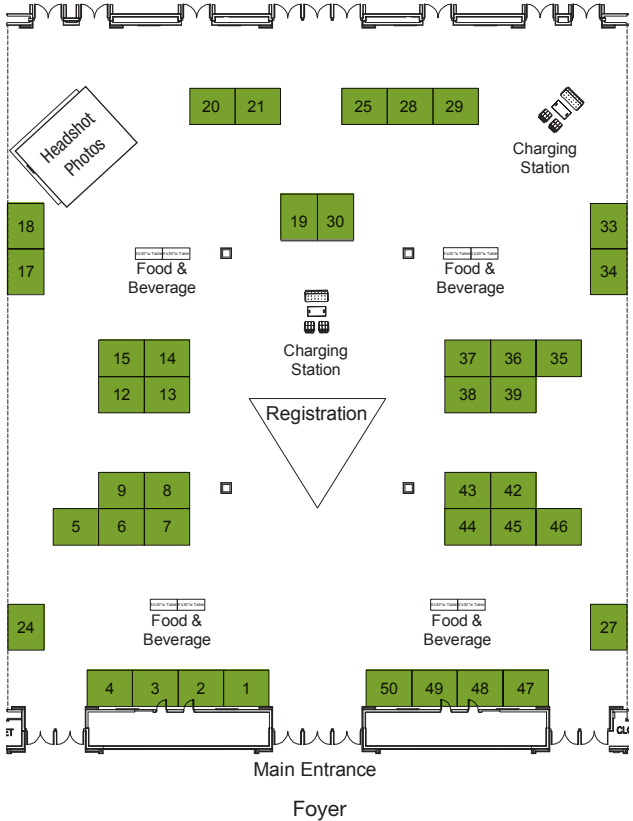


EXHIBITORS



EXHIBITION HALL MAP

PACIFIC BALLROOM



Recharge in the Exhibition Hall & Foyers with 

 **MEETING SPACE WIFI**

Network: SIFMA2017
Password: annualseminar

CLE & Mobile App Help Desk
Pacific Ballroom Foyer

Take a Professional Headshot 
Sponsored by

KPMG

EXHIBITORS (as of 3/10/17)

1	RRS Compliance	27	sia Partners
2	HPE Software Information Management & Governance	28	Exiger
		29	FIS
3	Law 360	33	CT Corporation
4	Intelligize, Inc.	34	King & Spalding
5	Securities Training Corporation	35	Globanet
		36	TD Ameritrade
6	Fidelity Investments	37	RedOwl Analytics, Inc.
7	PwC	38	Charles Schwab & Co.
8	IPC	39	Global Relay Communications, Inc.
9	SMARSH, Inc.	42	Copytalk, LLC
12 & 13	Clutch Group, LLC	43	Financial Industry Technical Services (FITS)
14	EY	44	QuisLex, Inc.
15	Bloomberg	45	ACA Compliance
17	IMS Expert Services	46	AxiomSL
18	n-Tier Financial Services	47	NICE Actimize
19 & 30	Accenture	48	Digital Reasoning Systems, Inc.
20	Iron Mountain	49	Thomson Reuters
21	Veritone, Inc.	50	8of9
24	Bates Group, LLC		
25	MyComplianceOffice		

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