



# FINTECH

TECHNOLOGY, INNOVATION AND SOLUTIONS

JUNE 20-21, 2018 | SIFMA CONFERENCE CENTER, NYC



## PROGRAM

Wednesday  
June 20, 2018

Thursday  
June 21, 2018

12:00PM – 6:00PM

### Registration Desk Hours

12:00PM – 2:00PM

### Lunch with Our Diamond Sponsors

#### Accenture

##### Session 1: Applying The New to Regulatory Change Management

Come and see the new technologies being applied to the regulatory change process to drive operational efficiency and enhanced control as financial institutions continue to develop a Compliance function fit for the digital age.

Speaker: [Ben Shorten](#)

##### Session 2: Blockchain Solution for Consolidated Audit Trail – Customer and Trade Data Reconciliation and Regulatory Submission for CAT

This demonstration uses blockchain as an interface to provide shared common access for broker-dealers with specific privileges to a single secure source of data. The different actors can cross-check data with counterparties flawlessly, removing the need for data reconciliation prior to submitting trade order and reference information to the regulators.

Speaker: [Venetia Woo](#)

##### Session 3: Introduction to Accenture Analytics Chatbot that Communicates with Users Through Messaging Apps, Chat Windows or Voice Using Natural Language

The Analytics Bot takes on the work of analyzing and interpreting large amounts of data to answer business questions based on related transaction, customer and other enterprise data to support decision making. The solution can also serve multiple functions within the organization to help firms prevent cost leakage, save on unwanted expenses related to their resources efforts, increase team productivity and improve decision making and performance over a period of time.

Speaker: [Aron Elston](#)

#### SPEAKERS



##### Ben Shorten

Compliance Transformation  
Lead, North America

[Accenture](#)

[Biography](#)



##### Venetia Woo

North American Regulatory  
Strategy Lead

[Accenture](#)

[Biography](#)














##### Aron Elston

US Lead for Regulatory &  
Compliance Analytics

[Accenture](#)

[Biography](#)

—	<p><b>Broadridge Financial Solutions, Inc.</b></p> <p><b>The AI Force Awakens: What are the Achilles Heel and Real Value of AI</b> The Broadridge hosted fireside chat on Artificial Intelligence features a Q&amp;A discussion on the impact of AI in the financial services industry, the Achilles Heel to deploying AI, and the real value of AI across a network of industry participants. Come learn about the results of the AI sentiment survey Broadridge did and find out which movie resembles the future of AI.</p>	<p><b>SPEAKERS</b></p> <div data-bbox="1133 159 1230 260"></div> <p><b>Michael Alexander</b> President, Wealth &amp; Capital Markets Solutions <a href="#">Broadridge Financial Solutions Inc.</a> <a href="#">Biography</a></p> <p><b>Marc Zutty</b> Vice President, Strategy and Business Development <a href="#">Broadridge Financial Solutions Inc.</a> <a href="#">Biography</a></p>
—	<p><b>IBM</b></p> <p><b>Blockchain Consortium Governance and Operating Model</b> Blockchain technology has moved from pilot/ proof-of-concept phase to real use cases. Many early adopters have formed consortium and come under a network to leverage blockchain among member participants. They have overcome huge hurdles, formed new legal structures and mitigated risks to launch such networks. However, in order to truly scale the network and derive intended benefits the governance and operating model needs to be flushed out. In this session, you'll hear how IBM is working with such consortium to help institute a governance and operating model to better facilitate interaction among member participants of the network.</p>	<p><b>SPEAKER</b></p> <div data-bbox="1133 621 1230 722"></div> <p><b>Saket Sinha</b> Global Vice President &amp; Partner, Global Banking &amp; Financial Markets <a href="#">IBM Global Business Services</a> <a href="#">Biography</a></p>
2:25PM – 2:30PM		
—	<p><b>Welcome Remarks</b></p>	<p><b>SPEAKER</b></p> <div data-bbox="1133 982 1230 1083"></div> <p><b>Randy Snook</b> Executive Vice President, Business Policies &amp; Practices <a href="#">SIFMA</a> <a href="#">Biography</a></p>
2:30PM – 2:55PM		
—	<p><b>Regulator Perspective</b></p>	<p><b>SPEAKER</b></p> <div data-bbox="1133 1276 1230 1377"></div> <p><b>Beth Knickerbocker</b> Chief Innovation Officer <a href="#">Office of the Comptroller of the Currency (OCC)</a> <a href="#">Biography</a></p>
2:55PM – 3:10PM		
<p><b>Networking Break</b></p>		

—	<b>Blockchain Solutions</b> <p>This session will explore how market participants are using Distributed Ledger Technology (DLT) to advance innovation in the securities industry, and will examine the current state of DLT implementation. Hear from firms that are moving their DLT projects from the proof-of-concept phase into production, as well as those planning to make the transition in the near future. This interactive session will include live demos.</p>	
—	<b>A – Solution Presentations &amp; Demos</b>	<p><b>SPEAKERS</b></p> <div>  <p><b>Horacio Barakat</b> Vice President of Corporate Strategy <a href="#">Broadridge Financial Solutions Inc.</a> <a href="#">Biography</a></p> </div> <div>  <p><b>Mark Smith</b> CEO Co-Founder <a href="#">Symbiont</a> <a href="#">Biography</a></p> </div>
—	<b>B – Smart Contracts</b> <p>What they are and what they mean for the Securities Industry.</p>	<p><b>SPEAKER</b></p> <div>  <p><b>Charles M. Post</b> Managing Counsel &amp; Director <a href="#">BNY Mellon</a> <a href="#">Biography</a></p> </div>
—	<b>C – Panel Discussion: Putting Blockchain Solutions into Production</b>	<p><b>PANELISTS</b></p> <div>  <p><b>Horacio Barakat</b> Vice President of Corporate Strategy <a href="#">Broadridge Financial Solutions Inc.</a> <a href="#">Biography</a></p> </div> <div> <p><b>John Evans</b> Senior Investment Fintech Strategist, Investment Management Group <a href="#">Vanguard</a> <a href="#">Biography</a></p> </div> <div>  <p><b>Richard B. Levin</b> Chair of the Financial Services Technology (FinTech) and Regulation Practice <a href="#">Biography</a></p> </div> <div>  <p><b>Ron Papanek</b> Managing Director <a href="#">Symbiont</a> <a href="#">Biography</a></p> </div> <div>  <p><b>Charles M. Post</b> Managing Counsel &amp; Director <a href="#">BNY Mellon</a> <a href="#">Biography</a></p> </div>

4:30PM – 5:20PM

## Fintech and the Future of the Securities Industry

What will the continuing adoption of fintech and future advances in analytics and technology mean for the securities industry? How will the role of securities firms evolve and how will it affect the workforce of the future?

### PANELISTS

#### Amit Gupta

Managing Director, Capital Markets

[Accenture](#)

[Biography](#)



#### Brian Lincoln

Wealth Management Solutions Lead, Financial Markets

[IBM](#)

[Biography](#)

#### Vijay Mayadas

President, Global Fixed Income and Analytics

[Broadridge Financial Solutions, Inc.](#)

[Biography](#)



#### Grainne McNamara

Principal, Financial Services & Banking and Capital Markets

[PwC](#)

[Biography](#)

5:20PM – 6:20PM

## Networking Reception

## PROGRAM

Wednesday  
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8:00AM – 1:15PM

### Registration Desk Hours

8:00AM – 9:00AM

### Breakfast with Our Diamond Sponsors

#### — Accenture

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Compliance Transformation  
Lead, North America

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##### Venetia Woo

North American Regulatory  
Strategy Lead

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[Biography](#)






##### Aron Elston

US Lead for Regulatory &  
Compliance Analytics

[Accenture](#)

[Biography](#)

—	<p><b>Broadridge Financial Solutions, Inc.</b></p> <p><b>Blockchain Demo Deep Dive</b> Broadridge is creating a new bilateral repo environment using Distributed Ledger Technology to facilitate seamless execution of repo trading and more effective use of collateral. This blockchain-enabled solution automates end-to-end processes, eliminating fails, improving efficiency and reducing counterparty risk. Come join us over breakfast to get a deep dive of the demo and a chance to speak with our technologists.</p>	<p><b>SPEAKERS</b></p> <div data-bbox="1133 163 1230 262"></div> <p><b>Horacio Barakat</b> Vice President of Corporate Strategy <a href="#">Broadridge Financial Solutions Inc.</a> <a href="#">Biography</a></p> <div data-bbox="1133 344 1230 443"></div> <p><b>John Garahan</b> Vice President <a href="#">Broadridge Financial Solutions Inc.</a> <a href="#">Biography</a></p> <p><b>Hrishikesh Nashikkar</b> Blockchain Lead <a href="#">Broadridge Financial Solutions Inc.</a> <a href="#">Biography</a></p>
—	<p><b>IBM</b></p> <p><b>Transform Your Risk and Compliance Programs with Cognitive Solutions and RegTech</b> This session will describe how RegTech is transforming the way compliance departments operate, allowing smaller teams to focus on higher-value activities; shifting them from information gatherers to information analyzers, enabled by augmented decision-making made possible through cognitive technologies. Learn how financial institutions can apply cognitive capabilities to meet ever-changing regulatory expectations and radically reduce costs.</p>	<p><b>SPEAKER</b></p> <div data-bbox="1133 758 1230 856"></div> <p><b>Judith Pinto</b> Managing Director <a href="#">Promontory, an IBM Company</a> <a href="#">Biography</a></p>
<b>9:10AM – 9:15AM</b>		
—	<p><b>Welcome Remarks</b></p>	<p><b>SPEAKER</b></p> <div data-bbox="1133 1058 1230 1157"></div> <p><b>Thomas F. Price</b> Managing Director, Technology, Operations, and Business Continuity <a href="#">SIFMA</a> <a href="#">Biography</a></p>
<b>9:15AM – 9:35AM</b>		
—	<p><b>From Insight to Inspiration: The Evolving Role of AI in Our Lives</b></p> <p>Since the 2011, the "AI Spring" has emerged and evolved rapidly. We've seen advances in underlying analytic technologies, practices and the application of AI to solving for a wide range of problems. However, the AI industry is still in its infancy -- both in terms of the products and technologies on the market, but also in terms of our understanding of its full utility. One of the key things that we're just beginning to fully grasp is the relationship between people and AI technology -- how the one is not replaced by the other, but rather by how AI augments and extends human intelligence. In this talk I will outline the evolutionary pressures that are driving further advances in AI technology, and more importantly, the evolving role of AI in our lives.</p>	<p><b>SPEAKER</b></p> <div data-bbox="1133 1373 1230 1472"></div> <p><b>Rob High</b> IBM Fellow, Vice President and Chief Technology Officer <a href="#">IBM Watson</a> <a href="#">Biography</a></p>

9:35AM – 10:30AM

— **AI – Machine Learning**

This session will present the big-picture opportunities that artificial intelligence technology presents. Participants will view demos of examples of real-world application and hear how market participants are operationalizing AI at their firms.

— **A – Demo: Arria**

Explore the technology of natural language generation (NLG) and see a demo of how it can be applied to enrich interactions with customers.

— **B – Demo: Accern**

Explore predictive analytics and see a demo of how it can be used to transform analysis of news and market events.

— **C – Demo: BNP Paribas**

Explore how the Innovation lab approached a concrete AI use case: streamlining the validation of scanned documents, from the identification, exploration and learning to fast prototyping towards a solution.

**SPEAKER**



**Martin Caupin**  
Data Scientist  
[BNP Paribas](#)  
[Biography](#)

— **D – Panel Discussion**

**MODERATOR**



**Akhilesh Tripathi**  
Vice President and Head of  
Global Sales for Software  
Products & Platforms  
[Tata Consultancy Services](#)  
[Biography](#)

**PANELISTS**



**Martin Caupin**  
Data Scientist  
[BNP Paribas](#)  
[Biography](#)



**Rob Stanich**  
Offering Manager for Financial  
Markets and Banking  
[IBM Watson Financial Services](#)  
[Biography](#)



**Joseph Voyles**  
Director  
[PwC](#)  
[Biography](#)

10:30AM – 10:50AM

**Networking Break**



## Risk Management and Compliance for Emerging Technologies

This session will describe how to develop a risk oversight and control framework around applications of emerging technologies such as the cloud and robotics process automation. Panelists will also discuss the issues related to "Shadow Infrastructure" and regulatory challenges associated with concentrated tech providers. Participants will receive insight into how firms can effectively integrate start-ups and their technology into large, highly regulated organizations - including how to manage the impact of big data.

### PANELISTS

#### Stefan Dicker

Vice President, Rise FinTech Platform Lead

[Barclays](#)

[Biography](#)



#### Jennifer Klass

Partner

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

[Biography](#)



#### Gary Nichols

Managing Director, Security Design & Engineering, Schwab Cybersecurity Services

[Charles Schwab](#)

[Biography](#)

#### Andrew V. Waskow

Executive Director, CTC Compliance

[JPMorgan Chase & Co.](#)

[Biography](#)

## Regulation and Innovation

How can American regulation and supervision support fintech? Panelists will discuss SIFMA's policy recommendations and response to the U.S. Department of the Treasury's review of the financial regulatory framework, explore what works internationally, and debate regulatory considerations for overseeing innovation in the capital markets.

### MODERATOR



#### Jai Massari

Partner

[Davis Polk & Wardwell LLP](#)

[Biography](#)

### PANELISTS

#### Elijah Alper

Assistant General Counsel

[Capital One](#)

[Biography](#)



#### Michael Herskovitz

Senior Vice President & Partner, Co-Head Global Operations and Technology AB

[Biography](#)



#### Jessica Renier

Senior Advisor

[U.S. Department of Treasury](#)

[Biography](#)

#### Andres Wolberg-Stok

Global Head of Fintech Policy

[Citi Global Consumer Banking](#)

[Biography](#)



12:45PM – 1:15PM

—

**Keynote Speaker, Craig Phillips, Counselor to the Secretary,  
US Department of the Treasury**

SPEAKER



**Craig Phillips**  
Counselor to the Secretary  
[U.S. Department of the  
Treasury](#)  
[Biography](#)

1:15PM – 1:15PM

**Conference Adjourns**