### PROGRAM

#### Wednesday
October 17, 2018

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<th>Time</th>
<th>Event</th>
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<tr>
<td>8:00AM – 5:00PM</td>
<td><strong>Registration Desk Hours</strong></td>
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<tr>
<td>8:00AM – 8:35AM</td>
<td><strong>Networking Breakfast</strong>&lt;br&gt;Sponsored by Citrin Cooperman</td>
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<tr>
<td>8:35AM – 8:45AM</td>
<td><strong>Welcome Remarks</strong>&lt;br&gt;SPEAKER: Anthony Stucchio&lt;br&gt;Managing Director, COO-DCRO America's Head &amp; Chief Operations Officer&lt;br&gt;Deutsche Bank Securities Inc.&lt;br&gt;&lt;a href=&quot;#&quot; rel=&quot;noreferrer&quot;&gt;Biography&lt;/a&gt;</td>
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<td>8:45AM – 9:35AM</td>
<td><strong>The Securities Industry: A Senior Executive's Perspective</strong>&lt;br&gt;SPEAKER: Lisa Kidd Hunt&lt;br&gt;Executive Vice President, Business Initiatives&lt;br&gt;Charles Schwab &amp; Co., Inc.&lt;br&gt;&lt;a href=&quot;#&quot; rel=&quot;noreferrer&quot;&gt;Biography&lt;/a&gt;</td>
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<td>9:35AM – 10:25AM</td>
<td><strong>Financial Industry Analyst</strong>&lt;br&gt;Brad was a leading analyst covering the financial services industry and is now a professor at NYU’s Leonard N. Stern School of Business where he teaches a course entitled: &quot;Managing Financial Businesses&quot;. The course examines business model, economic drivers and management challenges of four segments of the financial services industry. He still follows the financial industry and will provide his views and insights around the economic and regulatory implications that impact it.&lt;br&gt;SPEAKER: Charles Hintz&lt;br&gt;Adjunct Professor of Finance&lt;br&gt;New York University's Stern School of Business&lt;br&gt;&lt;a href=&quot;#&quot; rel=&quot;noreferrer&quot;&gt;Biography&lt;/a&gt;</td>
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<td>10:25AM – 10:45AM</td>
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Program as of 10/11/18. All information subject to change. For the most current program, visit www.sifma.org.

10:45AM – 12:00PM

**Tax Bill and its Implications**

The tax reform bill was enacted very quickly and many industry professionals are still trying to assess its impact. In addition to offering insight on drivers behind the bill, this panel of tax experts will explain how the bill affects both financial service firms as well as individuals.

**PANELISTS**

- **Jack Burns**
  Executive Director
  Ernst & Young LLP
  [Biography](#)

- **Jeff Kummer**
  Managing Director, Tax Policy, Washington National Tax
  Deloitte Tax LLP, US
  [Biography](#)

- **Mark H. Price**
  Principal-In-Charge
  KPMG LLP
  [Biography](#)

- **Jon Zefi**
  Principal, Tax Advisory Services
  EisnerAmper LLP
  [Biography](#)

12:00PM – 12:45PM

**Networking Lunch**

12:45PM – 1:15PM

**Economic Update**

The global economy has a direct impact on the trading, investment banking, investment advisory and other businesses that securities firms conduct. Senior finance executives need to pay attention to global economic trends and events, so they can appreciate the impact on their firms. Tariffs, immigration policy and events such as Brexit have an impact in Europe, the US and elsewhere. David Kelly will provide his insights regarding the global economy and what may be ahead for us in the US.

**SPEAKER**

- **Dr. David Kelly, CFA**
  Managing Director, Chief Global Strategist
  J.P. Morgan Asset Management
  [Biography](#)

1:15PM – 2:45PM

**Generational Intelligence for Leaders: Creating Organizational & Team Sustainability**

Many organizations function in the same way they have for decades, expecting that the next generation of workers will simply accept long-standing corporate values and norms. While it may be tempting to think "this is just the way we do things around here", such a mindset lacks the imagination needed to create an organizational culture where the youngest generation of workers will wish to contribute their best—and where young staff and clients will be engaged. In this presentation, we will discuss the elements of a collaborative environment for the next generation of workers, and we will explore how, as leaders, can help co-create an organization, and a team culture, that will more effectively engage your next generation of contributors, leaders, and clients.

Participants who complete this session will:

- Become aware of their own generational values that inform how they see the world and what they expect from organizations
- Learn about what informs other generations' values and behaviors—ideally with less negative judgment
- Identify ways to be more flexible in their approach toward leadership, teamwork, and client management—so as to engage and retain the next generation of employees and clients

**SPEAKER**

- **Yael C. Sivi**
  Co-Founder and Managing Partner
  Collaborative Coaching
  [Biography](#)
Networking Break
Sponsored by NEC Corporation Financial System Dev HQ

3:35 PM – 4:00 PM

Accounting Policy Discussion
This panel brings together the senior heads of accounting policy and chief accounting officers from Goldman Sachs, Citibank, Jefferies and Edward Jones to discuss how recent accounting pronouncements and implementation challenges are impacting the financial services industry. This panel provides not only an accounting update, but also a robust best practices discussion regarding new FASB standards including, but not limited to: Leasing, CECL, Hedge accounting, and Revenue Recognition.

MODERATOR
Chip Currie
Partner, Assurance Services
PwC
Biography

PANELISTS
Timothy J. Bridges
Managing Director & Global Head of Accounting Policy
Goldman, Sachs & Co.
Biography

Karen Dealey
Managing Director & Principal Accounting Officer
Jefferies LLC
Biography

Robert Traficanti
Global Head of Accounting Policy
Citi
Biography

Keith Wenk
Director of Regulatory & External Reporting
Edward Jones
Biography

4:50 PM – 5:00 PM

Day One Closing Remarks

SPEAKER
Anthony Stucchio
Managing Director, COO-DCRO America’s Head & Chief Operations Officer
Deutsche Bank Securities Inc.
Biography

5:00 PM – 6:00 PM

Networking Reception
Sponsored by BDO
Thursday
October 18, 2018

8:00AM – 5:00PM
Registration Desk Hours

8:00AM – 8:35AM
Networking Breakfast

8:35AM – 8:45AM
Day Two Opening Remarks

Christopher Donovan
Partner
Deloitte & Touche LLP
Biography

8:45AM – 9:35AM
Fireside Chat with the PCAOB

Esther Mills
President and Founder
Accounting Policy Plus
Biography

Kathleen Hamm
Board Member
PCAOB
Biography

The PCAOB is a nonprofit corporation established by Congress to oversee the audits of public companies in order to protect investors and the public interest by promoting informative, accurate, and independent audit reports. The PCAOB also oversees the audits of brokers and dealers, including compliance reports filed pursuant to federal securities laws, to promote investor protection.

This fireside chat with Kathleen Hamm, from the PCAOB Board will provide not only an update of the PCAOB’s strategic direction and initiatives but also provide the opportunity to hear Kathleen’s unique perspectives regarding fintech, cybersecurity, regulatory, compliance and risk management issues facing the financial services industry from her previous experience at the US Treasury and Promontory.

9:35AM – 10:25AM
Fireside Chat with the FASB

Jaime L. Eichen
Partner
EY
Biography

Gary Beusser
Board Member
Financial Accounting Standards Board (FASB)
Biography

Established in 1973, the Financial Accounting Standards Board (FASB) is the independent, private-sector, not-for-profit organization, that establishes financial accounting and reporting standards for public and private companies that follow Generally Accepted Accounting Principles (GAAP). The FASB is recognized by the Securities and Exchange Commission as the designated accounting standard setter for public companies and public business entities (i.e., broker/dealers...).

This fireside chat with Gary Beusser, from the FASB Board will provide a unique opportunity to provide an update of the FASB’s upcoming agenda in addition to his observations and perspectives regarding the role of accounting based upon his substantive industry experience at Lazard.

10:25AM – 10:45AM
Networking Break
10:45AM – 12:00PM

Audit Committee Panel
This session will discuss the role of the audit committee in governing the firm's accounting policies, compliance, internal controls and risk management.

MODERATOR
John Rhodes
Lead Client Service Partner
deloitte & touche LLP
Biography

PANELISTS
William J. Ehrhardt
Chairman of the Audit Committee
Oppenheimer Holdings Inc.
Biography

Robert H. Herz
Chairman of Audit Committee
Morgan Stanley
Biography

Thomas Rollauer
Board Member
Deutsche Bank USA Corporation
Biography

12:00PM – 12:45PM

Networking Lunch
Sponsored by EY

12:45PM – 1:35PM

Washington Update
The Washington Update will provide the latest information on the legislative and regulatory actions relating to the financial services industry. It will also include perspectives on the potential impact of the presidential election on the financial markets and what it could mean for the economy, firms and investors.

SPEAKER
Carter K. McDowell
Managing Director, Associate General Counsel
SIFMA
Biography

1:45PM – 3:00PM

Finance, Transformation, Robotics and Automation
Technology has been transforming the way accountants do their job since the day the first adding machine was invented. Computers have increased that change and the introduction of new ways that computers can be used can dramatically impact how finance departments approach their tasks and the skill sets of the people they need to accomplish them. This panel will discuss how cutting edge technologies such as robotics and machine learning are transforming finance departments of financial firms.

MODERATOR
Kevin Kroen
Partner, US Financial Services Digital Labor Leader
PwC
Biography

PANELISTS
Anand Cheruvankky
Executive Director
JPMorgan Chase & Co.
Biography

Edmundo Costa
VP Finance and Enterprise Accounts
Automation Anywhere
Biography

Earl LaFontant
Head of Regulatory Reporting
UBS
Biography
3:00PM – 3:20PM

Networking Break

3:20PM – 5:00PM

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Regulators’ Forum

The banking, securities and commodities regulators have been working on measures that will impact that size and liquidity of brokerage firm balance sheets. These measures will directly impact return on equity and will drive business decisions of the leadership of securities firms. This panel will explore those measures and their impact.

MODERATOR

Michael P. Jamroz
Retired Partner, Senior Advisor Under Contract
Deloitte & Touche LLP

Biography

PANELISTS

Michael A. Maccharoli
Associate Director, Division of Trading and Markets
U.S. Securities and Exchange Commission

Biography

Thomas J. Smith
Deputy Director, Division of Swap Dealer and Intermediary Oversight
Commodity Futures Trading Commission

Biography

Bill Wollman
Executive Vice President, Member Regulation - Regulatory Oversight & Operational Regulation
FINRA

Biography

5:00PM – 5:05PM

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Closing Remarks

SPEAKER

Michael P. Jamroz
Retired Partner, Senior Advisor Under Contract
Deloitte & Touche LLP

Biography