

NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 17–18, 2018 | NEW YORK LAW SCHOOL, NYC



PROGRAM

Wednesday
October 17, 2018

8:00AM – 5:00PM

Registration Desk Hours

8:00AM – 8:35AM



Networking Breakfast

Sponsored by [Citrin Cooperman](#)

8:35AM – 8:45AM



Welcome Remarks

SPEAKER



Anthony Stucchio

Managing Director, COO-
DCRO America's Head &
Chief Operations Officer
[Deutsche Bank Securities
Inc.](#)

[Biography](#)

8:45AM – 9:35AM



The Securities Industry: A Senior Executive's Perspective

SPEAKER



Lisa Kidd Hunt

Executive Vice President,
Business Initiatives
[Charles Schwab & Co., Inc.](#)
[Biography](#)

9:35AM – 10:25AM



Financial Industry Analyst

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: "Managing Financial Businesses". 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.

SPEAKER



Charles Hintz

Adjunct Professor of
Finance
[New York University's Stern
School of Business](#)
[Biography](#)

10:25AM – 10:45AM

Networking Break

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 – 1:35PM

—

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](#)

1:45PM – 3:15PM

—

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 you, 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](#)

3:15PM – 3:35PM



Networking Break

Sponsored by [NEC Corporation Financial System Dev HQ](#)

3:35PM – 4:50PM



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](#)

4:50PM – 5:00PM



Day One Closing Remarks

SPEAKER



Anthony Stucchio

Managing Director, COO-DCRO America's Head & Chief Operations Officer

[Deutsche Bank Securities Inc.](#)

[Biography](#)

5:00PM – 6:00PM



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

SPEAKER



Christopher Donovan
Partner
[Deloitte & Touche LLP](#)
[Biography](#)

8:45AM – 9:35AM

—

Fireside Chat with the PCAOB

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.

MODERATOR



Esther Mills
President and Founder
[Accounting Policy Plus](#)
[Biography](#)

SPEAKER



Kathleen Hamm
Board Member
[PCAOB](#)
[Biography](#)

9:35AM – 10:25AM

—

Fireside Chat with the FASB

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 Buesser, 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.

MODERATOR



Jaime L. Eichen
Partner
[EY](#)
[Biography](#)

SPEAKER



Gary Buesser
Board Member
[Financial Accounting Standards Board \(FASB\)](#)
[Biography](#)

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 Cheruvanky

Executive Director

[JPMorgan Chase & Co.](#)

[Biography](#)



Edmundo Costa

VP Alliances and Enterprise Accounts

[Automation Anywhere](#)

[Biography](#)

Earl LaFontant

Head of Regulatory Reporting

[UBS](#)

[Biography](#)

3:00PM – 3:20PM

Networking Break

3:20PM – 5:00PM

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. Macchiaroli
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

Closing Remarks

SPEAKER



Michael P. Jamroz
Retired Partner, Senior
Advisor Under Contract
[Deloitte & Touche LLP](#)
[Biography](#)