

TUESDAY, NOVEMBER 10

7:00 AM - 5:00 PM **REGISTRATION HOURS**

Event Lobby

7:00 AM - 8:15 AM **BREAKFAST**

The Ritz-Carlton Ballroom Foyer

HOSTED BY *McGraw Hill Financial*

7:30 AM - 7:45 AM **WELCOME**

The Ritz-Carlton Ballroom, Salons I & II



KENNETH E. BENTSEN, JR.
President and CEO
SIFMA



WILLIAM A. JOHNSTONE
Executive Chairman
D.A. Davidson Companies
Former Chairman
SIFMA Board of Directors

7:45 AM - 8:20 AM **ONE-ON-ONE WITH
TREASURY SECRETARY JACOB J. LEW**

The Ritz-Carlton Ballroom, Salons I & II

MODERATOR:



JOHN F. W. ROGERS
Executive Vice President, Chief of Staff and Secretary to the Board
Goldman, Sachs & Co.
Chairman
SIFMA Board of Directors

SPEAKER:



JACOB J. LEW
Secretary of the Treasury
United States Treasury

8:20 AM - 8:50 AM **ONE-ON-ONE WITH
SEC CHAIR MARY JO WHITE**

The Ritz-Carlton Ballroom, Salons I & II

MODERATOR:



EVAN PEREZ
Justice Reporter
CNN

SPEAKER:



MARY JO WHITE
Chair
U.S. Securities and Exchange Commission (SEC)

8:50 AM - 9:15 AM **NETWORKING BREAK**

The Ritz-Carlton Ballroom Foyer

HOSTED BY *Tradeweb*

9:15 AM - 10:00 AM

**GENERAL SESSION PANEL:
THE VIEW FROM THE STATES**

The Ritz-Carlton Ballroom, Salons I & II

MODERATOR:



JACOB SCHLESINGER
Editor, Financial Regulation
The Wall Street Journal

PANELISTS:



GOVERNOR ASA HUTCHINSON
46th Governor of Arkansas



GOVERNOR TERRY MCAULIFFE
72nd Governor of Virginia

10:00 AM - 10:25 AM

**ONE-ON-ONE WITH
RAYMOND JAMES CEO PAUL REILLY**

The Ritz-Carlton Ballroom, Salons I & II

MODERATOR:



MARY THOMPSON
Reporter
CNBC

SPEAKER:



PAUL REILLY
Chief Executive Officer
Raymond James Financial

10:25 AM - 10:50 AM

**ONE-ON-ONE WITH WELLS FARGO
ADVISORS PRESIDENT MARY T. MACK**

The Ritz-Carlton Ballroom, Salons I & II

MODERATOR:

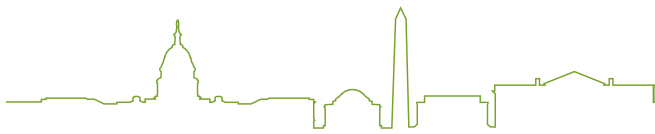


MARY THOMPSON
Reporter
CNBC

SPEAKER:



MARY T. MACK
President and Head
Wells Fargo Advisors, LLC



11:00 AM - 12:00 PM

**THOUGHT LEADER SESSION:
CYBERSECURITY TODAY AND IN THE FUTURE -
PERSPECTIVES FROM THE FRONT LINES**

The Ritz-Carlton Ballroom, Salon III B

MODERATOR:



KARL SCHIMMECK

Managing Director, Financial Services Operations
SIFMA

PANELISTS:



MATTHEW CHUNG

*Managing Director and
Chief Information Officer of Technology & Information Risk*
Morgan Stanley



SHAWN HENRY

President & Chief Security Officer
CrowdStrike Services



MELODY HILDEBRANDT

Director of Cybersecurity
Palantir Technologies



DR. GREGORY J. RATTRAY

Director of Global Cyber Partnerships & Government Strategy
JP Morgan Chase

11:00 AM - 12:00 PM

**THOUGHT LEADER SESSION:
VIEWS FROM REGULATORS AROUND THE GLOBE**

The Plaza Ballroom

MODERATOR:



DOUGLAS J. ELLIOTT

Fellow, Economic Studies, Initiative on Business and Public Policy
Brookings Institution

PANELISTS:



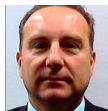
ASHLEY IAN ALDER

Chief Executive Officer
Securities and Futures Commission (HK)



CHARLES ROXBURGH

Director General, Financial Services
HM Treasury (UK)



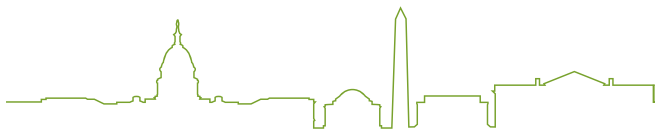
ALMORO RUBIN DE CERVIN

Head of Unit, Financial Services Policy and International Affairs
European Commission



DAVID WRIGHT

Secretary General
International Organization of Securities Commissions (IOSCO)



11:00 AM - 12:00 PM

**THOUGHT LEADER SESSION:
CHIEF ECONOMIST ROUNDTABLE -
WHERE DO WE GO FROM HERE?**

The Ritz-Carlton Ballroom, Salon III A

MODERATOR:



ETHAN S. HARRIS

*Co-Head of Global Economics Research
Bank of America Merrill Lynch*

PANELISTS:



BETH ANN BOVINO

*U.S. Chief Economist, Global Economics and Research
Standard & Poor's Rating Services*



STUART G. HOFFMAN

*Senior Vice President and Chief Economist
The PNC Financial Services Group*



BRUCE C. KASMAN

*Managing Director, Chief Economist, Global Head of Economic Research
JPMorgan Chase & Co.*

12:00 PM - 1:10 PM

LUNCHEON

The Ritz-Carlton Ballroom, Salons I & II

HOSTED BY *Broadridge Financial Solutions, Inc.*

12:25 PM - 12:35 PM

**SPECIAL PRESENTATION:
IOSCO SECRETARY GENERAL DAVID WRIGHT**

The Ritz-Carlton Ballroom, Salons I & II



DAVID WRIGHT

*Secretary General
International Organization of Securities Commissions (IOSCO)*

12:35 PM – 1:10 PM

**ONE-ON-ONE WITH
CFTC CHAIR TIMOTHY MASSAD**

The Ritz-Carlton Ballroom, Salons I & II

MODERATOR:



ERIK SCHATZKER
Anchor & Editor-at-Large
Bloomberg TV

SPEAKER:



TIMOTHY G. MASSAD
Chairman
Commodity Futures Trading
Commission (CFTC)

1:20 PM – 2:20 PM

**THOUGHT LEADER SESSION:
REVIEW OF THE RULEMAKING PROCESS AND
WAYS TO IMPROVE IT**

The Plaza Ballroom

MODERATOR:



HAL S. SCOTT
President & Director
Committee on Capital Markets Regulation (CCMR)
Nomura Professor and Director of the
Program on International Financial Systems (PIFS)
Harvard Law School

PANELISTS:



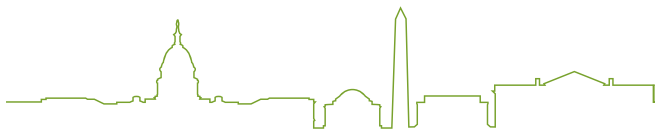
JAMES R. BURNS
Partner
Willkie Farr & Gallagher LLP
Former Deputy Director, Division of Trading and Markets
U.S. Securities and Exchange Commission (SEC)



ROBERT L.D. COLBY
Chief Legal Officer
Financial Industry Regulatory Authority (FINRA)



PHILIP K. HOWARD
Senior Counsel
Covington & Burling LLP
Author
The Rule of Nobody: Saving America from Dead Laws and Broken Government



1:20 PM - 2:20 PM

**THOUGHT LEADER SESSION:
THE FINANCIAL ADVISOR - ADDRESSING
MULTI-DIMENSIONAL INVESTOR NEEDS**

The Ritz-Carlton Ballroom, Salon III

MODERATOR:



JOSEPH E. SWEENEY

*President, Advice & Wealth Management, Products and Services Delivery
Ameriprise Financial, Inc.*

PANELISTS:



KEVIN R. ALM

*Principal, Client Strategies Group - Solutions
Edward Jones*



RILEY ETHERIDGE, JR.

*Managing Director, Head of Client Segments and Advisor Development
Merrill Lynch Wealth Management*



CHARYL GALPIN

*Executive Vice President and Managing Director, Head, Private Client Division
BMO Nesbitt Burns*



LISA KIDD HUNT

*Executive Vice President, International Services
and Special Business Development
Charles Schwab & Co., Inc.*



JOHN VACCARO

*Chief Executive Officer
Westport Resources*

2:20 PM - 2:35 PM

NETWORKING BREAK

The Ritz-Carlton Ballroom Foyer

2:35 PM – 3:15 PM

**GENERAL SESSION PANEL:
POLITICS AND POLICY -
THE VIEW FROM CONGRESS**

The Ritz-Carlton Ballroom, Salons I & II

MODERATOR:



JOHN HARWOOD
Chief Washington Correspondent
CNBC

PANELISTS:



**CONGRESSMAN FRENCH HILL
(R-AR)**



**CONGRESSMAN DAVID SCOTT
(D-GA)**

3:15 PM – 4:15 PM

**GENERAL SESSION PANEL:
THE VIEW FROM THE BUY-SIDE**

The Ritz-Carlton Ballroom, Salons I & II

MODERATOR:



ROBIN WIGGLESWORTH
US Markets Editor
Financial Times

PANELISTS:



MARIE A. CHANDOHA
President and Chief Executive Officer
Charles Schwab Investment Management, Inc.



PETER S. KRAUS
Chairman of the Board and Chief Executive Officer
AB



F. WILLIAM MCNABB III
Chairman and Chief Executive Officer
Vanguard

4:15 PM - 5:15 PM

**GENERAL SESSION PANEL:
THE NEW BUSINESS ENVIRONMENT -
AN EXECUTIVE VIEW**

The Ritz-Carlton Ballroom, Salons I & II

MODERATOR:



ROBIN WIGGLESWORTH
US Markets Editor
Financial Times

PANELISTS:



RONALD J. KRUSZEWSKI
Chairman and Chief Executive Officer
Stifel Financial Corp.



SANDRA O'CONNOR
Chief Regulatory Affairs Officer
JPMorgan Chase & Co.



JIM ROSENTHAL
Chief Operating Officer
Morgan Stanley

5:15 PM - 5:20 PM

CLOSING REMARKS

The Ritz-Carlton Ballroom, Salons I & II



KENNETH E. BENTSEN, JR.
President and CEO
SIFMA