



ANNUAL MEETING

THE CAPITAL MARKETS CONFERENCE



**NOVEMBER 18-19, 2019
WASHINGTON, DC**

#SIFMAAnnual



SIFMA is the leading trade association for broker-dealers, investment banks and asset managers operating in the U.S. and global capital markets. On behalf of our industry's nearly 1 million employees, we advocate on legislation, regulation and business policy, affecting retail and institutional investors, equity and fixed income markets and related products and services. We serve as an industry coordinating body to promote fair and orderly markets, informed regulatory compliance, and efficient market operations and resiliency. We also provide a forum for industry policy and professional development. SIFMA, with offices in New York and Washington, D.C., is the U.S. regional member of the Global Financial Markets Association (GFMA). For more information, visit <http://www.sifma.org>.



WELCOME

It is with great pleasure that I welcome you to SIFMA's 2019 Annual Meeting, The Capital Markets Conference.

Healthy and efficient capital markets finance the economy, allocate risk, and support economic growth and financial stability. America's capital markets are the strongest in the world, funding 65% of all economic activity in the U.S. Today, we convene to explore the outlook both at home and abroad, as well as themes central to facilitating capital formation, investor opportunity, job creation and economic growth.

SIFMA is a member-driven organization and this annual event is our member's definitive meeting place. Leaders from across public and private sectors have gathered over 1.5 packed days to discuss the challenges and opportunities ahead. We extend a special thanks to our distinguished speakers for their participation and to our sponsors for their support in making this event possible. Our sincere thanks to those of you whose generous donations will support Bread for the City and the Washington, DC community this Thanksgiving.

Last but certainly not least, on behalf of SIFMA's Board of Directors and my colleagues at SIFMA, thank you for joining us. Our best wishes for an insightful and invigorating experience.

With kindest personal regards,

Kenneth E. Bentsen, Jr.
President and CEO
SIFMA

PROGRAM

MONDAY, NOVEMBER 18

2:00pm – 6:00pm

BALLROOM FOYER

Registration Desk & Sponsor Showcase Hours

3:15pm – 3:20pm

GRAND BALLROOM

Opening Remarks

3:20pm – 4:20pm

Prudential Regulation of Capital Markets: The View from Former Officials

4:20pm – 5:00pm

One-on-One with Edward Jones Managing Partner



Penny Pennington

Managing Partner

Edward Jones

5:00pm – 5:30pm

One-on-One with U.S. Senator Tim Scott



Tim Scott

Senator (R-SC)

5:30pm – 6:00pm

One-on-One with CFTC Commissioner



Dawn DeBerry Stump

Commissioner

U.S. Commodity Futures Trading Commission

6:00pm

Closing Remarks

6:30pm – 9:00pm

Welcome Reception at the National Museum of Natural History

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**EVENT BADGES REQUIRED. SHUTTLE BUSES PROVIDED
BETWEEN THE JW MARRIOTT AND MUSEUM.**



TUESDAY, NOVEMBER 19

7:30am – 4:45pm

BALLROOM FOYER

Registration Desk & Sponsor Showcase Hours

7:30am – 8:30am

BALLROOM FOYER

Breakfast

Co-Sponsored by Mediant Communications LLC and Proofpoint

8:00am – 8:30am

GRAND BALLROOM

Opening Remarks



Kenneth E. Bentsen, Jr.
President and CEO
SIFMA

SPEAKERS



James R. Allen
Chairman and Chief Executive Officer
Hilliard Lyons



Joseph E. Sweeney
*President, Advice & Wealth Management,
Products and Service Delivery*
Ameriprise Financial, Inc.

8:30am – 9:00am

One-on-One with SEC Chairman



Jay Clayton
Chairman
U.S. Securities and Exchange Commission



To view full program
access our eGuide:

www.sifma.org/annual-guide

PROGRAM

9:00am – 9:30am

GRAND BALLROOM

One-on-One with New York Fed President and CEO



John C. Williams

President and Chief Executive Officer
Federal Reserve Bank of New York

9:30am – 10:00am

One-on-One with Legendary Investor Mark Mobius



Dr. Mark Mobius

Founding Partner
Mobius Capital Partners

10:00am – 10:50am

Client First: The Wealth Manager View

10:50am – 11:20am

BALLROOM FOYER

Networking Break

Sponsored by Google Cloud

11:20am – 12:20pm

Breakout Sessions:

- **Protecting Senior Investors - New Rules and New Partnerships** CAPITOL BALLROOM SALON D/E
- **Mutualization at Scale - the Power of Partnership** CAPITOL BALLROOM SALON F
- **The Case for Sustainable Investments** CAPITOL BALLROOM SALON G

12:20pm – 1:35pm

GRAND BALLROOM

Networking Lunch & Presentation

Lunch sponsored by FICO



12:50pm – 1:35pm

GRAND BALLROOM

Bottom Line: The Industry Executive View

1:45pm – 2:45pm

Breakout Sessions:

- **Technology and the Future of Markets**

CAPITOL BALLROOM SALON D/E

- **The State of Cybersecurity in Financial Services**

CAPITOL BALLROOM SALON F

- **The Time is Now - Transitioning to Alternative Reference Rates**

CAPITOL BALLROOM SALON G

2:45pm – 3:15pm

BALLROOM FOYER

Networking Break

3:15pm – 4:00pm

GRAND BALLROOM

Washington Politics: The View from Inside the Beltway

4:00pm – 4:45pm

Vantage Point: The Outlook for Capital Markets

4:45pm

Closing Remarks

Thanksgiving for all

**Donate \$38 to give
a family of four a turkey
and all the trimmings.**

sifma.org/bread-for-the-city

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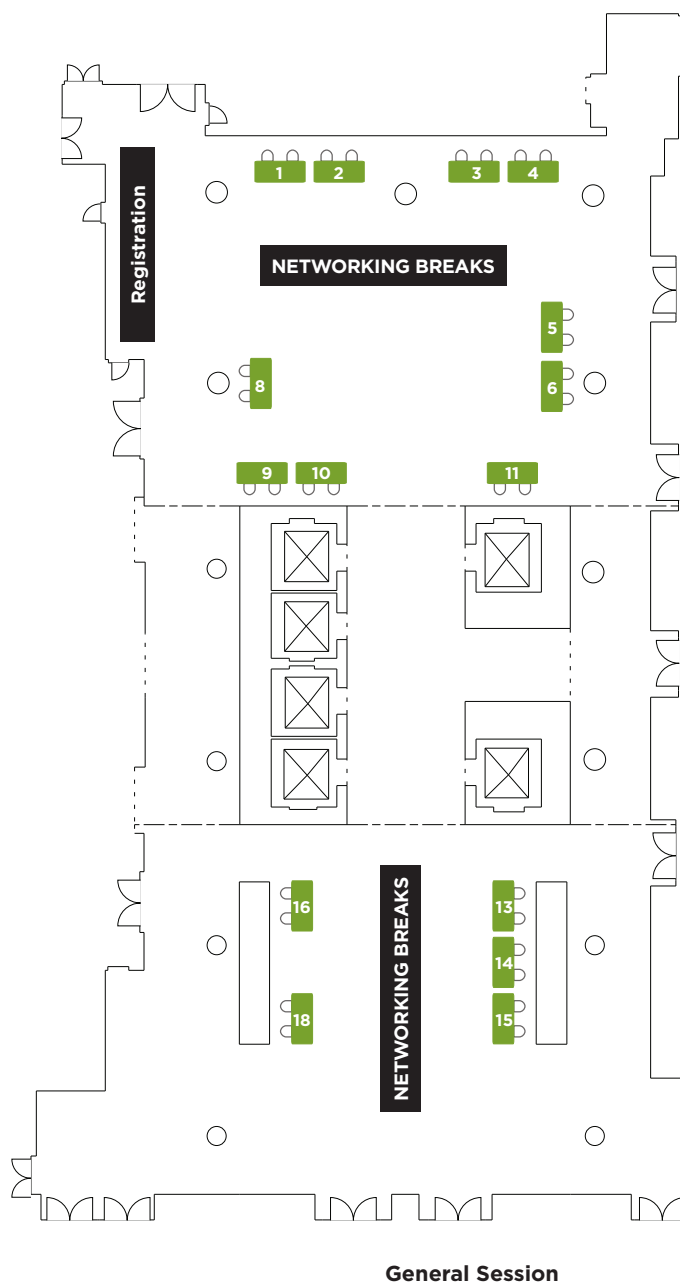
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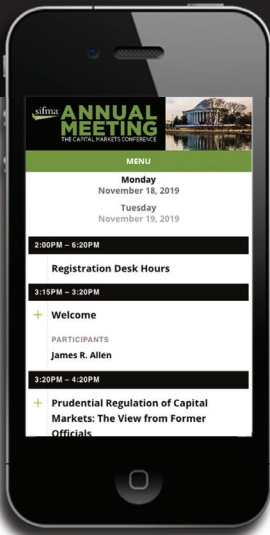


Breakout Sessions

Sponsoring Firm	Table Location
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- Full Program
- Speaker Biographies
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- Floorplan



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