



ANNUAL MEETING

THE CAPITAL MARKETS CONFERENCE



**OCTOBER 1-2, 2018
MANDARIN ORIENTAL
WASHINGTON, DC**

**Monday
October 1, 2018**

3:00PM – 6:15PM

Registration Desk Hours

3:30PM – 4:45PM

— **Breakout Session I: Global Capital Markets: Cross-Border Regulatory Cooperation and Economic Growth**

The global regulatory response to the financial crisis has drastically transformed the world's capital markets. Financial stability is enhanced but supervision is fragmented and calls for regulatory recognition and equivalence abound on issues permeating everything from derivatives contracts to MiFID II. Can domestic regulators balance legitimate national interests with the G20's commitment to a safe, open and competitive global marketplace?

— **Breakout Session I: Where Should All the Trades Go? Exploring if Equity Market Structure is Affecting Capital Formation**

In the past ten years, U.S. equity markets have grown increasingly complex. With more than a dozen exchanges and an array of off-exchange platforms, the options for stock order execution have proliferated. Might changes to equity market structure - how and where stock trades are executed - help more companies go and stay public?

— **Breakout Session I: Deploying Fintech: Moving Innovation Beyond the Lab**

From AI to RPA, from blockchain to DLT, here's how firms are taking proofs of concept from the lab and deploying them into the heart of their businesses.

4:45PM – 5:00PM

Networking Break

5:00PM – 5:10PM

Welcome

5:10PM – 5:40PM

Featured Speaker

5:40PM – 6:10PM

Featured Speaker

6:10PM – 6:15PM

Closing Remarks

6:30PM – 9:00PM

Welcome Reception at the Smithsonian American Art Museum

Tuesday
October 2, 2018

7:30AM – 5:00PM

Registration Desk Hours

7:30AM – 8:30AM

Breakfast

8:00AM – 8:10AM

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Opening Remarks

SPEAKERS



Lisa Kidd Hunt

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

[Biography](#)



James R. Allen

Chairman & CEO
[Hilliard Lyons](#)

[Biography](#)



Kenneth E. Bentsen, Jr.

President and CEO
[SIFMA](#)

[Biography](#)

8:10AM – 8:40AM

Featured Speaker

8:40AM – 9:10AM

Featured Speaker

9:10AM – 9:30AM

Featured Speaker

9:30AM – 9:50AM

Networking Break

9:50AM – 11:00AM

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Breakout Session II: The Brexit Briefing: The Future of Transatlantic Trade

If you think Brexit is just about the relationship between the U.K. and the European Union, think again. Negotiations are at an important juncture with huge implications for the capital markets. With less than 180 days until the U.K. leaves the EU and just two years until the transition period ends in 2020, how will third party relationships - including those between the U.S. and the U.K. and E.U. - be transformed?





PANELIST



Damian Nussbaum

Director of Economic
Development
[City of London](#)

[Biography](#)

—	Breakout Session II: Uncharted Territory: Defining the Future of Fixed Income Markets Transformational change in fixed income market structure is underway amidst a divergence in global central bank monetary policy and historically low volatility. Alongside an increased focus on regulation and transparency, market-led investments in client connectivity, electronic trading and automation, clearing and settlement infrastructure, and data management are changing the ways we service clients, interact with counterparties and manage risk. Find out how this evolution impacts competitive positioning, liquidity and the vibrancy of our markets.	PANELISTS James De Mare Fixed-Income Trading Co-Chief Bank of America Merrill Lynch Biography Beth Hammack Global Treasurer Goldman, Sachs & Co. Biography Glenn Taitz Head of Fixed Income Trading Invesco Biography
—	Breakout Session II: The Future Workforce: Fostering a Diverse and Inclusive Financial Industry This is the discussion our industry, as a microcosm of society, needs to have: how can we promote diversity, inclusion and parity to shape the future of our workforce?	PANELISTS  Robert W. Cook President and Chief Executive Officer FINRA Biography  Stephen D. Steinour Chairman, President and Chief Executive Officer Huntington Bancshares Incorporated Biography
11:10AM – 11:50AM		
—	One-on-One with Charles Schwab & Co. Chairman, Charles Schwab On the state of the retail investor, our industry and the future of investing.	MODERATOR  Lisa Kidd Hunt Executive Vice President, Business Initiatives Charles Schwab & Co., Inc. Biography SPEAKER  Charles R. Schwab Chairman The Charles Schwab Corporation Biography
11:50AM – 1:05PM		
Networking Luncheon and Featured Speaker		

1:20PM – 2:35PM

Breakout Session III: Life After LIBOR: The Transition to Alternative Reference Rates

Global regulators have called on the market to develop alternatives to LIBOR, the long-standing interbank lending rate, by implementing alternative risk-free rates (RFRs) supported by larger, observable markets. Don't let the rug get pulled out from under you: analyze the key challenges in transitioning one of the most widely-embedded aspects of financial market contracts and practices, impacting loans, floating rate notes, derivatives and more.

Breakout Session III: Private Wealth Management: Synergizing Product Creation and Distribution

As the face of the individual investor evolves, so too does the opportunity to create investment advice tailored to their diverse needs across a variety of life stages. How can private wealth managers and asset managers partner to create a new generation of customized investment solutions?

MODERATOR



Jim Langham
Managing Director,
Mandates Investment
Solutions Americas

[UBS](#)

[Biography](#)

PANELISTS



Sandy Bolton
Managing Director, Head of
Investment Products -
Investment Solutions Group

[Bank of America Merrill
Lynch](#)

[Biography](#)



Jaime Magyera
Managing Director, National
Accounts - Head of Wireless
Channel

[Biography](#)



Pete Thatch
Senior Relationship
Manager

[Capital Group](#)

[Biography](#)



Scott Thoma
Principal, Research -
Strategy

[Biography](#)

Breakout Session III: Personal Data: Protecting a Client's Most Valuable Asset

Personal financial data is an increasingly valuable asset in today's global economy. Improving data quality to enhance the customer experience is critical to business success but protecting data from improper use is paramount. Find out best practices to collect, store and use data while also safeguarding it from internal and external threats in an evolving regulatory environment.

PANELISTS



Jodi Pinedo
Director & Senior Managing
Counsel

[Pershing LLC, a BNY Mellon
Company](#)

[Biography](#)



Stuart Rubinstein
Senior Vice President,
Fidelity Innovation
Development

[Fidelity Investments](#)

[Biography](#)

Tuesday
October 2, 2018

2:35PM – 2:55PM

Networking Break

2:55PM – 3:35PM

Featured Panel: Industry Analysts

PANELISTS



L. Erika Najarian

Managing Director, Head of
US Banks Equity Research
[Bank of America Merrill
Lynch](#)

[Biography](#)



Katherine E. Nixon

Executive Vice President
and Chief Investment
Officer

[Northern Trust](#)

[Biography](#)



Jared Seiberg

Managing Director, Cowen
Washington Research Group
- Financial Services

[Cowen](#)

[Biography](#)

3:35PM – 4:05PM

Featured Speaker

4:05PM – 4:50PM

Featured Panel: Buy Side Executives

PANELISTS



Emmanuel Roman

Chief Executive Officer

[PIMCO](#)

[Biography](#)



Michelle Seitz

Chairman and Chief
Executive Officer

[Russell Investments](#)

[Biography](#)



Christopher Willcox

CEO of Asset Management

[JPMorgan Asset
Management](#)

[Biography](#)

4:50PM – 5:20PM

Featured Speaker

5:20PM – 5:30PM

Closing Remarks