



OPS2017

Transforming the Industry into the New Reality

MAY 8-11, 2017 | BOCA RATON, FLORIDA



MONDAY, MAY 8

12:00pm – 06:00pm Registration Desk Hours

03:00pm – 03:30pm Partner Workshop 1 - Tata Consultancy Services - DLT (Distributed Ledger Technology) Disruption - Adoption and Coexistence Possibilities

DLT (Distributed Ledger Technology) Disruption - Adoption and Coexistence Possibilities

Financial Institutions and Technology Firms are grappling with emergence of Blockchain and Distributed Ledger to re-imagine business processes. This workshop will explore the possibilities around developing blockchain solutions as well as the coexistence and interoperability of the traditional transaction processing systems with the new ecosystems. Gain insights and you stand to WIN an Apple Watch!



Dr. Andreas Freund

Senior Manager, Global Consulting Practice - NextGen Strategy Practice & Blockchain Advisory

Tata Consultancy Services Limited

Sponsored By: Tata Consultancy Services - TCS BaNCS

03:30pm – 04:00pm Partner Workshop 2 - Tata Consultancy Services - Digitalize Securities Operations - Empower Customer and Mitigate Risk

Digitalize Securities Operations - Empower Customer and Mitigate Risk

Traditional Operations Models have concentrated significant risk in the securities back office. Today's digital technologies offer a new paradigm in securities operations by leveraging multi-dimensional exceptions processing models to create a risk-aware back office. API libraries, on the other hand, are enabling self service capabilities for the end customer by externalizing the risk. Robotic Process Automation (RPA) and Artificial Intelligence (AI) are opening these new realities that are reshaping operations in the securities industry. Gain insights and you stand to WIN an Apple Watch!

Panelists:



Ben Beguin

Clearance and Settlements Manager

Vanguard



Gary DeDilectis

Senior Product Manager

Tata Consultancy Services Limited



Sanjay Prasad

Director

Tata Consultancy Services Limited

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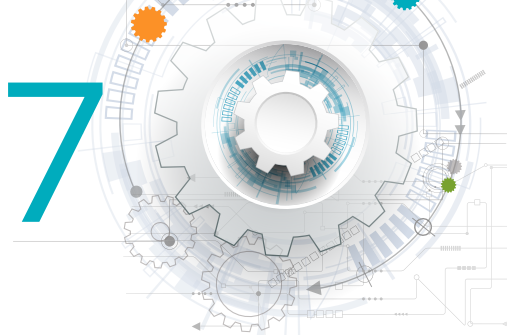
05:30pm – 07:00pm Welcome Reception

Join us at the OPS 2017 welcome and networking reception to meet with fellow industry professionals and leaders.

Sponsored By: IBM



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TUESDAY, MAY 9

07:00am – 06:00pm Registration Desk Hours

07:15am – 08:15am Continental Breakfast – Exhibition Hall

Sponsored By: **Accenture**

07:50am - 08:10am Learning Lab 1 - Capco - CAT and the Data Behind It

CAT and the Data Behind It

Join Capco regulatory practitioners in an interactive discussion that looks to demystify the unknown components of the Consolidated Audit Trail (CAT) and the potential impact to broker dealers position, transactional and client data. Our experts will share with you Capco's POV of the value added, pragmatic approach institutions can adopt now to prepare for this imminent regulatory initiative.



George Black
Managing Principal
Capco



Michael Drews
Managing Principal
Capco



Michael Martinen
Managing Principal
Capco

Sponsored By: **Capco**

08:15am – 12:15pm General Session

08:15am – 08:25am Welcome to OPS 2017



Timothy C. Scheve
President & Chief Executive Officer
Janney Montgomery Scott LLC

08:25am - 08:45am A Conversation with SIFMA's Chairman and SIFMA's President and CEO

Mr. Scheve and Mr. Bentsen will discuss the role of SIFMA in the industry, the new U.S. administration and its impact on the capital markets, and current regulatory landscape. This session will also address SIFMA's priorities for the year ahead as well as the transformative issues affecting Operations professionals.



Kenneth E. Bentsen, Jr.
President and CEO
SIFMA



Timothy C. Scheve
President & Chief Executive Officer
Janney Montgomery Scott LLC
Chairman, SIFMA

08:45am – 09:00am Industry Leader's Opening Remarks

What Does the Future of Financial Services Operations Look Like?

Over the past decade, operational professionals have moved beyond support of transaction flows, and today, are leaders of innovation at their firms and in the industry. During his remarks, Mr. Vickery will present how ops professionals are redesigning their roles, using 'new school' technologies and skills along with 'old school' execution to improve efficiency while advancing safety and soundness.



Christopher Vickery
Managing Director and Chief Operations Officer, Americas & Global Head of Enterprise Data Management
Nomura

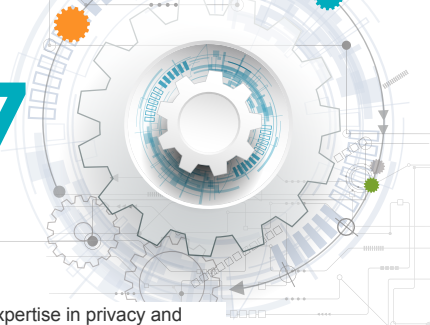
09:00am – 09:25am A Conversation with Robert S. Mueller, III, WilmerHale

The Evolving Cybersecurity Landscape

Transforming the Industry into the New Reality



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Mr. Mueller, the sixth Director of the Federal Bureau of Investigation (FBI), is broadly recognized for his expertise in privacy and cybersecurity matters. Since joining WilmerHale, he has led sensitive internal investigations and counseled clients on preparing for and responding to crisis incidents, including cyber incidents. Mr. Mueller's remarks will focus on the evolution of the cyber threat and how companies can respond. He will draw on lessons from the FBI's post-9/11 transformation to talk about how company leadership might think about making important changes to address the threat.

Interviewed by:



Kenneth E. Bentsen, Jr.
President and CEO
SIFMA



Robert S. Mueller, III
Partner
WilmerHale
Former Director of the Federal Bureau of Investigation

09:25am – 09:50am Featured Speaker: Richard P. Dzina, Federal Reserve Bank of New York

Advancing the Fed's Wholesale Services in an Era of Unprecedented Challenge and Change

Financial Market Infrastructures face an unprecedented volume of technological change, security challenges, and regulatory initiatives. In this environment, they must also respond to a demanding array of customer service and business demands to maintain their relevance and add value. Richard Dzina will elaborate upon the response of the Federal Reserve's wholesale services to these environmental factors and outline a vision for their future



Richard P. Dzina
Executive Vice President and Product Director of Wholesale Services
Federal Reserve Bank of New York

09:50am – 10:10am Networking Break – Exhibition Hall

10:10am – 11:00am Panel: Leadership in Financial Services Operations - Understanding the Changing Landscape

Leadership in Financial Services Operations - Understanding the Changing Landscape

This panel of industry leaders will address key operational issues transforming the financial services industry. Panelists will explore operations in transition and other drivers, including emerging technologies, key regulatory changes, and the evolving role of the operations professional.

Moderator:



Christopher Vickery
Managing Director & Chief Operations Officer, Americas and Global Head of Enterprise Data Management
Nomura

Panelists:



Michael DeBevec
Head of Global Investment Operations
BlackRock



Joseph Guardino
Managing Director, Global Head of Operations
Bank of America Merrill Lynch



Cynthia Meyn
Executive Vice President, Co-Head U.S. Investment Operations Team
PIMCO



Timothy Ney
Principal, Operations
Edward D. Jones & Co., L.P.



Maggie Serravalli
Executive Vice President, Client Experience
Fidelity Investments

11:00am – 11:45am Panel: Managing Operational Risk

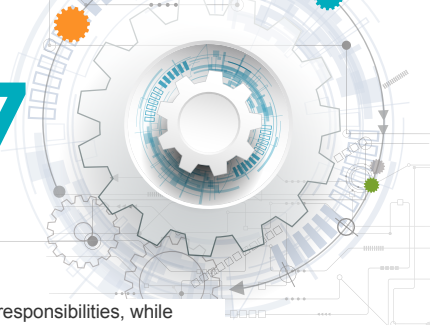
Managing Operational Risk

Managing operational risk is a critical function of enterprise-wide risk management at the firm level. This panel of experts will

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explore some of the key issues that professionals should be focused on as part of their risk management responsibilities, while sharing evolving perspectives on operational risks and the strategies to manage it.

Moderator:



Judith Ricketts
President, Clearing
TD Ameritrade Holding Corporation

Panelists:



Michael J. Alexander
President, Wealth and Capital Markets Solutions
Broadridge Financial Solutions, Inc.



Thomas Ferlazzo
Senior Vice President, Operational Risk Supervision
Federal Reserve Bank of New York



Murray Pozmanter
Managing Director, Head of Clearing Agency Services & Global Operations and Client Services
DTCC



Mark Swenarton
Chief Risk Officer
Pershing LLC, a BNY Mellon company

11:45am – 12:15pm Keynote Speaker - Scott O'Grady, Air Force Veteran / F16 Pilot

As an air force fighter pilot, Scott O'Grady was shot down over Bosnia while helping to enforce a U.N. no-fly zone. For six days, he survived in enemy territory relying on his training and problem solving ingenuity to keep him alive.

In his presentation, he shares his life-threatening experience and discusses how teamwork and leadership played a vital role in his survival and ultimate rescue—qualities that are crucial to success in business and in life. Author of the New York Times bestseller "Return with Honor", Scott will share his inspiration of faith, values and courage.



Scott O'Grady
Air Force Veteran / F16 Pilot
U.S. Air Force
Author "Return with Honor"

12:15pm – 02:00pm Luncheon – Exhibition Hall

01:00pm - 01:20pm Learning Lab 1 - Deloitte - Transforming Operations with Robotics and Artificial Intelligence

Transforming Operations with Robotics and Artificial Intelligence

Robotics and AI present an opportunity to revolutionize operations. This lab will discuss the various kinds of Robotic and AI technologies, how organizations are transforming their operations using their techniques and the pitfalls and risks of such projects. We will also discuss how to create and promote an effective business case for change, and how to unlock the full potential of these technologies within operations.



Sri Gopalakrishnan
Managing Director
Deloitte Consulting



Dilip Krishna
Managing Director
Deloitte

Sponsored By: **Deloitte**

01:35pm - 01:55pm Learning Lab 2 - Shadow Financial Systems, Inc. - Transforming Operations and the Bottom Line Using Today's Technology

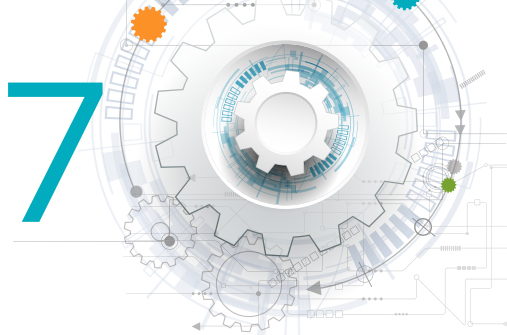
Transforming Operations and the Bottom Line Using Today's Technology

Financial services firms are exploring the next round of disruptive and foundational technologies in an attempt to fast forward past the budgetary weight caused by the continued use of legacy technologies in operations. The number one goal in all of today's operations budgets is to ensure meaningful and lasting improvement to the bottom line by further reducing headcount and infrastructure costs while streamlining operations processes. This lab will discuss the impact of these types of technology changes on today's operations departments.

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Joe South

President

Shadow Financial Systems, Inc.

Sponsored By: Shadow Financial Systems, Inc.

02:00pm – 03:00pm Breakout Session 1: The Current Status of the DOL Fiduciary Rule

Session 1: The Current Status of the DOL Fiduciary Rule

This session will explore the current status of the DOL Fiduciary rule and the expected implementation timeline and milestones. Panelists will highlight key operational challenges posed by the current Fiduciary rule set and address how firms are managing these important changes and their potential impact on retail investors.

Moderator:



Lisa J. Bleier

Managing Director and Associate General Counsel

SIFMA

Panelists:



Tonia Bottoms

Managing Director & Senior Managing Counsel

Pershing LLC, a BNY Mellon company



Lindsay B. Jackson

Associate

Morgan, Lewis Bockius LLP



Michelle Kelley

Senior Vice President & Associate Counsel

LPL Financial LLC

02:00pm – 03:00pm Breakout Session 2: Cyber Threats and Industry Resiliency

Session 2: Cyber Threats and Industry Resiliency

Experts will discuss how the financial services industry is coordinating with government partners to address emerging cyber threats. This panel will outline joint efforts on private-public sector exercises and protocols such as Sheltered Harbor, Quantum Dawn IV, the Financial Services Analysis and Resilience Center (FSARC) and other broad joint initiatives that will help the industry respond and recover from cyber incidents.

Moderator:



Thomas Wagner

Managing Director, Financial Services Operations

SIFMA

Panelists:



Brian Peretti

Senior Career Official for the Office of the Assistant Secretary for Financial Institutions and Director,

Office of Critical Infrastructure Protection and Compliance Policy

U.S. Department of the Treasury



Greg Rattray, Ph.D.

Director of Global Cyber Partnerships & Government Strategy

JPMorgan Chase & Co.



Steven Silberstein

Chief Executive Officer

Sheltered Harbor LLC



Robert Toomey

Managing Director and Assistant General Counsel,

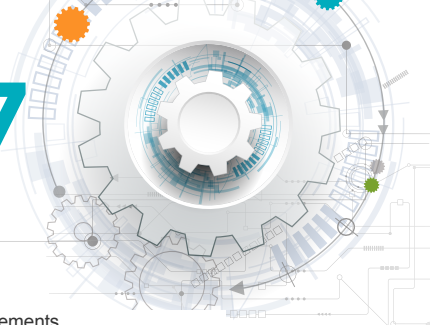
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02:00pm – 03:00pm Breakout Session 3: Collateral Management & New Uncleared Swaps Margin Requirements

Session 3: Collateral Management & New Uncleared Swaps Margin Requirements

The collateral management space is experiencing major changes driven by new variation margin requirements for uncleared swaps. This panel will discuss how the industry is addressing the increased volume of margin movements as well as upcoming regulation, including FINRA 4210 and Initial Margin for uncleared swaps for the buy side. Panelists will also discuss the evolving collateral management space and share what firms are doing to be more efficient and reduce risks.

Moderator:



Amy Caruso
Director, Strategy and North America Business Development
DTCC

Panelists:



Edward Corral
Executive Director, Collateral Management
Morgan Stanley



Wayne Forsythe
Managing Director, Collateral Management
State Street Corporation



Sharif Ismail
Vice President
Goldman Sachs Asset Management, L.P.



Stephen White
Director, Derivatives
Fidelity Investments

02:00pm – 03:00pm Breakout Session 4: Fixed Income Market Structure & Its Impact on Operations

Session 4: Fixed Income Market Structure & Its Impact on Operations

Today's fixed income markets are in the midst of a dramatic transformation, with electronification and the continued rise of new alternative trading systems. Join this panel of fixed income experts who will cover a myriad of topics impacting fixed income operational professionals today. Topics include FINRA's and MSRB's new rule requiring firms to disclose on retail customer confirmations the "mark-up" or "mark-down" for most transactions in corporate and agency debt securities; the upcoming FINRA requirement to report transactions executed in Treasury securities to TRACE; updates on the tri-party repo market and recent changes to the government clearance market.

Moderator:



Christopher Larkin
Managing Director, Fixed Income & Workplace Solutions
TD Ameritrade, Inc.

Panelists:



Gail Doolin
Vice President, Strategic Solutions
Broadridge Financial Solutions, Inc.



Alex Ellenberg
Associate General Counsel
FINRA



John Morik
Managing Director, BDS Head of Product Management and Strategy
BNY Mellon



Michael L. Post
General Counsel - Regulatory Affairs
Municipal Securities Rulemaking Board (MSRB)

02:00pm - 03:00pm Partner Workshop 1 - Broadridge Financial Solutions - Transform Your Communications

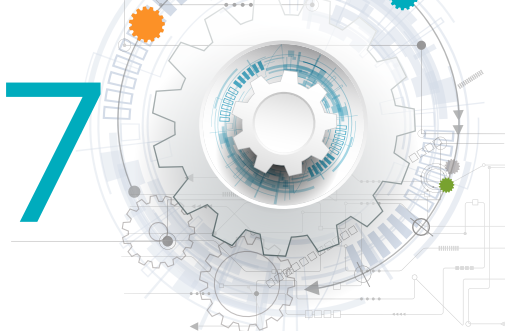
Transform Your Communications

Many firms are evaluating their investor communication priorities with the primary goals of increasing digital adoption rates and investor engagement. New digital channels are reaching customers with dynamic, relevant content. In this workshop, we will discuss how to connect with investors on the digital channels they already use and prefer, how to make it easier for investors to transition from paper to digital communications via a "network effect", and how to transform static communications into engaging, personalized content.

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Rob Krugman
Chief Digital Officer
Broadridge Financial Solutions, Inc.

Sponsored By: **Broadridge Financial Solutions, Inc.**

02:00pm - 03:00pm Partner Workshop 2 - Thomson Reuters - Intersection of Wealth Management and Regulatory Workshop

Intersection of Wealth Management and Regulatory Workshop

Join this session for a discussion of relevant regulatory topics impacting the wealth management industry including Consolidated Audit Trail, DOL, Mark-Up/Mark-Down Confirm Disclosure, Specified Adult Protections and other regulatory issues that are impacting operations.



Brett A. Flansburg
Vice President Compliance and Chief Compliance Officer
Ameriprise Financial



Manisha Kimmel
Chief Regulatory Officer
Thomson Reuters



Aisling Murphy
Senior Compliance Manager
Vanguard



Robert Walley
Principal, Financial Services
Deloitte

Sponsored By: **Thomson Reuters**

03:00pm – 03:30pm Networking Break – Exhibition Hall

03:30pm – 04:30pm Breakout Session 1: Corporate Actions

Session 1: Corporate Actions

Corporate Action processing continues to be complex, influenced by regulations, and requires strong operational management to mitigate risk. This session will discuss how firms are managing regulatory and operational risk in Corporate Actions events, including preparations for T+2, tax withholding impacts and other regulatory requirements, and efforts underway to create greater efficiencies in corporate actions processing.

Moderator:



Lawrence Conover
Vice President
Fidelity Investments

Panelists:



Carly Byrd
Director, Global Tax Utility
Deutsche Bank AG



Silvio (Joe) Conte
Head of Corporate Actions, Global Listings
New York Stock Exchange, An Intercontinental Exchange Company



Steven P. Dapcic
Director, Corporate Actions
Pershing LLC, a BNY Mellon company



James Monahan
Executive Director, Regional Head North America Position Services
Morgan Stanley

03:30pm – 04:30pm Breakout Session 2: DTCC Innovations in Market Structure

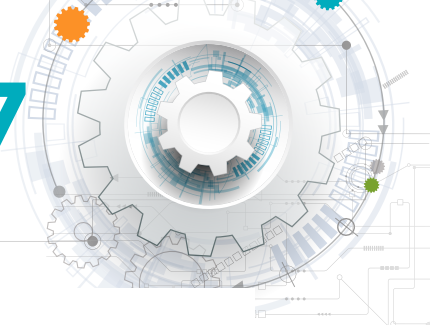
Session 2: DTCC Innovations in Market Structure

DTCC will discuss its current and proposed projects, which will provide innovations in clearance and settlement for both the equity and fixed income market infrastructure. These projects include the Centrally Cleared Institutional Tri-party™ Service, global exchange transaction processing, and leveraging emerging technology to simplify and harmonize DTCC's clearance and

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settlement systems.

Moderator:



Daniel Thieke

Managing Director and General Manager, Settlement & Asset Services

DTCC

Panelists:



Michele Hillery

Executive Director, Equity Clearing Services

DTCC



James Hraska

Managing Director & General Manager of DTCC's Fixed Income Clearing Corporation

DTCC



Joseph M. Liguori

Managing Director

JPMorgan Chase & Co.



John Vinci

Head of Core Project Management

DTCC

03:30pm – 04:30pm Breakout Session 3: CAT Implementation Launch – Will You Be Ready?

Session 3: CAT Implementation Launch – Will You Be Ready?

With the SEC's approval of the CAT NMS Plan and the selection of Thesys as the CAT Processor, the clock has begun to tick towards broker-dealer implementation in 2018. This panel will bring together the leaders of the Consolidated Audit Trail to discuss the current state of CAT and the future roadmap that will culminate in industry reporting. Panelists will also discuss the need for the elimination of duplicative reporting systems, error correction and data security and privacy.

Moderator:



Robert Walley

Principal, Financial Services

Deloitte

Panelists:



David Emery

Vice President, Regulatory Operations

Goldman Sachs & Co.



Andre Frank

Managing Partner

Thesys Technologies, LLC



Peter D. Santori

Executive Vice President, Chief Regulatory Officer

The Chicago Stock Exchange (CHX)



Edward Watson

Chief Operating Officer

Thesys CAT, LLC

03:30pm – 04:30pm Breakout Session 4: Alternative Investments – Solving Operational Issues in this Growing Investment Sector

Session 4: Alternative Investments – Solving Operational Issues in this Growing Investment Sector

The need for sustainable and increased investment returns is fueling the growth of the alternative investments space. However, the lack of standardization creates operational and technological challenges throughout the life cycle of a trade. Panelists will discuss the industry initiatives underway to solve these challenges, and what firms can do to reduce operational risk associated with alternative investments.

Moderator:



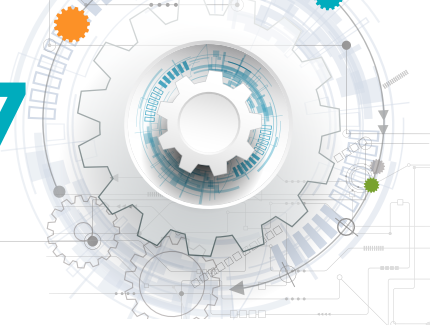
Louis J. Rosato, III

Director, Investment Operations Group

BlackRock



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Panelists:



Stuart Bowers
President
DST Brokerage Solutions



Cynthia Meyn
Executive Vice President, Co-Head U.S. Investment Operations Team
PIMCO



Samer Ojeh
Principal, Financial Services – Asset Management
EY



R.J. Rondini
Senior Vice President
Brown Brothers Harriman & Co.



Robert Stewart
Senior Vice President, Investor Services
Brown Brothers Harriman & Co.

03:30pm - 04:30pm Partner Workshop 1 - Broadridge - Business Transformation 2020

Business Transformation 2020

Broadridge will share its research findings from Capital Market, Asset Management, and Wealth Management firms globally as to their strategic priorities to address ROE pressures, and will discuss key considerations for business transformation such as mutualization, network value, and disruptive technologies.

Moderator:



J. Michael Hopkins
President, GTO Fixed Income and Operational Risk Business
Broadridge Financial Solutions, Inc.

Panelists:



Michael Alexander
President, Wealth & Capital Markets Solutions
Broadridge Financial Solutions, Inc.



Vijay Mayadas
Senior Vice President, Corporate Strategy & Head of US Fixed Income
Broadridge Financial Solutions, Inc.



Graeme McEvoy
Managing Director & Global Head, ISG Product Operations
Morgan Stanley



Michael Walsh
Regional Head of Operations – Americas
Société Générale

Sponsored By: **Broadridge Financial Solutions, Inc.**

03:30pm – 04:30pm Partner Workshop 2 - Accenture - Wealth Management in the Digital Age

Wealth Management in the Digital Age – Understanding Hybrid Advice and the Future of Investing

Wealth management is in the midst of a digital revolution. One-to-one, product-driven advice is being displaced more and more by Hybrid Advice, which offers a blend of digital capabilities and access to advisors as needed. Accenture has gone directly to the source to understand what investors are currently thinking, feeling and doing about wealth management. We explored investors' preferences for managing their wealth using digital tools and analyzed how this is changing the operating models for wealth management firms.

Join us to get fresh insights from our latest research to help you successfully navigate the changing landscape in wealth management and understand the future of investing.



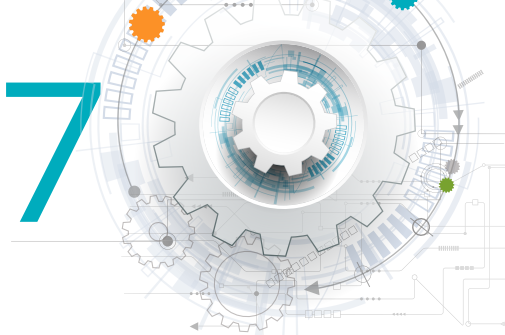
Kendra Thompson
Head of North America Wealth Management
Accenture

Sponsored By: **Accenture**

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04:30pm – 06:00pm Networking Reception – Exhibition Hall

Sponsored By: **Computershare**

WEDNESDAY, MAY 10

07:30am – 08:30am Continental Breakfast – Exhibition Hall

08:00am - 08:20am Learning Lab 1 - FIS - New Models of Cyber-Resiliency: One-on-One with Steven Silberstein, CEO of Sheltered Harbor LLC

New Models of Cyber-Resiliency: One-on-One with Steven Silberstein, CEO of Sheltered Harbor LLC

Sheltered Harbor is a collaborative industry undertaking to enhance our ability to recover cyber-attacks. The initiative is based on a cooperative, distributed, mutual assistance model of resiliency whose focus is on protecting the consumer, which is a departure from previous models. Learn more as Steve Silberstein responds to questions and answers about new and old models of processing resilience, with a focus on Sheltered Harbor.



Susan Crozier
Director, Product Management and Regulatory Affairs

FIS



Steven Silberstein
CEO
Sheltered Harbor

Sponsored By: **FIS**

08:30am – 12:15pm General Session

08:30am – 08:40am Welcome to Day Two of OPS 2017



Randy Snook
Executive Vice President, Business Policies & Practices
SIFMA

08:40am – 09:30am Featured Presentation: IBM Watson

Regulatory Reform: how cognitive computing and Watson are poised to radically transform RegTech

IBM and Promontory Financial Group will discuss how firms are rethinking compliance by exploring the next frontiers in cognitive computing. Join us as we pit the wisdom of the crowds against the IBM Watson system developed to streamline the identification of potential obligations in regulations and uncover potential misconduct across the organization. Experience how automation, machine learning, enhanced decision-making and audit support can address the increasingly fragmented regulatory environment and decrease the cost of compliance.

Facilitator:



Ron Lefferts
Managing Partner, Financial Service Sector, North America
IBM Global Business Services

Panelists:



Marc Andrews
Vice President, Global Big Data & Analytics Industry Team
IBM



Elizabeth McCaul
Partner-in-Charge, New York Office
Promontory, an IBM Company

09:30am – 09:40am A Conversation with FINRA's Executive Vice President of Member Regulation

A Conversation with FINRA's Executive Vice President of Member Regulation

In a conversation led by SIFMA's Ira Hammerman, Mr. Wollman will share his perspectives on FINRA issues, initiatives and concerns. Topics will include financial and operational risks, including cybersecurity, OATS reporting and membership trends.

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Ira D. Hammerman
Executive Vice President and General Counsel
SIFMA



William J. Wollman
Executive Vice President, Member Regulation Risk Oversight and Operational Regulation (ROOR)
FINRA

09:40am – 10:40am General Session Panel: Implications of Regulatory Implementation

General Session Panel: Implications of Regulatory Implementation

This panel will bring together regulators across multiple asset classes to share their views on the emerging regulatory landscape. Regulators will share their perspectives on agency priorities, and discuss current and potential new regulatory initiatives in 2017 and beyond.

Moderator:



Ira D. Hammerman
Executive Vice President and General Counsel
SIFMA

Panelists:



Jeffrey Brown
Senior Vice President
Charles Schwab & Co.



Gary L. Goldsholle
Deputy Director, Division of Trading & Markets
U.S. Securities & Exchange Commission



Lynnette Kelly
Executive Director
Municipal Securities Rulemaking Board (MSRB)



William J. Wollman
Executive Vice President, Member Regulation Risk Oversight and Operational Regulation (ROOR)
FINRA



Amir Zaidi
Director, Division of Market Oversight
U.S. Commodity Futures Trading Commission

10:40am – 11:00am Networking Break – Exhibition Hall

11:00am - 12:00pm Featured Speaker: BREACHED! Wargame

BREACHED! Wargame

Get the unique opportunity to respond to an evolving cyberattack that simulates a data breach by being a participant in Booz Allen's interactive BREACHED! Wargame. With cyberattacks and their implications making the headlines, this session will give participants the chance to explore the issues associated with responding to a major cyberattack scenario. Working with Booz Allen facilitators, conference attendees will manage fictional companies as C-suite executives in order to coordinate their team's response efforts. The session will explore what makes for an effective cyber risk management approach, help you understand the assumptions that should drive response plans, and how to prioritize threats and risks.



Howard Foard
Lead Associate
Booz Allen Hamilton

** This session is closed to press.*

12:15pm – 01:15pm Breakout Session 1: BREACHED! Wargame (Part 2)

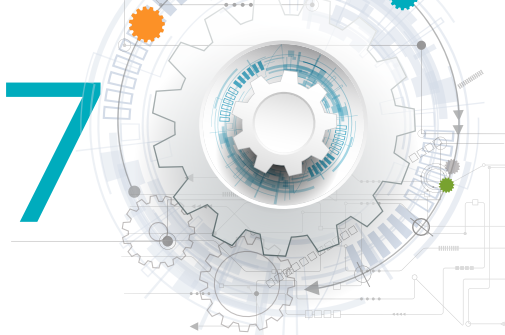
Session 1: BREACHED! Wargame (Part 2)

Building on the BREACHED! cybersecurity exercise in the general session, attendees at this breakout session can continue through the scenario and further explore how companies would respond to the complexities of a prolonged major cyberattack. This session will expand the scenario and explore topics such as liability issues, reputational impacts, and regulatory implications. Booz Allen facilitators will lead this interactive exercise for participants.

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Howard Foard
Lead Associate
Booz Allen Hamilton

** This session is closed to press.*

12:15pm – 01:15pm Breakout Session 2: T+2 Panel: Be Ready!

Session 2: T+2 Panel: Be Ready!

The industry is moving to a shorter settlement cycle from trade date plus three business days (T+3) to T+2 in the U.S. for most securities with a transition date of September 5, 2017. With much of the industry's work underway, including comprehensive industry-wide testing, subject matter experts will provide insight into the regulatory changes, Industry Command Center activities, systems and operational changes, and the client communications plans the industry is working through to meet the T+2 implementation date.

Moderator:



William Leahey
Vice President, Regulator Policy Operations and Assistant General Counsel
SIFMA

Panelists:



John Abel
Executive Director, Product Management
DTCC



Graeme E. McEvoy
Managing Director & Global Head, ISG Product Operations
Morgan Stanley



Louis J. Rosato, III
Director, Investment Operations Group
BlackRock



Robert Walley
Principal, Financial Services
Deloitte

12:15pm – 01:15pm Breakout Session 3: KYC: What's Next

Session 3: KYC: "What's Next"

During this session, subject matter experts will explore the compliance and operational risks associated with Know-Your-Customer ("KYC") regulations. Panelists will discuss key challenges in managing a KYC program, including the lack of automation, differences in global regulation and managing risk. Panelists will share insights on developing effective KYC solutions, discuss the governance framework for business and technology, all while ensuring the best customer experience during the KYC process.

Moderator:



Michael Walsh
Regional Head of Operations – Americas
Société Générale

Panelists:



Donna Bristow
Managing Director, Product & Business Management, North American Wealth
Broadridge Financial Solutions, Inc.



Katie Chatzopoulos
Americas Head of kyc.com Business Development & Client Strategy
IHS Markit



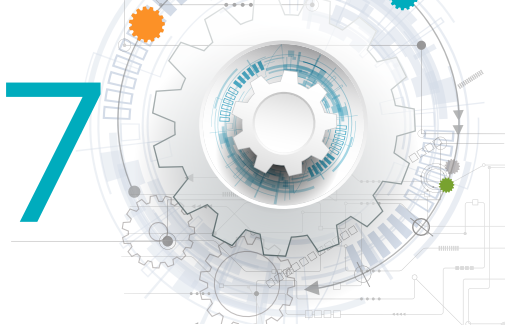
Stephen Lurie
Director, Advisory Financial Crimes Unit
PwC



Charles Minutella
Director and Global Lead, Financial Markets
Thomson Reuters



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12:15pm – 01:15pm Breakout Session 4: Weathering the Perfect Storm for Data Management

Session #4: Weathering the Perfect Storm for Data Management

Today, there are many drivers at work as the financial services industry braces for a perfect storm in data management. Between the challenges of regulatory demands and growing technological 'debt', and the potential of 'big data' and advanced analytics, there is a clear need for a new approach. This break-out session will feature a lively discussion about the actual practice of data management versus data theory, and how "data engineering" may be the pathway out of the storm.

A Discussion Between:



Michael Atkin
Managing Director
Enterprise Data Management Council



Christopher Vickery
*Managing Director and Chief Operations Officer,
Americas & Global Head of Enterprise Data
Management*
Nomura

12:15pm – 01:15pm Partner Workshop 1: Appian - Turning Digital Disruption into Opportunity

Turning Digital Disruption into Opportunity

The FinTech Revolution is disrupting the financial sector. Join this discussion of market challenges and practical strategies to enable next generation finance. Hear about innovative companies that are staying ahead of the trends by using a digital platform to help create new products and services, and shape business models.



Maria E. Cavero
Senior Project Manager, Business Strategy
Fidelity Investments



Michael Heffner
Vice President, Financial Services Practice
Appian

Sponsored By: **Appian**

12:15pm - 01:15pm Partner Workshop 2 - Hexaware - Shrink IT, Grow Digital: Driving Automation in Financial Services Operations: A View from the Trenches

Shrink IT, Grow Digital: Driving Automation in Financial Services Operations: A View from the Trenches

Process Automation has gained significant mindshare as a means to potentially deliver the agility, accuracy, cost efficiency in the back office and front office operations that are demanded in the digital future. There is also significant opportunity to leverage disruptive technologies to transform the front office and customer experience.

However, firms are still grappling with challenges around finding suitable use cases, and moving beyond PoCs to true automation industrialization. Join this session for a panel discussion where experts share their perspective on critical success factors for an automation journey; and also discuss ideas around operating models, a holistic automation framework that is beyond RPA, and potential areas of opportunity not just in back and mid office operations, but also in the areas of front office (Voice, email, Chat) automation.

Panelists:



Alex Cullen
Vice President
Forrester Research



Wayne Forsythe
Managing Director, Collateral Management
State Street Corporation



Bennet Kumar
Head - Business Process Services, North America
Hexaware



Ravi Vaidyanathan
*President & Global Head - Banking & Financial
Services*
Hexaware

01:15pm – 02:30pm Luncheon – Exhibition Hall

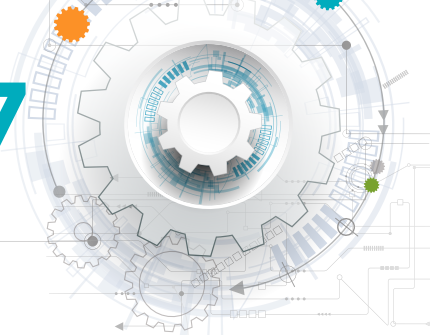
01:35pm - 01:55pm Learning Lab 1 - Deloitte - Consolidated Audit Trail - The Time to Act is NOW!

Consolidated Audit Trail - The Time to Act is NOW!

MAY 8-11, 2017 | BOCA RATON, FLORIDA



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Understand the complexities of CAT's operational and technical changes, and seize the opportunity to enhance surveillance, analytics, and client data. A pragmatic, actionable approach.



Cindy Nutini
Managing Director
Deloitte Consulting



Robert Walley
Principal
Deloitte

Sponsored By: Deloitte

02:05pm - 02:25pm Learning Lab 2 - Accenture - Client Servicing & Operations in the Digital Age

Client Servicing & Operations in the Digital Age – Unlocking the Power of Intelligent Automation & Robotics

Digital innovation is not only revolutionizing the client & advisor experience, but has radical implications for the future of operations and servicing. While digital engagement challenges existing operating models, Intelligent Automation arms Operations leaders with emerging capabilities to drive efficiency, scale and agility through innovation.

We'll discuss ways firms are applying robotics, virtual assistance and other intelligent automation to transform today's practices and explore the future horizon that Artificial Intelligence enables.



Scott Reddel
Managing Director, Capital Markets
Accenture



Graham Ferguson
Senior Manager
Accenture

Sponsored By: Accenture

10:00pm - 12:00am After Hours Reception - "A Night in Havana"

Come join us for "A Night in Havana" – enjoy Cuban sights and sounds, feast on tempting treats and dance to the music of the island.

Sponsored By: Fidelity Clearing & Custody Solutions

THURSDAY, MAY 11

08:00am – 11:00am General Session with Breakfast

08:00am - 08:25am Washington Update: 100 Day Recap & Political Outlook

Andy Blocker will recap President Trump's first 100 days, provide insights on the evolving political landscape, as well as detail key policies that will impact operations and technology professionals during the Trump Administration.



Andy Blocker
Executive Vice President, Public Policy & Advocacy
SIFMA

08:25am – 08:45am Featured Speaker: Amanda Smith, Fidelity Investments

Insights on Advice: The Next Gen Opportunity

Next gen investors are engaging with financial services more than ever before and represent a widely-underestimated opportunity for advisors and firms. But their communication style and expectations sometimes clash with how clients have historically been served. Effectively navigating relationships with the younger generation may require a new mindset when it comes to key topics like messaging, technology, and how we define and deliver meaningful experiences. In this session, Amanda Smith will discuss the latest thinking from Fidelity Investments® on the potential opportunities and challenges presented by the newest generation of financial clients. She'll discuss what may be driving their behavior and provide insight you may want to consider as you seek to enhance your service strategies.

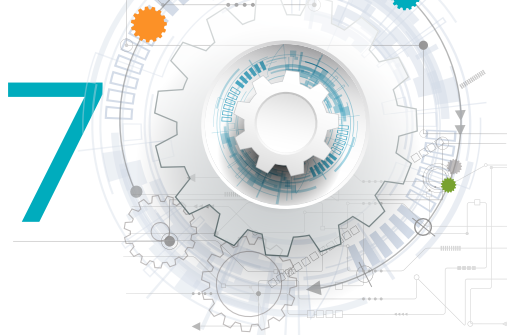


Amanda Smith
Senior Vice President and Head of Marketing
Fidelity Investments

Transforming the Industry into the New Reality



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08:45am – 09:20am Featured Panel: Insights on Advice: The Next Gen Opportunity

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Next gen investors are engaging with financial services more than ever before and represent a widely underestimated opportunity for advisors and firms. But their communication style and expectations sometimes clash with how clients have historically been served. Effectively navigating relationships with the younger generation may require a new mindset when it comes to key topics like messaging, technology, and how we define and deliver meaningful experiences. In this session, Amanda Smith will discuss the latest thinking from Fidelity Investments® on the potential opportunities and challenges presented by the newest generation of financial clients. She'll discuss what may be driving their behavior and provide insight you may want to consider as you seek to enhance your service strategies.

Moderator:



Amanda Smith
Senior Vice President and Head of Marketing
Fidelity Investments

Panelists:



Blake Belchee
Head of Mobile Product Development
Wells Fargo Advisors



Victor Gaxiola
Head of Customer Advocacy
Hearsay Systems



Toby Henry
Managing Principal
Capco

09:20am – 10:10am Featured Panel: FinTech and the Transformation of Operations

Featured Panel: FinTech and the Transformation of Operations

Today, emerging technologies offer firms the potential to transform their customer experience, compliance, and operational processes. What will FinTech innovation, such as machine learning and robotics, mean for securities firms? During this session, experts from firms and technology providers will explore the potential of FinTech transformation and its impact, as well as address unintended consequences on operations.

Moderator:



David Inggs
Senior Vice President, Operations
E*TRADE Financial Corp.

Panelists:



Vijay Mayadas
Senior Vice President of Corporate Strategy & Head of US Fixed Income
Broadridge Financial Solutions, Inc.



Grainne McNamara
Principal, Financial Services & Banking and Capital Markets
PwC



Shawn Quant
Chief Information and Operations Officer
Piper Jaffray & Co.



Robert Stanich
Global Wealth Management Offering Manager
IBM Watson Financial Services

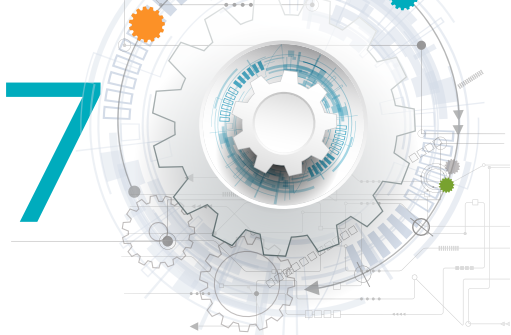
10:10am – 11:00am General Session Panel: Blockchain

General Session Panel: Blockchain

Blockchain and distributed ledger technologies have been one of the most discussed innovations in the securities industry, and have been hailed as having the potential to transform markets, utilities, and industry processes. As the industry continues to explore blockchain through pilots and proofs of concept, how close are we to the actual use of distributed ledger technology? What operational, regulatory, and risk issues need to be resolved to make the promise of blockchain a reality?



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Moderator:



Charles De Simone

Vice President

SIFMA

Panelists:



Brian Anderson

Vice President, IBM Financial Services Industry Consulting

IBM Global Business Services



Todd McDonald

Co-Founder & Chief Operations Officer

R3



Sanjeev Khatri

Head of Business Development-Banking & Financial Services USA

Tata Consultancy Services



Jennifer Peve

Executive Director, Strategy & Business Development

DTCC

11:00am Conference Adjourns