



sifma

50<sup>TH</sup> ANNIVERSARY

# C&L 2018 ANNUAL SEMINAR

MARCH 18-21 JW MARRIOTT ORLANDO GRANDE LAKES | ORLANDO, FL

## Exhibitors



8of9

### Booth #101

Contact: 8of9, 1115 Broadway, New York, NY 10010 | [www.8of9.nyc](http://www.8of9.nyc)



ACA  
COMPLIANCE GROUP

### Booth #200

ACA Compliance Group ("ACA") is a leading provider of risk management and technology solutions that focus on regulatory compliance, performance, financial crime, and cybersecurity. We partner with our clients to help them mitigate the regulatory, operational, and reputational risks inherent in their business functions. Our clients include leading investment advisers, private fund managers, commodity trading advisers, investment companies, broker-dealers, and domestic and international banks. Our products include standard and customized compliance packages; cybersecurity, AML, and risk assessments; GIPS® verifications and other performance services; and a wide variety of business advisory and technology solutions for financial services firms.

Contact: Dee Stafford, Managing Director, ACA Compliance Group, 1370 Broadway, 12<sup>th</sup> Floor, New York, NY 10018 | 561.628.5288 | [dstafford@acacompliancegroup.com](mailto:dstafford@acacompliancegroup.com) | [www.acacompliancegroup.com](http://www.acacompliancegroup.com)

Learn more about [ACA Compliance Group](#) (PDF)

  
accenture

### Booth #801/803

Contact: [www.accenture.com](http://www.accenture.com)



### Booth #401

Actiance is the leader in communications compliance, archiving, and analytics. We provide compliance across the broadest set of communications channels with insights on what's being captured. Actiance customers manage over 500 million daily conversations across 70 channels and growing. Customers include the top 10 U.S., top 8 European, top 5 Canadian, and top 3 Asian banks. The Actiance advantage is customers stay ahead of compliance and uncover patterns and relationships hidden within their data.

Contact: Nuala Coogan, Senior Marketing Associate, Actiance, Inc., 1400 Seaport Blvd., Redwood City, CA 94063 | 650.631.6355 | [ncoogan@actiance.com](mailto:ncoogan@actiance.com) | [www.actiance.com](http://www.actiance.com)

Learn more about [Actiance, Inc.](#) (PDF)



### Booth #802

Contact: AxiomSL, 45 Broadway, New York, NY 10006 | [www.axiomsl.com](http://www.axiomsl.com)



### Booth #701

Contact: [www.batesgroup.com](http://www.batesgroup.com)



### Booth #501

Compliance Solutions' employee-monitoring offer includes Schwab Designated Brokerage Services, Schwab Compliance Technologies®, and a wide range of financial products and services for employees. These solutions can help you proactively manage compliance, promote a positive employee experience, build long-term value across your business, and instill trust with clients.

Contact: Richard Soares, Sr. Relationship Manager, Charles Schwab & Co., Inc., 1133 Avenue of the Americas, New York, NY 10036 | 212.403.9247 | [richard.soares@schwab.com](mailto:richard.soares@schwab.com) | [www.corporateservices.schwab.com/public/corporate/employee-monitoring](http://www.corporateservices.schwab.com/public/corporate/employee-monitoring)

Learn more about [Charles Schwab & Co., Inc.](#) (PDF)



### Booth #505

Contact: Exari Systems, 745 Boylston Street, Boston, MA 02116 | [www.exari.com](http://www.exari.com)



### Booth #602

Exiger is a global regulatory and financial crime, risk and compliance company. Exiger arms financial institutions, multinational corporations and governmental agencies with the practical advice and technology solutions they need to prevent compliance breaches, respond to risk, remediate major issues and monitor ongoing business activities. Exiger works with clients worldwide to assist them in effectively managing their critical challenges while developing and implementing the policies, procedures and programs needed to create a sustainable compliance environment. A global authority on regulatory compliance, the company also oversees some of the world's most complex court-appointed and voluntary monitorships in the private and public sectors, including the monitorship of HSBC. Exiger has four principal business units being: Exiger Advisory; Exiger Diligence; Exiger Government Services; and Exiger Tech, including AI-based automated due diligence solutions DDIQ and Insight 3PM. Exiger operates through offices in New York City, Silver Spring (DC Metro), Miami, Toronto, Vancouver, London, Hong Kong, and Singapore.

Contact: Brandon Douglas, President, Exiger Tech, Global Head, Analytics, Exiger  
| 212.455.9400 | [newyork@exiger.com](mailto:newyork@exiger.com) | [www.exiger.com](http://www.exiger.com)

Learn more about [Exiger](#) (PDF)



### Booth #202

Contact: [www.ey.com](http://www.ey.com)



### Booth #604

Contact: [www.fmr.com](http://www.fmr.com)

Learn more about [Fidelity](#) (PDF)



### Booth #303

FIS is a global leader in financial services technology, with a focus on retail and institutional banking, payments, asset and wealth management, risk and compliance, consulting and outsourcing solutions. Through the depth and breadth of our solutions portfolio, global capabilities and domain expertise, FIS serves more than 20,000 clients in over 130 countries. Headquartered in Jacksonville, Fla., FIS employs more than 55,000 people worldwide and holds leadership positions in payment processing, financial software and banking solutions. Providing software, services and outsourcing of the technology that empowers the financial world, FIS is a Fortune 500 company and is a member of Standard & Poor's 500® Index. For more information about FIS, visit [www.fisglobal.com](http://www.fisglobal.com)

Contact: Joe Diangelo, SVP, Risk & Compliance, FIS, 601 Riverside Ave., Jacksonville, FL 32204  
| 201.840.5658 | [joe.diangelo@fisglobal.com](mailto:joe.diangelo@fisglobal.com) | [www.fisglobal.com](http://www.fisglobal.com)



### Booth #700

FITS Consulting, is a leading professional consulting firm, specializing in the financial services industry. Leveraging our experience, innovative thinking and service excellence, FITS delivers business value to our clients and the industry. Our industry practices span Capital Markets, Banking, Insurance, Wealth and

Investment Management. Within our practice areas we focus on solutions ranging from: Strategy, Platform Conversion, Program Delivery, Risk and Regulatory, Compliance, Technology, Managed Services, and Credit Lending. FITS offers alternative solutions to the rising demands and costs of regulatory compliance. Our professionals provide comprehensive expertise and support which enables clients to react proactively to economic, market, and regulatory changes. Long-term client relationships are achieved through proven solutions driving business value using a broad range of core services and expertise. FITS consultants stand ready to navigate clients through the complex challenges faced in today's industry.

Contact: Henry Lange, President & CEO, FITS Consulting, 400 Morris Ave, Suite 264, Denville, NJ 07834 | 973.586.8877 | [hlange@fitsconsulting.com](mailto:hlange@fitsconsulting.com) | Jeffrey Powers, Senior Vice President, FITS Consulting, 400 Morris Ave, Suite 264, Denville, NJ 07834 | [jpowers@fitsconsulting.com](mailto:jpowers@fitsconsulting.com) | [www.fitsconsulting.com](http://www.fitsconsulting.com)



### Booth #402

The Florida Securities Dealers Association (FSDA) is committed to achieving fair and balanced regulation and legislation of the securities industry in Florida, as well as providing community outreach through financial literacy educational seminars. Its members represent a wide cross-section of the industry, including national and regional broker-dealers, independent broker-dealers, investment advisors, mutual funds, insurance companies, law firms, consulting firms, and other service providers. The FSDA is unique in that it is the oldest and largest state securities association in the country, having operated continuously since 1933. The FSDA has, for many years, maintained positive working relationships with regulators and key legislators and communicates effectively with respect to pending regulatory and legislative developments. The FSDA is governed by its Board of Governors, comprised entirely of volunteers from member firms who contribute significant time and effort to achieve the FSDA's objectives and lobbies to assist in monitoring and responding to proposed regulatory and legislative changes and to advocate on the Association's behalf.

Contact: Marie Silvani, Administrator, FSDA, 6671 W. Indiantown Road, #50-194, Jupiter, FL 33458 | 561.371.4517 | [marie.silvani@floridasecurities.com](mailto:marie.silvani@floridasecurities.com) | [www.floridasecurities.com](http://www.floridasecurities.com)

Learn more about [Florida Securities Dealers Association](#) (PDF)



### Booth #405

Global Relay is the leading provider of cloud archiving, supervision, and eDiscovery solutions for the global financial sector. Global Relay delivers services to more than 23,000 customers in 90 countries.

Global Relay Archive supports email, IM, mobile messaging, Bloomberg®, Thomson Reuters, social media, voice, and more — with mobile, Outlook and web access.

Contact: Anthony Crespy, Account Director, Global Relay Communications Inc., 286 Madison Ave., 7<sup>th</sup> Floor, New York, NY 10017 | [866.484.6630 | info@globalrelay.net](mailto:info@globalrelay.net) | [www.globalrelay.com](http://www.globalrelay.com)



### Booth #703

Hearsay Systems offers leading Advisor Cloud solutions for financial services, empowering advisors to efficiently and compliantly use social media, websites, text and email to engage with customers, build stronger relationships and grow their business. Its prescriptive technology processes and prioritizes data from across digital channels and data systems, providing actionable suggestions for advisors on how they should engage with customers next. Built for the enterprise, Hearsay connects these advisor-client interactions and data to corporate CRM systems and digital marketing programs, and provides efficient compliance supervision and review workflows – all on a secure, enterprise-ready platform.

Contact: Chris Mills, VP of Marketing, Hearsay Systems, 185 Berry Street, San Francisco, CA 94107 | 415.692.6230 | [cmills@hearsaycorp.com](mailto:cmills@hearsaycorp.com) | [www.hearsaysystems.com](http://www.hearsaysystems.com)

Learn more about [Hearsay Systems](#) (PDF)



### Booth #301

In its two-decade history of excellence, IMS ExpertServices has provided hundreds of securities and finance experts in support of high-stakes litigation. We believe that registries and databases fall short of capturing the nuance and intricacies required of experts in financial litigation. We deliver the best experts in the world, not the best experts in a directory.

Litigation is full of surprises. The value of having IMS ExpertServices as a partner is that we are never surprised. A full research, recruiting, and project support team ensures that little issues don't become big issues and everyone involved is well-informed and positioned for the best outcome. In short, we deliver experts who position you for the win. Connect with us today.

Contact: James Crane, VP, IMS ExpertServices, 4400 Bayou Blvd., Suite 6, Pensacola, FL 32503 | 877.934.4880 | [contactus@expertservices.com](mailto:contactus@expertservices.com) | [www.ims-expertservices.com](http://www.ims-expertservices.com)

Learn more about [IMS ExpertServices](#) (PDF)



### Booth #403

Intapp is the leading independent software provider to the legal industry, working with a majority of large law firms around the world, including all of the Magic Circle and 70 of the UK Top 100. The established leader in client acceptance, Intapp is introducing innovation in client development, with new solutions for business development and marketing focused on experience management, as well as pricing and planning.

Contact: Michelle Inferri-Tauss, Managing Director, Intapp | [michelle.inferri-tauss@intapp.com](mailto:michelle.inferri-tauss@intapp.com) | Mike Marubio, VP Product Marketing | [mike.marubio@intapp.com](mailto:mike.marubio@intapp.com) | [www.intapp.com](http://www.intapp.com)



### Booth #603

Contact: [www.integreon.com](http://www.integreon.com)



### Booth #400

Intelligize is the leading provider of best-in-class content, exclusive news collections, regulatory insights, and powerful analytical tools for compliance and transactional professionals. Intelligize offers a web-based research platform that ensures law firms, accounting firms, corporations and other organizations stay compliant with government regulations, build stronger deals and agreements, and deliver value to their shareholders and clients. Headquartered in the Washington, DC metro area, Intelligize serves Fortune 500 companies, including Starbucks, IBM, Microsoft, Verizon and Walmart, as well as many of the top global law and accounting firms. In 2016, Intelligize became a wholly-owned subsidiary of LexisNexis®, a leading global provider of content-enabled workflow solutions designed specifically for professionals in the legal, risk management, corporate, government, law enforcement, accounting and academic markets.

Contact: Intelligize, 1920 Association Drive, Suite 200, Reston, VA 20191 | 888.925.8627  
| [www.intelligize.com](http://www.intelligize.com)

# KING & SPALDING

## Booth #500

Contact: [www.kslaw.com](http://www.kslaw.com)



## Booth #600

Law360, a LexisNexis company, is a one-stop source for legal news and in-depth analysis, with up-to-the-minute coverage of litigation, regulation and enforcement, legislation, executive orders, administrative hearings, corporate deal-making, and more across dozens of practice areas, industries, and jurisdictions. With a unique blend of cutting-edge technology and journalistic expertise, Law360 delivers the intelligence legal and business professionals need to remain experts and get ahead of the curve.

Contact: Dustin Langner, Fortune 1000 Sales Manager, Law360  
| 646.783.7104 | [dustin.langner@law360.com](mailto:dustin.langner@law360.com) | [www.law360.com](http://www.law360.com)

Learn more about [Law360](#) (PDF)



## Booth #201

We are a global infrastructure software company, committed to enabling customers to both embrace the latest technologies and maximize the value of their current IT investments. We believe organizations don't need to eliminate the past to make way for the future. Everything we do is based on a simple idea: the fastest way to get results from new technology is to build on what you have—in essence, bridging the old and the new—to meet increasingly complex business demands. Our promise to customers is that they will be in the best position to navigate the challenges of business and IT change. To deliver customer success, we invest in product innovation and acquisition, supported by people and services. So, from Cloud to mobile, from the datacenter to the Internet of Things, our solutions enable customers to innovate faster with less risk, embrace new business models, seize market opportunities, and derive competitive advantage.

Contact: Hollie Davis, Marketing Program Manager, Micro Focus, 1140 Enterprise Way, Sunnyvale, CA 94089 | 801.372.4008 | [hollie.davis@microfocus.com](mailto:hollie.davis@microfocus.com) | [www.microfocus.com](http://www.microfocus.com)

Learn more about [Micro Focus](#) (PDF)





### Booth #705

MCO provides Conflict of Interest (COI) compliance automation that helps firms meet their regulatory obligations, efficiently and economically. Trusted by financial institutions of all sizes across the globe, our solution employs state-of-the-art SaaS technology and supports today's security protocols. The MyComplianceOffice platform is organized into affordable modules that cover third party due diligence, employee code of conduct and trade surveillance. Its modular components and central data repository make it easy to purchase and implement only what is needed to reduce the risk of non-compliance and the associated costs. Our singular focus on COI compliance allows us to deliver unparalleled quality software and customer service.

Contact: MyComplianceOffice, 535 Fifth Avenue, Floor 4, New York, NY 10017  
| 1.866.951.2279 | [advance@mycomplianceoffice.com](mailto:advance@mycomplianceoffice.com) | [www.mycomplianceoffice.com](http://www.mycomplianceoffice.com)



### Booth #203

n-Tier Financial Services is a regulatory focused data validation company that helps firms automate the validation processes required to ensure the ongoing accuracy and completeness of their regulatory reporting submissions. We provide clients with a state-of-the-art data validation platform coupled with deep regulatory knowledge and expertise built-up through years of working on regulatory data validation and remediation programs across different investment banking and brokerage firms. Used by some of the most well-known firms in the industry, our Compliance Workbench platform provides clients with a sustainable process which focuses on 100% validation and auto-correction of each regulatory report. Our cutting-edge software provides automated monitoring capability for regulatory reporting across even the most complex infrastructures, and enables firms to quickly identify and correct reporting issues. With unique in-depth experience in reporting requirements such as Blue Sheets, OATS, CAT, LOPR and AML, we provide clients a flexible solution which can be implemented quickly and centralizes the validation process across different regulatory reporting requirements.

Contact: Jeff Bergson, EVP, n-Tier Financial Services, 575 Madison Avenue, 10<sup>th</sup> Floor, New York, NY 10022 | 212.605.0259 | [jeff.bergson@ntierfs.com](mailto:jeff.bergson@ntierfs.com) | [www.ntierfs.com](http://www.ntierfs.com)

# NICE · ACTIMIZE

Booth #605

Contact: NICE Actimize, 221 Hoboken, 10<sup>th</sup> Fl, Hoboken, NJ 94030 | [www.niceactimize.com](http://www.niceactimize.com)



Booth #502

For more than 160 years, PwC has been committed to one goal – helping our clients thrive. With more than 236,000 employees and offices in 158 countries, we help global organizations and individuals alike create value in the world, by delivering quality audit, assurance, tax and advisory services. PwC's Financial Services practice helps companies address regulatory reform, financial reporting requirements, implementation of cost effective technologies, talent acquisition and increasing demands from stakeholders. Our professionals assist with many of today's largest, most challenging issues impacting asset and wealth management, banking and capital markets and insurance. As one of the leading professional services networks in the world, our reputation lies in building lasting relationships with our clients and delivering value in all we do.

Contact: Julien Courbe, Financial Services Advisory Leader, PwC, 300 Madison Ave., New York, NY 10017 | 646.471.3000 | [julien.courbe@pwc.com](mailto:julien.courbe@pwc.com) | [www.pwc.com/financialservices](http://www.pwc.com/financialservices)



Booth #404

QuisLex is an award-winning legal services provider that specializes in managed document review, contract management, compliance services, legal spend management, and legal operations consulting. We employ operational excellence, Six Sigma based quality processes and ISO certified data security to support large-scale, complex legal projects for companies and law firms. Our full-time highly trained attorneys, process experts, statisticians and linguists work closely with our clients to help reduce cost, mitigate risk and maximize efficiency. QuisLex is regularly acknowledged as a leader in the legal services industry, and is proud to be recognized by Chambers and Partners as a Band 1 Legal Process Outsourcing Provider, New York Law Journal as a Top Managed Document Review Services Provider, and the IACCM as its Outstanding Service Provider for contract management solutions.

Contact: Ram Vasudevan, CEO, QuisLex, 200 Liberty Street, New York, NY 10281  
| 646.887.3900 | [ram@quislex.com](mailto:ram@quislex.com) | [www.quislex.com](http://www.quislex.com)

Learn more about [QuisLex](#) (PDF)

# RegEd

## Booth #601

RegEd, Inc. is a leading provider of compliance technology solutions with relationships with more than 400 enterprise clients, including 80% of the top 25 broker-dealers and top 25 insurance companies. Established in 1994 by former regulators, the company is a recognized industry authority and has created the standard of excellence for rule-based and content-driven compliance automation for insurance companies, investment advisors and broker-dealers. RegEd solutions drive new levels of operational efficiency and enable firms to cost-effectively comply with regulations and mitigate risk.

Contact: Ann Robinson, Senior Vice President, Business Development, RegEd, Inc., 2100 Gateway Centre Blvd., Suite #200, Morrisville, NC 27560 | 1.800.334.8322 | [ann.robinson@reged.com](mailto:ann.robinson@reged.com)  
| [www.reged.com](http://www.reged.com)



## Booth #102

Renaissance Regulatory Services, Inc. (RRS) provides comprehensive compliance consulting and support services to broker-dealers, investment advisers, investment companies, hedge funds and registered private fund managers. Specializing in SEC and FINRA compliance audits, written supervisory procedures and internal controls, RRS provides the experience and insight to meet all your compliance needs. Our services are customized to fit your firm's operations and in most cases, are performed on site. RRS' staff and partners are former regulators from the SEC, FINRA/NASD and state regulatory agencies, as well as compliance professionals with extensive hands-on experience with SEC, FINRA, and state rules and regulations. RRS is founded on the premise that the financial services industry is constantly changing. In order to "Manage Through Change," firms must have the ability to quickly recognize and respond to the compliance and operational challenges that arise. The RRS team can support your firm's mission by providing comprehensive compliance solutions.

Contact: Louis Dempsey, President, Renaissance Regulatory Services, Inc., 1515 South Federal Highway, Suite 306, Boca Raton, FL 33432 | 561.368.2245 | [louisdempsey@rrscompliance.com](mailto:louisdempsey@rrscompliance.com)  
| [www.rrscompliance.com](http://www.rrscompliance.com)

# SIAPartners

**Booth #800**

Contact: [www.siapartners.com](http://www.siapartners.com)



Contact: [www.sifma.org](http://www.sifma.org)



**Booth #503**

Smarsh® delivers a comprehensive and integrated stack of cloud-based information archiving applications and services that help companies protect themselves and manage risk. Its centralized platform provides a unified compliance and e-discovery workflow across the entire range of digital communications, including email, public and enterprise social media, websites, instant messaging and mobile messaging. Founded in 2001, Smarsh helps more than 20,000 organizations meet regulatory compliance, e-discovery and record retention requirements. The company is headquartered in Portland, Oregon, with offices in New York City, Boston, Los Angeles and London.

Contact: Rahul Rahman, Enterprise Business Development Executive, Smarsh, Inc., 851 SW 6<sup>th</sup> Ave., Suite 800, Portland, OR 97204 | 646.247.8003 | [rrahman@smarsh.com](mailto:rrahman@smarsh.com) | [www.smarsh.com](http://www.smarsh.com)



**Booth #504**

Contact: [www.tdameritrade.com/workplace/designated-brokerage-services](http://www.tdameritrade.com/workplace/designated-brokerage-services)

Learn more about [TD Ameritrade](#) (PDF)