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50TH ANNIVERSARY

C&L 2018 ANNUAL SEMINAR

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Contact: Brandon Douglas, President, Exiger Tech, Global Head, Analytics, Exiger
| 212.455.9400 | newyork@exiger.com | www.exiger.com

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Greenberg Traurig has one of the broadest and deepest broker-dealer practices in the country, with team members located in key geographic locations nationwide. We help our clients formulate strategies and take steps to limit litigation and regulatory risk. We regularly serve as lead defense counsel in complex, high stakes enforcement matters before the SEC, FINRA and state regulators. Our trial experience in court and arbitration across the nation is unparalleled: the members of our team have collectively tried to conclusion well over one thousand matters involving a wide variety of issues facing the financial services industry. The value we can provide is enhanced by our commitment to work closely with attorneys in related disciplines throughout the firm.

Contact: William D. Briendel, Co-Chair, Securities Litigation Practice, Greenberg Traurig LLP, MetLife Building, 200 Park Avenue, New York, NY 10166 | 212.801.2107 | briendelw@gtlaw.com | Tracy L. Gerber, Co-Chair, Securities Litigation Practice, 777 South Flagler Drive, Suite 300 East, West Palm Beach, FL 33401 | 561.650.7985 | gerbert@gtlaw.com | www.gtlaw.com

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Event Mobile App
Lunch & Learn – Tuesday, March 20th
Two (2) Light Boxes

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.

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At a time of significant change in the legal industry, Allen & Overy is determined to continue leading the market as we have done throughout our 87-year history. To support our clients' international strategies, we have built a truly global network now spanning 44 offices in 31 countries. We have also developed strong ties with relationship law firms in over 100 countries where we do not have a presence. This network makes us one of the largest and most connected law firms in the world, with a global reach and local depth that is simply unrivalled. Global coverage in today's market does not simply mean having offices in important cities around the world. For us, it means combining our international resources and sector expertise to work on cross-border transactions directly in the markets and regions important to our clients.

Contact: Katie Frost, Business Development Assistant, Allen & Overy LLP, 1101 New York Ave NW, Washington, DC 20002 | 202.583.3936 | katie.frost@allenoverly.com | www.allenoverly.com

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Bressler, Amery & Ross, P.C. is a full-service law firm with offices in New York, New Jersey, Florida, and Alabama. Bressler's securities practice group is one of the largest in the country, with more than ninety experienced lawyers representing a wide range of financial services firms, including major global and domestic broker-dealers, independent broker-dealers, investment advisors, hedge funds and futures commission merchants. The firm specializes in complex institutional, retail and employment litigation, defending regulatory investigations and proceedings, conducting internal investigations and counseling clients on domestic and international regulatory, compliance, operational and transactional matters. Bressler's securities attorneys are active participants in a wide range of industry organizations and associations and frequent speakers at public conferences and clients' internal conferences. The firm focuses on working closely with in-house counsel and business clients to provide thoughtful, tailored strategies and excellent advice and service in a cost-effective manner.

Contact: Brian F. Amery, Managing Principal, Securities, Bressler, Amery & Ross, P.C., 170 State Street, New York, NY 10004 | 212.425.9300 | bamery@bressler.com | www.bressler.com

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CRAVATH

Lunch – Tuesday, March 20th

Leading financial institutions, senior management and boards turn to Cravath for their most challenging and critical litigation, transactions and regulatory compliance matters. We understand our clients' businesses, and use our broad-based litigation and corporate experience to develop practical and creative solutions that meet our clients' immediate and long-term goals. Our litigators handle a wide range of matters, including securities, antitrust, M&A, bankruptcy, intellectual property, and general commercial litigation and arbitration, as well as government and internal investigations. Our corporate practice handles securities, M&A, banking and credit transactions, financial restructuring and reorganization, SEC compliance and disclosure, governance and board advisory, tax and executive compensation, intellectual property and environmental matters. Every client receives the full attention of an experienced, interdisciplinary team dedicated to successfully navigating a fluid economic and legal environment.

Contact: Daniel Slifkin, Partner, Head of Litigation, Cravath, Swaine & Moore LLP, Worldwide Plaza, 825 Eighth Avenue, New York, NY 10019 | 212.474.1438 | dslifkin@cravath.com | www.cravath.com

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After-Hours Reception – Tuesday, March 20th

Crowell & Moring LLP is an international law firm with approximately 500 lawyers representing clients in litigation and arbitration, regulatory, and transactional matters. The firm is internationally recognized for its representation of Fortune 500 companies in high-stakes litigation, as well as its ongoing commitment to pro bono service and diversity. The firm has offices in Washington, DC, New York, Los Angeles, San Francisco, Orange County, London, and Brussels.

Contact: Deborah Feinberg, Director, Practice Group Business Development & Management, Crowell & Moring LLP, 1001 Pennsylvania Ave., Washington, DC 20004 | 202.508.8995 | dfeinberg@crowell.com | www.crowell.com

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Davis Polk

Networking Reception – Monday, March 19th

About Davis Polk. Davis Polk & Wardwell LLP (including its associated entities) is a global law firm with offices strategically located in the world's key financial centers. For more than 165 years, our lawyers have advised industry-leading companies and global financial institutions on their most challenging legal and business matters. Davis Polk ranks among the world's preeminent law firms across the entire range of its practice, which spans such areas as capital markets, mergers and acquisitions, credit, antitrust and competition, litigation and enforcement, private equity, tax, financial regulation, investment management, restructuring, executive compensation, FinTech, intellectual property and technology, real estate, and trusts and estates. Davis Polk has more than 900 lawyers in offices located in New York, Northern California, Washington DC, São Paulo, London, Paris, Madrid, Tokyo, Beijing and Hong Kong.

Contact: Randall D. Guynn, Partner and Head of the Financial Institutions Group, Davis Polk & Wardwell LLP | 212.450.4239 | randall.guynn@davispolk.com | www.davispolk.com



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EY is a global leader in assurance, tax, transaction and advisory services. We develop outstanding leaders who team to deliver on our promises to all of our stakeholders. In so doing, we play a critical role in building a better working world for our people, for our clients and for our communities. Our Financial Services Risk Management team, covering major financial centers worldwide, is arguably the deepest, largest risk and regulatory skills pool in the market. We have worked closely with our clients to address tactical and strategic change initiatives that include changing business models and capabilities in

response to regulatory expectations, assisting with integrated service delivery across risk, compliance and other functions, and improving risk management capabilities while driving operational efficiency. Our Fraud Investigation and Dispute Services professionals bring a multidisciplinary team to work with you and your legal advisors to address complex issues of fraud, regulatory compliance and business disputes. Our professionals bring the analytical skills needed to conduct financial and other investigations, and gather and analyze electronic evidence. We work to give you the benefit of our broad sector experience, our deep subject matter knowledge and the latest insights from our work worldwide.

Contact: Michael Patterson, Principal, EY, 5 Times Square, New York, NY 10036 / [212.773.2824 / michael.patterson1@ey.com](mailto:michael.patterson1@ey.com), Nancy Reich, Executive Director, EY, 5 Times Square, New York, NY 10036 / [212.773.0300 / nancy.reich@ey.com](mailto:nancy.reich@ey.com), Brad Massam, Principal, EY, 5 Times Square, New York, NY 10036 / [212.773.5620 / bradley.massam@ey.com](mailto:212.773.5620) or Kevin Tanaka, Partner, EY, 5 Times Square, New York, NY 10036 / [212.773.0532 / kevin.tanaka@ey.com](mailto:212.773.0532) / www.ey.com

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FRIED FRANK

Networking Reception – Sunday, March 18th

Fried, Frank, Harris, Shriver & Jacobson LLP advises the world's leading corporations, investment funds and financial institutions on their most critical legal needs and business opportunities. The Firm's approximately 500 lawyers are based in North America and Europe. We offer integrated teams, drawing as needed upon our White Collar Defense and Government Investigations, Securities Enforcement and Regulation, and Securities and Shareholder Litigation Practices, to effectively represent entities, boards, special committees, and individuals in connection with issues related to anti-corruption compliance and enforcement, securities and financial fraud, corporate governance, and cybersecurity and data privacy. We successfully advocate for clients faced with multi-jurisdictional investigations and enforcement actions before domestic and international authorities, defining success in large part by those matters that do not become public record. Our attorneys, many of whom are former federal prosecutors, are well respected by government agencies and regulators and serve clients facing matters requiring a presence worldwide.

Contact: James D. Wareham, Global Chair of Litigation, Fried, Frank, Harris, Shriver & Jacobson LLP, One New York Plaza, New York, NY 10004 | [202.639.7040 | james.wareham@friedfrank.com](mailto:james.wareham@friedfrank.com) | www.friedfrank.com

KIRKLAND & ELLIS

Closing Night Reception – Tuesday, March 20th

Kirkland & Ellis is among the world's leading law firms, with more than 2,000 attorneys in 13 offices throughout the world. The firm has a premier government investigations practice, having represented clients in numerous significant matters involving securities and bank fraud, government contract procurement fraud, financial disclosure and accounting fraud, private funds, environmental crimes, commercial bribery, antitrust violations, privacy issues, qui tam and whistleblower retaliation, money laundering and FCPA and other anti-corruption laws.

Among Kirkland's attorneys are numerous senior officials from the Department of Justice and the Securities and Exchange Commission, including the former Deputy Attorney General of the United States and federal judge in the United States District Court for the Northern District of Illinois, and the former

Director of the SEC's Division of Enforcement and Chief of the Securities and Commodities Fraud Task Force in the United States Attorney's Office for the Southern District of New York, as well as several attorneys who formerly practiced in general counsels' offices at leading companies. Please visit www.kirkland.com for more information on Kirkland's Government, Regulatory & Internal Investigations practice.

Contact: Kirkland & Ellis LLP, 300 N. LaSalle Street, Chicago, IL 60654 | 312.862.2000

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Morgan Lewis

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For nearly 40 years, Morgan Lewis's Securities Enforcement Practice has represented financial institutions, public companies, and senior executives in regulatory investigations and enforcement proceedings conducted by the US Securities and Exchange Commission (SEC), the US Department of Justice (DOJ), and other governmental agencies, as well as all major self-regulatory organizations, including FINRA. The group also conducts internal investigations and acts as an independent consultant to firms in matters arising out of regulatory settlements. Our team includes former high-ranking government prosecutors and veteran SEC lawyers. These include a former Chief Litigation Counsel for the Division of Enforcement, as well as more than 20 other former SEC attorneys. We also have practitioners who previously worked at the DOJ and FINRA, as well as several former government prosecutors from districts across the United States.

Contact: Timothy P. Burke, Partner, Head of Securities Enforcement and Litigation Practice, Morgan, Lewis & Bockius LLP, One Federal Street, Boston, MA 02110
| 617.951.8620 | timothy.burke@morganlewis.com | www.morganlewis.com

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Paul | Weiss

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Paul Weiss is a firm of more than 900 lawyers with diverse backgrounds, personalities, ideas and interests who provide innovative and effective solutions to our clients' most complex legal and business challenges. We take great pride in representing the world's leading companies in their critical legal matters and most significant business transactions, as well as individuals and organizations in need of pro bono assistance.

Contact: Brad S. Karp, Chairman, Paul, Weiss, Rifkind, Wharton & Garrison LLP, 1285 Avenue of the Americas, New York, NY 10019 | 212.373.3316 | bkarp@paulweiss.com | www.paulweiss.com

ROPES & GRAY

After-Hours Reception – Tuesday, March 20th

Ropes & Gray is one of the world's premier international law firms, with more than 1,200 lawyers serving clients across the globe. Our securities enforcement, litigation and regulatory practices are regularly recognized as some of the leading practices in the country by organizations including Chambers, Benchmark and US News. We have over 100 lawyers who specialize in defense of regulatory investigations, internal investigations, preventative counseling and private securities actions. This team includes numerous lawyers who have held high-level positions within key US Attorneys' Offices, the SEC, and the DOJ. We have 150 years of experience representing financial services firms in their corporate, regulatory and litigation needs. We bring that experience to bear in providing our clients with innovative, cost-effective, sophisticated solutions to their most complex securities litigation and enforcement challenges. For more information, please visit <https://www.ropesgray.com/practices/securities-and-futures-enforcement>

Contact: Hannah Boyaggi, Practice Development Manager, Ropes & Gray LLP, Prudential Tower, 800 Boylston Street, Boston, MA 02199 | 617.854.2827 | hannah.boyaggi@ropesgray.com | www.ropesgray.com

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SULLIVAN & CROMWELL LLP

Networking Reception – Monday, March 19th

Sullivan & Cromwell LLP regularly advises financial institutions clients of all sizes in important regulatory matters. Our long-standing history as a leader in U.S. financial institutions regulation allows us to be proactive in helping develop strategies on behalf of our clients and efficiently and successfully represent them before federal and state regulatory bodies. The Firm regularly deals with the Federal Reserve, the Treasury Department, the Office of Comptroller of the Currency, the Federal Deposit Insurance Corporation, the Consumer Financial Protection Bureau, the Financial Crimes Enforcement Network, the Office of Foreign Assets Control and other U.S. federal agencies involved with financial services, as well as with the various state banking agencies. S&C is an international law firm with more than 875 lawyers who serve clients around the world through a network of 13 offices in leading financial centers in Asia, Australia, Europe and the United States.

Contact: Michael M. Wiseman, Partner, Sullivan & Cromwell LLP, 125 Broad Street, New York, NY 10004 | 212.558.4000 | wisemanm@sullcrom.com | www.sullcrom.com

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Contact: Sean Dowd, Managing Director, AlixPartners | 212.845.4029 | sdowd@alixpartners.com | Susan Markel, Managing Director, AlixPartners | 202.756.9016 | smarkel@alixpartners.com | <https://www.alixpartners.com/services/investigations-disputes-risk/>

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DLA Piper is a global law firm with lawyers worldwide. It provides its clients with legal and business solutions locally, regionally and internationally using integrated teams of lawyers with experience that spans a broad range of disciplines. DLA Piper is widely recognized for its pioneering approach and extensive geographic reach, which enables the practice to look after the business issues that matter to its clients - whether they are large or small. Clients of DLA Piper include single-owner startups, local and household name companies, multinationals, financial institutions, FTSE and Fortune 500 enterprises and their subsidiaries, public bodies and governments.

Contact: Daniel Hill, DLA Piper, 401 B Street, Suite 1700, San Diego, CA 92101 | 619.699.2800 | daniel.hill@dlapiper.com | www.dlapiper.com

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Lunch – Monday, March 19th

Today's complex global financial markets require swift and strategic approaches to address the priorities of financial institutions, and our attorneys continue to guide clients through the global uncertainties affecting financial institutions. Jones Day's One Firm Worldwide approach allows us to create multi-office cross-practice counseling, transactional and litigation teams to support our clients. All clients are Firm clients; we ensure that all matters are staffed appropriately for the job, regardless of geographic location or practice. Our commitment to client service has repeatedly earned the Firm first-place ratings from The BTI Consulting Group, an organization that monitors client satisfaction with legal services. Since the inception of the BTI Client Service ranking, Jones Day has ranked number one eight times. Our consistent high performance has earned the Firm a place among the elite firms elected to the BTI Client Service Hall of Fame.

Contact: Henry Klehm, Partner, Jones Day | 212.326.3706 | hklehm@jonesday.com | www.jonesday.com

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KING & SPALDING

Pocket Program Guide

King & Spalding's Securities Enforcement and Regulation lawyers regularly counsel global banks, broker-dealers, asset managers and pension funds, as well as accountants, attorneys and other active advisors within the financial services industry, across the spectrum of compliance, regulatory and enforcement matters they face. We have deep experience with matters before the SEC, FINRA, CFTC, DOJ and other federal, state, and international and self-regulatory enforcement organizations. The group calls upon the talents of more than 40 former federal prosecutors and senior officials from the SEC and other regulatory and enforcement agencies. King & Spalding's Business & Securities Litigation lawyers regularly defend financial institutions, investment banks and corporate executives involved in high stakes matters. We have handled numerous commercial disputes and shareholder litigations filed throughout the country and have a proven track record of successful results—both at the motion to dismiss stage and, if necessary, all the way through trial.

Contact: Jac Calabro, Business Development Manager, King & Spalding LLP, 1185 Avenue of the Americas, New York, NY 10036 | 212.556.2250 | jcalabro@kslaw.com | www.kslaw.com

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Lunch & Learn – Monday, March 19th
Learning Lab – Monday, March 19th

Accenture is a leading global professional services company, providing a broad range of services and solutions in strategy, consulting, digital, technology and operations. Combining unmatched experience and specialized skills across more than 40 industries and all business functions—underpinned by the world’s largest delivery network—Accenture works at the intersection of business and technology to help clients improve their performance and create sustainable value for their stakeholders. With more than 435,000 people serving clients in more than 120 countries, Accenture drives innovation to improve the way the world works and lives.

Contact: Samantha Regan, Managing Accenture, Accenture Finance & Risk Regulatory & Compliance
| 917.452.4400 | www.accenture.com

WACHTELL
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Continental Breakfast – Tuesday, March 20th

Wachtell, Lipton, Rosen & Katz is one of the most prominent business law firms in the United States. The firm’s pre-eminence in the fields of mergers and acquisitions, takeovers and takeover defense, strategic investments, corporate and securities law, and corporate governance means that it regularly handles some of the largest, most complex and demanding transactions in the United States and around the world. The firm’s litigation practice is consistently at the cutting edge of the leading commercial and corporate litigation battles dominating headlines, from complex takeover and merger litigation and significant white collar criminal investigations, to other sensitive litigation matters that include counseling boards of directors and senior management in the most sensitive situations. The firm features consistently in the top rank of legal advisors. Its attorneys are also recognized thought leaders, frequently teaching, speaking and writing in their areas of expertise.

Contact: Ariane G. Finkel (Arie), Director of Client Relations, Wachtell, Lipton, Rosen & Katz | agfinkel@wlrk.com | www.wlrk.com

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Networking Refreshments (Session 1) – Tuesday, March 20th

Cadwalader, Wickersham & Taft LLP, founded in downtown New York in 1792, is proud of more than 225 years of service to many of the world's most prestigious financial institutions and corporations. With 400 attorneys practicing in the United States and Europe, we offer clients innovative solutions to legal and financial issues in a wide range of areas, including antitrust, business fraud, compliance and regulation, corporate and commercial finance, derivatives and structured products, energy and commodities, ERISA, executive compensation and benefits, financial restructuring, governance, healthcare, insurance/risk-linked securities, intellectual property, investment management, litigation, M&A, not-for-profit, private equity, private wealth, securitization and asset based finance, tax matters, and white collar defense and investigations.

Contact: Jennifer Olson, Senior Business Development Manager, Cadwalader, Wickersham & Taft LLP, 227 West Trade Street, Charlotte, NC 28202 | jennifer.olson@cwt.com | www.cwt.com

CLEARY GOTTLIEB

Networking Refreshments (Session 1) – Monday, March 19th

A leading international law firm with 16 offices located in major financial centers around the world, Cleary Gottlieb has been a leader for more than 70 years in providing the highest quality legal services to clients around the globe. Cleary is consistently selected by domestic and international financial institutions, multinational corporations, trade associations, exchanges, and other market participants to advise on their most challenging securities regulatory, transactional, litigation, and enforcement issues. Cleary has been ranked in the top tier for securities regulation, financial services, and derivatives by *Chambers USA* every year since the inception of these categories, and was named Financial Regulation Team of the Year by *International Financial Law Review* in 2016. Our experienced team includes two former General Counsel of the FDIC, several former senior SEC officials, and 10 former federal prosecutors.

Contact: Cleary, Gottlieb, Steen & Hamilton LLP | www.clearygottlieb.com

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CLIFFORD CHANCE

Women's Luncheon – Monday, March 19th

Clifford Chance US represents major US and global financial institutions on all aspects of financial services law and regulation, cyber, economic sanctions and export controls, anti-money laundering, anti-corruption, and other laws and regulations affecting domestic and international business. We offer a wealth of practical expertise, including former government lawyers from the DOJ, Federal Reserve, SEC, CFTC, DFS, Department of the Treasury, and the Department of Commerce, combined with decades of

advisory and litigation defense experience in front of these and other federal and state agencies and SROs. Our team is part of a fully-integrated global financial service and litigation practice that uniquely positions us to advise domestically and globally on complex, high stakes matters and in managing complex class actions and increasingly common parallel administrative and criminal proceedings when they arise.

Contact: Clifford Chance US LLP, 2001 K Street, NW, Washington, DC 20006 | www.cliffordchance.com

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Debevoise & Plimpton

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Debevoise & Plimpton is a premier law firm providing sophisticated regulatory, transactional, compliance and enforcement advice to a broad array of financial services clients. We help our clients navigate their most technical issues, manage critical enforcement and compliance challenges and complete complex transactions. Respected by enforcement agencies, our lawyers are renowned for their investigative skill and seasoned judgment. This makes the team a powerful advocate for clients, and leads to considerable success in matters involving investigations by the SEC, DOJ, New York Attorney General, UK Serious Fraud Office and other authorities around the world. With a team that includes 15 former Assistant U.S. Attorneys or DOJ lawyers, the immediate past Chair and Director of Enforcement of the SEC and three former SEC Unit Chiefs, our lawyers provide clients unmatched insights. We provide a holistic offering of regulatory, litigation and transactional solutions, evident from our 2017 Banking Practice Group of the Year selection by Law360. Debevoise's interdisciplinary team offers financial institutions experienced counsel for today's evolving business climate.

Contact: Satish Kini, Partner, Debevoise & Plimpton LLP, 919 Third Avenue, New York, NY 10022 | 202.383.8190 | smkini@debevoise.com | www.debevoise.com

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

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When a financial services company is faced with a securities, shareholder derivative, ERISA or other high-stakes class action, they need a partner who understands what is at stake and can think outside the box to achieve resolution. Goodwin's deep experience, creative thinking and tenacity has led to our involvement in precedent-setting securities cases in courts across the country. The results we achieve are best of breed and have helped shape the law nationally. Our cases range from defending companies in class action securities fraud litigation brought following restatements of earnings or the release of bad business news, to resolving shareholder derivative challenges, to multibillion dollar mergers and acquisitions. With an extraordinary collective reputation, we are well prepared to handle the full range of challenges facing our clients, tailored to meet your specific needs. Our team will support you with the services and representation you need so you can more effectively manage your business.

Contact: Goodwin Procter LLP, 100 Northern Avenue, Boston, MA 02210
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| 212.758.9700 | twhille@kpmg.com | www.kpmg.com

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LATHAM

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Latham & Watkins has more than 2,600 lawyers located in the world's major financial and regulatory centers in more than 30 offices across the United States, Middle East, Europe and Asia. With more than 60 international practice groups and industry teams, Latham is consistently ranked in the top tier by leading legal and business publications such as The American Lawyer, Financial Times, Chambers and Partners, The Legal 500 and Asia Legal Business. Latham's Financial Institutions Group advises clients on cutting-edge transactions, sensitive regulatory issues and litigation matters, and distinguishes itself with its ability to comprehensively address the issues facing global financial institutions. Through its globally integrated regulatory, transactional, and litigation practices, it provides clients with the advice needed to navigate today's highly regulated markets. The team provides comprehensive global counseling on local regulations relating to banking, securities brokerage, derivatives, stock exchange matters, and other financial products and transactions.

Contact: Phoebe Medeiros, Industry Development Specialist – FIG, Latham & Watkins LLP, 885 Third Avenue, New York, NY 10022 | 212.906.3055 | phoebe.medeiros@lw.com | www.lw.com

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Neal, Gerber & Eisenberg LLP is a Chicago based law firm providing legal services to a broad spectrum of clients in business transactions, regulatory proceedings, and litigation matters. The Securities Litigation & Regulatory Practice Group has represented financial services firms and persons affiliated with them for over forty years with respect to a wide range of issues in litigation, arbitration, mediation, employment disputes, and regulatory matters throughout the country. Our in-depth knowledge of the financial services industry and regulatory environment, coupled with our extensive, national courtroom and arbitration trial experience, enables us to mount sophisticated, successful defenses and handle regulatory matters on a cost-effective basis across the country.

Contact: H. Nicholas Berberian, Partner, Neal, Gerber & Eisenberg LLP, Two North LaSalle Street, Chicago, IL 60602 | 312.269.8005 | nberberian@nge.com | www.ngelaw.com

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Networking Refreshment (Session 2) – Monday, March 19th

Norton Rose Fulbright is a global law firm. We provide the world's preeminent corporations and financial institutions with a full business law service. We have more than 4,000 lawyers and other legal staff based in Europe, the United States, Canada, Latin America, Asia, Australia, Africa, the Middle East and Central Asia. With over 1,000 professionals dedicated to financial institutions, we advise many of the world's leading banks, asset managers, financial investors and insurance companies, both locally and on a global scale. We counsel our financial institutions clients on virtually every aspect of the industry, from day-to-day transactions to high-level and complex cross-border operations, taking a holistic approach to the range of their legal requirements. Having substantial resources in leading financial centers and on-the-ground teams in many of the fastest growing emerging markets, we are well positioned to help clients realize their objectives wherever they are in the world.

Contact: Rodney Acker, Partner, Norton Rose Fulbright, 2200 Ross Avenue, Suite 3600, Dallas, TX 75201 | 214.855.7466 | rodney.acker@nortonrosefulbright.com | www.nortonrosefulbright.com

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Run for a Purpose – Monday, March 19th

Orrick, Herrington & Sutcliffe LLP is a global law firm focused on serving companies in the finance, technology, and energy & infrastructure sectors. Capitalizing on a wealth of financial services industry experience, our litigators and regulatory lawyers have achieved outstanding results for the world's major financial institutions in their most complex disputes, and regularly provide compliance counseling to avoid litigation and regulatory risk. A third of our global practice is dedicated to the financial services sector, enabling our litigators to draw on transactional teams with deep understanding of the products and market practices underlying the claims. With this insight, we focus on developing creative solutions – in and out of court.

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Sport Bottle

Shearman & Sterling has been advising many of the world's leading financial institutions, governments and central banks for more than 140 years. Our teams work across disciplines and jurisdictions to provide the highest quality legal services, bringing their collective experience to bear on the important issues facing our clients. Our commitment to providing insightful and valuable legal advice to our clients

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Contact: Adam S. Hakki, Global Head of Litigation, Shearman & Sterling LLP, 599 Lexington Avenue, New York, NY 10022 | 212.848.4924 | ahakki@shearman.com | Russell D. Sacks, Partner, Shearman & Sterling LLP, 599 Lexington Avenue, New York, NY 10022 | 212.848.7585 | rsacks@shearman.com | www.shearman.com

SIDLEY

Build a Bike Charity Event – Tuesday, March 20th

Sidley's Securities & Derivatives Enforcement and Regulatory group advises and defends clients in a wide range of securities- and derivatives-related matters. With more than 150 lawyers in 10 offices worldwide, we provide comprehensive regulatory solutions in matters involving the SEC, the CFTC, FINRA, PCAOB, SROs, state attorneys general, state securities regulators as well as international securities regulators. Recognized by *Chambers USA* as its 2016 Financial Services Regulation Team of the Year, and as a "go-to shop for both compliance and enforcement matters," and by *U.S. News – Best Lawyers* as its 2017 "Law Firm of the Year" in Securities Regulation, our team combines the know-how of prominent counseling lawyers with the skills of nationally-recognized enforcement lawyers. Through our experience with a broad spectrum of regulatory challenges and our involvement in nearly every major securities- and derivatives-related enforcement initiative, we have built a powerful resource to meet clients' needs.

Contact: Barry W. Rashkover, Partner, Sidley Austin, 787 Seventh Avenue, New York, NY 10019 | 212.839.5850 | brashkover@sidley.com | Neal E. Sullivan, Partner, Sidley Austin, 1501 K Street, N.W., Washington, DC 20005 | 202.736.8471 | nsullivan@sidley.com | www.sidley.com

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Welcome Hospitality – Sunday, March 18th

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STROOCK

Networking Refreshments (Session 1) – Monday, March 19th

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Contact: Michael Keats, Partner, Stroock & Stroock & Lavan LLP, 180 Maiden Lane, New York, NY 10038 | 212.806.5533 | mkeats@stroock.com | Samantha McNulty, Senior Manager, Recruiting, Personnel & Marketing, Stroock & Stroock & Lavan LLP, 2029 Century Park East, Los Angeles, CA 90067 | 310.556.5814 | smcnulty@stroock.com | www.stroock.com

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Networking Refreshments (Session 2) – Monday, March 19th

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Contact: Jonathan Polkes, Partner and Co-Chair of Litigation, Weil, Gotshal & Manges LLP, 767 Fifth Avenue, New York, NY 10153 | 212.310.8881 | jonathan.polkes@weil.com | www.weil.com

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Diversity Breakfast – Date TBD

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Contact: Yoon-Young Lee, Partner and Chair, Broker-Dealer Compliance and Regulation Practice Group, WilmerHale, 1875 Pennsylvania Avenue NW, Washington, DC 20006 | 202.663.6720 | yoon-young.lee@wilmerhale.com | www.wilmerhale.com

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Winston & Strawn represents more clients in the financial services sector than in any other industry. As a leading international law firm, we have represented banking and financial institutions in sensitive, high-stakes matters and innovative transactions for more than 160 years. Our attorneys have received high praise for successfully handling regulatory and enforcement matters on behalf of our clients – with many previously holding positions as high-ranking governmental officials or in-house counsel at some of the nation’s largest financial institutions. Our multidisciplinary team represents banks, funds, investment advisers, broker-dealers, and insurers in a range of regulatory, compliance, litigation, and transactional matters. We counsel clients on inspections, examinations, regulatory inquiries, and other proceedings commenced by virtually every major enforcement and regulatory body, including the SEC, CFTC, FINRA, NFA, CFPB, and state regulatory agencies. In our transactional practice, we represent financial services clients in the United States and abroad in their roles as underwriters, placement agents, lenders, sponsors, and fairness opinion providers, among others.

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Lunch & Learn – Monday, March 19th
Learning Lab – Tuesday, March 20th

ZL Technologies provides solutions for SEC Compliance, GDPR, eDiscovery, records, analytics, and files management on a single unified platform. ZL's architecture manages billions of documents from all applications under one system, thus bridging across today's fractured data silos and complying with enterprise-wide regulations, such as GDPR. ZL's customers include the largest banks and financial institutions in the world. For more information, please visit www.zlti.com. See how ZL helped a top US bank achieve compliance on a massive scale

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Lunch & Learn – Tuesday, March 20th

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Specialty Coffee Service – Monday, March 19th

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Specialty Coffee Service – Tuesday, March 20th

Financial Service litigators at Hogan Lovells are experienced at handling all aspects of investigations and regulatory enforcement, as well as civil litigation for financial institutions. Our strength lies in our ability to represent clients not only in multiple jurisdictions, but also in simultaneous regulatory and criminal government investigations and civil litigation. We represent major global banks in high-profile matters involving regulatory enforcement and litigation on both sides of the Atlantic, where our clients face simultaneous investigations and/or litigation in the U.S. and other countries. We singularly handle those matters as a unified global team, creating greater efficiencies for our clients and ensuring a coordinated global approach.

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Lunch & Learn – Monday, March 19th

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Moore & Van Allen

Specialty Coffee Service – Monday, March 19th

With over 300 lawyers and other professionals headquartered in Charlotte, Moore & Van Allen offers regulatory advisory, white collar and investigations, IP, finance, litigation, bankruptcy, securities and other legal services. With more than 130 lawyers serving our financial institution clients, MVA's commitment is to deliver world class legal services with exceptional value. Our trial lawyers litigate class action, lending, ERISA, securities, employment and IP cases. Our internationally capable white collar and investigations group has led responses to government investigations across North and South America, Europe and Asia. Our regulatory advisory group represents the largest financial services firms in matters central to their relationships with their key regulators, including recovery and resolution planning and CCAR. Our finance group scores in the top tier of the lending league tables. We build relationships on partnership, listening, hard work, value, and common sense.

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SIAPARTNERS

Light Box

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Deloitte.

Learning Lab – Monday, March 19th

Learning Lab – Tuesday, March 20th

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Contact: Sandra Grannum, Partner, Drinker Biddle & Reath LLP, 600 Campus Dr., Florham Park, NJ 07932 | 973.549.7015 | sandra.grannum@dbr.com | www.drinkerbiddle.com

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Contact: Skip Keesal, Founding Partner, Keesal, Young & Logan, 400 Oceangate, Long Beach, CA 90802 | 562.436.2000 | skip.keesal@kyl.com | www.kyl.com



With more than 260 attorneys, Maynard Cooper & Gale offers a full array of legal services to a broad and diverse client base consisting of Fortune 500 companies as well as closely held businesses. The attorneys in Maynard Cooper's Securities Litigation Practice offer extensive experience in all facets of securities litigation and regulatory matters. With an Alabama-based infrastructure complemented by additional offices in New York, San Francisco and Washington D.C., the firm's litigation/ arbitration practice spans the country. Maynard Cooper has handled thousands of securities arbitrations in 49 states and internationally during the past 10 years for numerous broker-dealer clients. Maynard Cooper's securities litigation practice was ranked in the top 50 of all law firms in the BTI Litigation Outlook report, and one of its lawyers was a Law360 MVP in Securities in 2016, one of only five lawyers nominated to receive such a designation.

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