

sifma

FINANCIAL MANAGEMENT SOCIETY

NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 17–18, 2018 | NEW YORK LAW SCHOOL, NYC



Diamond

VIP President's Dinner

Sponsored by



AxiomSL is a global leader in risk data management and regulatory reporting solutions, covering all regulatory bodies (SEC, FINRA, CFTC, NFA, FRB, UST and BEA etc.) on one strategic platform which seamlessly integrates the firm's source data across all departments while addressing external regulatory reporting requirements and internal reporting needs.

AxiomSL's integrated platform can be cloud-based or on-premise and minimizes end-user applications and manual processes, reduces time to market costs, leverages existing data, increases transparency and control while ensuring accurate and timely regulatory calculations and reporting. Given the diversity of reports such as US Treasury reporting, Focus reporting, Positions reporting, etc., AxiomSL enables broker-dealers to meet regulatory requirements across multiple reports on a single control platform providing efficiencies of scalable solutions and automated change management. www.axiomsl.com

Contact: AxiomSL / +1.212.248.4188 / info@axiomsl.com / www.axiomsl.com

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

Platinum

Reception

Sponsored by



BDO's Financial Services dedicated professionals possess the skill set to meet the unique assurance, tax, and consulting requirements broker-dealer confront, while staying in tune with the latest PCAOB pronouncements and requirements.

BDO helps clients achieve stronger results through sound business and financial advice, backed by deep industry knowledge, broad-based services, global network and an accessible and responsive team. Our experienced professionals are highly in tune with the intricacies of broker-dealer tax issues as well as assurance and consulting requirements. We are not only adept at proactively guiding clients through complexities of the rapidly shifting regulatory environment, but also shape broader industry guidance through our involvement in many industry organizations.

Regulators have tightened their grip on broker-dealers in recent years, implementing a dizzying array of new pronouncements and requirements. As regulatory authorities like the SEC, CFTC and FINRA push for greater compliance rigor, the complexities for broker dealers are rising, requiring increasingly sophisticated adjustments to adapt to new demands.

Contact: John Iacobellis, Assurance Partner – Brokerage Leader, Financial Services Practice, BDO USA, LLP, 100 Park Avenue, 11th floor, New York, NY 10017 / 212.798.4029 / jiacobellis@bdo.com / www.bdo.com

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

Lunch

Sponsored by



EY

**Building a better
working world**

EY is a global leader in assurance, tax, transaction and advisory services. The insights and quality services we deliver help build trust and confidence in the capital markets and in economies the world over. 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.

EY refers to the global organization, and may refer to one or more, of the member firms of Ernst & Young Global Limited, each of which is a separate legal entity. Ernst & Young Global Limited, a UK company limited by guarantee, does not provide services to clients.

EY professionals in our financial services practices worldwide align with key global industry groups, including EY's Global Asset Management Center, Global Banking & Capital Markets Center, Global Insurance Center and Global Private Equity Center, which act as hubs for sharing industry-focused knowledge on current and emerging trends and regulations in order to help our clients address key issues.

Contact: EY / www.ey.com

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

Gold

Continental Breakfast

Sponsored by



Citrin Cooperman is among the largest, full-service assurance, tax, and business advisory firms in the United States, having steadily built its business serving a diverse and loyal clientele since 1979. Our daily mission is to help our clients “focus on what counts.” Rooted in our core values, we provide a comprehensive, integrated business approach to traditional services, which includes proactive insights throughout the lifecycle of our clients wherever they do business, across the globe. www.citrincooperman.com

Contact: Alexander Reyes, Partner, Financial Services Practice Leader, Citrin Cooperman / areyes@citrincooperman.com / www.citrincooperman.com

Learn more about [Citrin Cooperman](#) (PDF)

Silver

Digital Event Guide

Sponsored by



Dash Regulatory Technologies delivers the gold standard solution for US regulatory capital compliance. Our highly experienced group of industry experts deliver an elegant, precise, enterprise-wide solution to manage risk with innovative software solutions. With a comprehensive suite of out-of-the-box tools, custom solutions and consultancy, Dash Regulatory Technologies provides everything required to satisfy the complex reporting requirements surrounding regulatory capital and compliance for the US broker-dealer industry.

Contact: Dash Regulatory Technologies / 312. 235.6944 / sales@dashregtech.com / www.dashregtech.com

Learn more about [Dash Regulatory Technologies](#) (PDF)

Co-Branded Attendee Lanyard

Sponsored by



Dixon Hughes Goodman combines deep industry experience, comprehensive offerings and a strong commitment to personal service. As part of Praxity™, a worldwide alliance of independent firms, we provide global resources with the responsiveness and approachability that only personal relationships can deliver. Our advisory clients include Fortune 500 companies across a variety of industries in all 50 states and internationally. At DHG, we understand the complexities and challenges of delivering both regulatory and strategic change initiatives. We offer a fresh perspective and innovative solutions to your most complex risk, compliance, and regulatory concerns. Comprehensive offerings, exceptional client service and a global network of professionals—that's DHG.

Contact: Thomas Green, Senior Manager, 4 World Trade Center - 150 Greenwich Street, 44th Floor, New York, NY 10007 / dhgras@dhg.com / www.dhg.com

Afternoon Networking Refreshments

Sponsored by



Our NEC Advanced Analytics software has been adopted by Japan Exchange Regulation (JPX-R), an independent self-regulatory body dedicated to maintaining integrity in the Japanese securities markets, in order to carry out market surveillance operations using advanced AI technology. The software is now being used to acquire a wealth of knowledge that was previously used in operations by surveillance

personnel to evaluate irregularities in trade activity and as a result reduces compliance hours/workload up to 80 percent.

NEC Corporation is a leader in the integration of IT and network technologies that benefit businesses and people around the world. The NEC Group globally provides "Solutions for Society" that promote the safety, security efficiency and fairness of society. Under the company's corporate message of "Orchestrating a brighter world," NEC aims to help solve a wide range of challenging issues and to create new social value for the changing world of tomorrow.

Contact: Yasunari Tsuji, Manager, NEC Corporation, Oi 1-Chome 20-10, Shinagawa-ku,, Tokyo-to, Japan, 140-0014 / +81.3.5746.3803 / y-tsuji@ax.jp.nec.com / <https://www.nec.com/>

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