



C&L2019 ANNUAL SEMINAR

MARCH 24-27 | JW MARRIOTT DESERT RIDGE, PHOENIX, AZ



ACA
COMPLIANCE GROUP

Booth #26

ACA Compliance Group (ACA) is a leading provider of governance, risk, and compliance advisory services and technology solutions. We partner with our clients to help them mitigate the regulatory, operational, and reputational risks associated with their business functions. Our clients include leading investment advisers, private fund managers, commodity trading advisors, investment companies, broker-dealers, and domestic and international banks. ACA is based in New York City and has offices in London, Hong Kong, Malta, and other U.S. cities.

Contact: Dee Stafford, Managing Director, ACA Compliance Group, 8401 Colesville Road, Suite 700, Silver Springs, MD 20910 | 561.628.5288 | dstafford@acacompliancegroup.com
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Booth #17/18

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

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Ascent RegTech is leading the world of regulatory compliance forward by helping financial services firms avoid fines, reduce risk, and protect their reputations. Ascent's market-leading Regulation AI extracts a firm's exact obligations from oceans of regulatory text and distills them into daily compliance tasks. Customers can then see exactly how oncoming rule changes affect their tasks and impact their controls, policies and procedures. The result is a fully traceable, end-to-end compliance process that links all obligations, tasks, and documents together in a centralized location. Ascent is the only solution that offers 100% automation in identifying a firm's obligations, horizon scanning, and change management. Armed with the information that matters in an intuitive, simple-to-use platform, customers have everything they need to manage a bulletproof compliance program.

Contact: Vanessa Yeh, Director of Marketing, Ascent RegTech, 180 N Stetson Ave., 2250, Chicago, IL 60601 | 3102.546.264 | vanessa@ascentregtech.com | www.ascentregtech.com/

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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.

Contact: Francine Gittins, Head of Global Marketing and Communications, AxiomSL, 45 Broadway, 27th Floor New York, NY 10006 | fgittins@axiomsl.com | www.axiomsl.com

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CellTrust, headquartered in Scottsdale, Arizona, USA, is a pioneer and global leader in enterprise mobile communications compliance, enforcement, traceability, eDiscovery and security for highly regulated industries. CellTrust SL2 empowers the workforce to be more productive and enjoy the significant cost-savings of BYOD (Bring Your Own Device) policies with optional real-time capture and archiving of all business text, voice and chat communication on both the desktop and the smartphone. Major differentiators are: Clients don't have to install an App, "Dual-Persona" separates personal and business activity on the same smartphone, Integration with leading or existing email archiving/surveillance technology, Can make existing landline numbers text-able, Significant cost savings on device, telecom, and compliance. CellTrust helps financial institutions reduce their communications costs, improve enterprise security, address mobile communication regulatory challenges, make employees happier by separating their work and personal lives and provide their clients with a seamless mobile experience.

Contact: Bethany Sanders, Vice President Business Development, CellTrust , 20701 N. Scottsdale Rd., Suite 107-451, Scottsdale, AZ 85255 | 480.515.5200 ext 309 | Bethany.Sanders@celltrust.com | www.celltrust.com/

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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: Karen Raulli, Relationship Manager, 211 Main Street, San Francisco, CA 94105 | 877.456.0777 | compliancesolutions@schwab.com | <http://corporateservices.schwab.com/public/corporate/employee-monitoring>

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Contact: Amit Lalwani, Senior Vice President, Global Business Development, DealCloud, 101 Hudson St., Suite 1201, Jersey City, NJ 07302 | 201.982.6055 | alalwani@dealcloud.com | www.dealcloud.com/

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**Building a better
working world**

Booth #8

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Contact: Dan Anicito, Vice President, Designated Brokerage, Fidelity Investments | 516.404.1750 | daniel.anicito@fmr.com | www.fidelity.com/

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Contact: Joe Diangelo, Senior Vice President, Risk & Compliance, FIS, 601 Riverside Ave., Jacksonville, FL 32204 | 917.604.5658 | joe.diangelo@fisglobal.com | www.fisglobal.com

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Contact: Kathleen Moore CFO/Partner, FITS Consulting, 400 Morris Ave, Suite 264, Denville, NJ 07834 | 973.586.8877 | kmoore@fitsconsulting.com | www.fitsconsulting.com

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Booth #40

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Contact: Tom Westhoff, Vice President of Sales – North America, Hearsay Systems, 185 Berry Street, Suite 3800. San Francisco, CA 94107 | 415.692.6230 | twesthoff@hearsaycorp.com | www.hearsaysystems.com

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Contact: James Crane, Chief Relationship Officer, IMS ExpertServices, 4400 Bayou Blvd., Suite 6, Pensacola, FL 32503 | 850.473.2517 | jcrane@expertservices.com | www.expertservices.com

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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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MCO provides compliance management software that enables companies around the world to reduce their risk of misconduct. Our powerful platform lets compliance professionals demonstrate they are proactively managing the regulated activities of employees, third-party vendors and other agents of the firm. Available as a unified suite or à la carte, our easy-to-use and extensible SaaS-based solutions get clients up and running quickly and cost-efficiently. Our passion for compliance automation masterfully into every product, empowering clients of all sizes to maximize technology to minimize conduct risk. Customers chose MCO because of its uniquely, integrated platform which addresses; • Employee code of conduct compliance (KYE) • Third party due diligence and risk management (KYTP) • Transaction, deal, trade and wealth management surveillance and monitoring (KYT) Non-compliance raises serious doubt in the minds of the public and regulators. MCO solutions ensure that client's conduct risk procedures are reliably compliant. Knowing that their compliance processes are operationalized through automation, clients can turn their attentions to more challenging compliance concerns and confidently manage the pace of regulatory demand.

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Contact: Matt Levy, Sr. Business Development Manager, Micro Focus, 1140 Enterprise Way, Sunnyvale, CA 94089 | 801.372.4008 | Matthew.levy@microfocus.com | www.microfocus.com

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When your information matters

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Contact: Jeff Bergson, Executive Vice President, n-Tier Financial Services, 575 Madison Avenue, 10th Floor, New York, NY 10022 | 646.846.3555 | jeff.bergson@ntierfs.com | www.ntierfs.com

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Contact: Nicole Finamore-Herley, Global Business Development Executive, NICE Actimize, nicole.herley@nice.com | www.niceactimize.com

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

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Contact: Philip Algieri, Vice President, Legal Services, QuisLex, | Philip.algieri@quislex.com
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RegEd

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Contact: Amy Lisk, Market Research Specialist, RegEd, Inc., |
800.334.8322 x 5294 | amy.lisk@reged.com | www.reged.com

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Contact: Louis Dempsey, Founder/President, Renaissance Regulatory Services, Inc., 1515 South Federal Highway, Suite 306, Boca Raton, FL 33432 | 561.368.2245 | louisdempsey@rrscompliance.com
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Contact: Christopher Pearson, Associate Partner, Sia Partners, 40 Rector Street, Suite 1111, New York, NY 10006 | 917.969.8457 | christopher.pearson@sia-partners.com | www.sia-partners.com

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On behalf of our industry's nearly 1 million employees, we advocate on legislation, regulation and business policy, affecting retail and institutional investors, equity and fixed income markets and related products and services. We serve as an industry coordinating body to promote fair and orderly markets, informed regulatory compliance, and efficient market operations and resiliency. We also provide a forum for industry policy and professional development.

SIFMA, with offices in New York and Washington, D.C., is the U.S. regional member of the Global Financial Markets Association (GFMA).

Contact: SIFMA Office of Member Engagement, 120 Broadway, New York, NY 10271
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By Authentic8

Booth #28

Founded in 2010 by principals from Postini, Authentic8 is redefining how the browser is used to access sensitive web data. Silo, our flagship product, is a secure, remote browser. Silo secures access to sensitive sites, creating an insulation layer between the computer and the web service. Silo helps manage login credentials, access controls and data use policies. Silo is built fresh at session start, and destroyed at session end, ensuring that users remain secure, compliant, and anonymous online. Try Silo risk free at www.authentic8.com.



Booth #39

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Contact: Kim Schlimme, Regional Sales Manager, Smarsh, 851 SW 6th Ave, Portland, OR 97204
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StarCompliance is the leading provider of compliance technology solutions. Trusted globally by enterprise financial institutions, the user-friendly STAR platform empowers organizations to achieve regulatory compliance while safeguarding their integrity and business reputations. Through a customizable, 360-degree view of employee activity, the STAR software enables firms to automate the detection and resolution of potential areas of conflict while streamlining daily workflows and increasing efficiency.

Contact: Paul Hebert, Chief Revenue Officer, StarCompliance, | paul.hebert@starcompliance.com | www.starcompliance.com

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Booth #13

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Booth #23

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Contact: Karena Soto, Sales Manager, Veritone Inc., 575 Anton Blvd., Suite 900, Costa Mesa, CA 92626 | ksoto@veritone.com | www.veritone.com

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