



SEPTEMBER 18, 2019

LISTED OPTIONS SYMPOSIUM

SIFMA Conference Center, NYC

PLATINUM

Cocktail Reception

Sponsored by:



**THE FOUNDATION
FOR SECURE
MARKETS**

As the foundation for secure markets, OCC is a cost-efficient, customer-driven organization that delivers world-class risk management, clearance and settlement services to the U.S. exchange-listed options market. Our role as a Systemically Important Financial Market Utility is critical to providing financial stability for market participants, investors, and the broader economy. OCC provides central counterparty (CCP) clearance and settlement services to 20 exchanges and trading platforms for options, financial futures, security futures, and securities lending transactions. Named 2019 Best Clearing House by Markets Media and 2018 Clearing House of the Year – The Americas by FOW, OCC promotes continued education of the listed options markets through The Options Industry Council (OIC).

Contact: *Pat Hickey, Senior Vice President, Product and Business Development, OCC, 125 S. Franklin Street, Suite 1200, Chicago, IL 60606 / 312-322-2566 / phickey@theocc.com / www.theocc.com*

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

GOLD

Cell Phone Re-Charge Zone

Sponsored by:



Nasdaq (Nasdaq: NDAQ) is a leading global provider of trading, clearing, exchange technology, listing, information and public company services. Through its diverse portfolio of solutions, Nasdaq enables customers to plan, optimize and execute their business vision with confidence, using proven technologies that provide transparency and insight for navigating today's global capital markets. As the creator of the world's first electronic stock market, its technology powers more than 100 marketplaces in 50 countries. Nasdaq is home to over 4,000 total listings with a market value of approximately \$14 trillion. To learn more, visit business.nasdaq.com.

Contact: *sales@nasdaq.com / 1 800 846 0477 / business.nasdaq.com*

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



SEPTEMBER 18, 2019

LISTED OPTIONS SYMPOSIUM

SIFMA Conference Center, NYC

General Session Audio Visual & Webinar

Sponsored by:



Oppenheimer & Co. Inc. (“Oppenheimer”) is a leading bank and full-service investment firm that provides financial services and advice to high net worth investors, individuals, businesses and institutions. For over 130 years, we have provided investors with the necessary expertise and insight to meet the challenge of achieving their financial goals. Our commitment to our clients’ investment needs, our experienced and dedicated professionals, and our proud tradition empower us to deliver effective and innovative solutions to our clients.

Contact: Joe Bilé, Options Trading, Oppenheimer & Co. Inc., 85 Broad Street, 26th floor Trading, New York N.Y. 10004 / 212-667-5938 / Joseph.bile@opco.com

Learn more about [Oppenheimer & Co.](#) (PDF)

SILVER

Networking Lunch

Sponsored by:



Aplomb Strategies is a market structure, regulatory and technology (“RegTech”) consulting firm. We specialize in identifying trends in regulation to proactively design future proof technology for our financial clients. Aplomb’s client list includes exchanges, clearing firms, and registered entities such as broker dealers and hedge funds. Aplomb Strategies helps financial institutions capitalize on global market structure changes. Our focus allows our client partners to understand and implement new organizational processes to address global regulatory change, mitigate workflow inefficiencies and implement cost optimization to drive opportunities for growth.

Aplomb advises senior management, recommends technology solutions, implements regulatory strategies and conducts end to end reviews of procedures to support compliance globally across asset classes (equities, listed options, futures, fx, fixed income and OTC derivatives).

In a world of rapid market structure change, find opportunity.

Contact: Joanna Fields, Principal and CEO, joanna.fields@aplombstrategies.com, 646-226-5926



SEPTEMBER 18, 2019

LISTED OPTIONS SYMPOSIUM

SIFMA Conference Center, NYC

Attendee Badge Lanyard

Sponsored by:



Launched in 2011, Dash Financial Technologies is the industry's leading capital markets technology and execution provider. DASH's philosophy is simple: with technology, clients should be empowered to craft, analyze and refine bespoke solutions calibrated to their precise performance goals. Using the award-winning DASH360 platform, clients receive full routing and cost transparency and a comprehensive suite of tools to visualize all aspects of their orders in real time.

With this emphasis on technology, DASH has become the industry's leading provider of wholly customizable and transparent trading solutions, routing approximately 15% of the daily OCC volume and an additional 30% touching its workflow and compliance tools.

For more information go to www.dashfinancial.com.

Contact: David Dooman, Dash Financial Technologies, 250 Park Ave. S., 9th Floor New York, NY 10003, (312) 986-2251 / DDooman@dashfinancial.com / www.dashfinancial.com

Afternoon Networking Refreshments

Sponsored by:



IMC is a leading market maker, active on over 100 exchanges, platforms, and pools of liquidity around the world. Founded in Amsterdam in 1989, IMC was among the first to value the importance of technology and innovation in the evolution of trading. Today we operate globally - across time zones and continents.

Contact: Paul Jiganti, IMC / 312.244.3300 / informationchicago@imc.com / www.imc.com

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



SEPTEMBER 18, 2019

LISTED OPTIONS SYMPOSIUM

SIFMA Conference Center, NYC

BRONZE

Audience Response System

Sponsored by:



Citi, the leading global bank, has approximately 200 million customer accounts and does business in more than 160 countries and jurisdictions. Citi provides consumers, corporations, governments and institutions with a broad range of financial products and services, including consumer banking and credit, corporate and investment banking, securities brokerage, transaction services, and wealth management.

Additional information may be found at www.citigroup.com | Twitter: @Citi | YouTube: www.youtube.com/citi | Blog: <http://blog.citigroup.com> | Facebook: www.facebook.com/citi | LinkedIn: www.linkedin.com/company/citi

Contact: COREsales@citi.com, 11 eWall St., Mount Pleasant, SC 29464