

September 23–24, 2020

Wednesday,
September 23

LIVE

10:00 AM – 11:00 AM – LIVE: Virtual Exhibit Hall

During this allotted time, visit sponsors, ask questions, and learn from fellow colleagues about industry topics.

11:00 AM – 11:05 AM – LIVE: Welcome Remarks

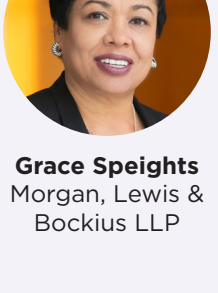
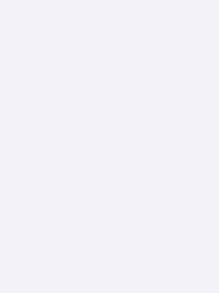
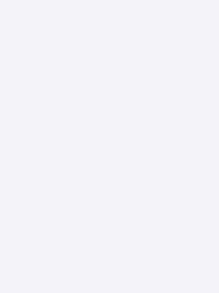
**C&L VIRTUAL FORUM
CHAIRPERSON**
Scott Kursman
Citi

11:05 AM – 11:35 AM – LIVE: One-on-One Conversation with Robert Cook

**Robert Cook**
FINRA**MODERATOR**
Ira D. Hammerman
SIFMA

11:45 AM – 12:45 PM – LIVE: COVID-19: Lessons Learned for Compliance & Legal Professionals

- Operational capacity – what does this mean for systems access, especially trading businesses
- Meeting regulatory obligations for oversight in this COVID-19 environment. Anticipating unique risks in this new operating structure.
- Supervisory and management challenges with remote staff and related information security challenges
- Discuss today's challenges of internal and external communications and recordkeeping
- Considerations for Return-to-Work plans

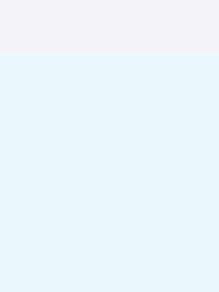
**Michael Broadberry**
Goldman Sachs**Andy Cadel**
Citi**Kevin H. Dunn**
National Institute for
Occupational Safety
and Health**Marlon Paz**
Mayer Brown**Emily Westerberg**
Russell
SEC**MODERATOR**
Amy J. Greer
Baker & McKenzie LLP

12:55 PM – 2:00 PM – LIVE: Leadership Matters: Meaningful, Measured Impact in Diversity and Inclusion

This panel will take a deeper dive into how today's financial industry leadership work must be a matter of effective planning, specific action, and shared teamwork — in order to impact diversity and inclusion.

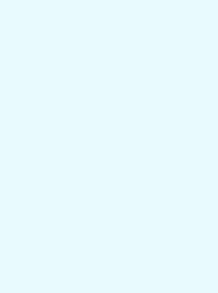
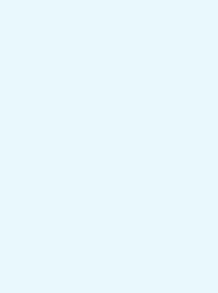
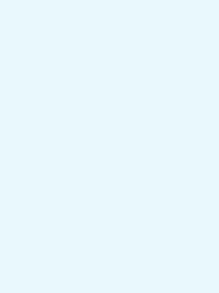
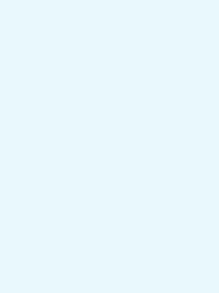
As a result of the global pandemic and recent events (revealing the dire need to address diversity inequalities), participants will gain insights about

- what organizations can employ when identifying/implementing their diversity goals and measurable outcomes
- what barriers (and answers) leaders currently face/activate when expected to move their organizations forward to more "meaningful and measured" work — together

**Christopher Lewis**
Edward Jones**Robert Marchman**
SEC**Grace Speights**
Morgan, Lewis &
Bockius LLP**MODERATOR**
Elaine Mandelbaum
Interactive Brokers
SIFMA C&L Society
President

2:00 PM – 4:00 PM – Break - Exhibit Hall Open

4:00 PM – 5:15 PM – LIVE: General Counsel Roundtable

**Stephen Cutler**
Simpson Thacher**Eric Grossman**
Morgan Stanley**Christopher Lewis**
Edward Jones**Adam Meshel**
Citi**Karen Wilson**
Ameriprise**MODERATOR**
Karen Patton
Seymour
Goldman SachsThursday,
September 24

LIVE

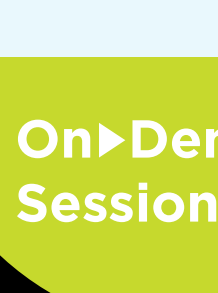
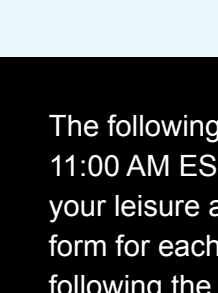
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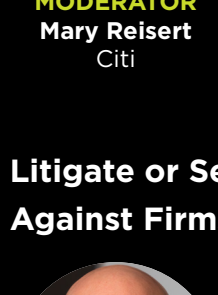
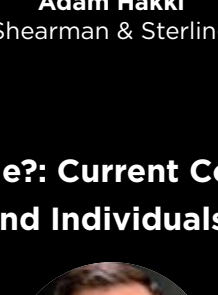
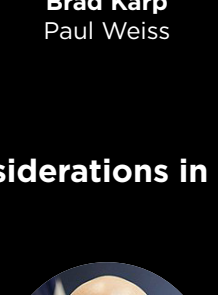
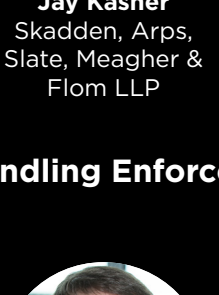
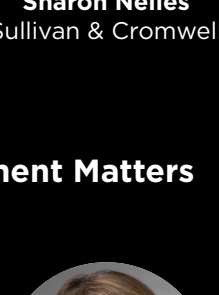
11:05 AM – 12:05 PM – LIVE: A Conversation with Political Commentators James Carville and Mary Matalin

**James Carville****Mary Matalin****MODERATOR**
Jamie Wall
SIFMA

12:10 PM – 1:25 PM – LIVE: Enforcement Panel

Hear from leaders in the enforcement community on the latest industry developments, including:

- the top issues and trends in enforcement
- agency priorities
- cooperation, investigation length, whistleblowing, and criminal liability for corporations
- new areas of enforcement, especially developments in the digital/crypto space

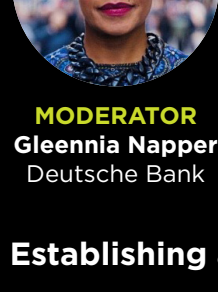
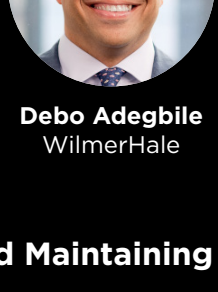
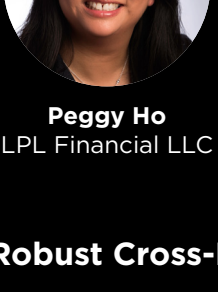
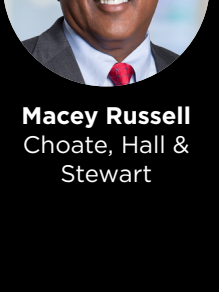
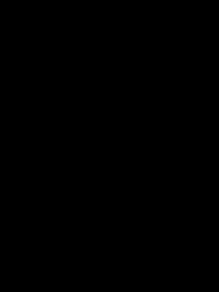
**Stephanie Avakian**
SEC**Jessica Hopper**
FINRA**Jacquelyn Kasulis**
US Attorneys Office**James McDonald**
CFTC**MODERATOR**
Eric Grossman
Morgan Stanley

1:25 PM – 3:00 PM – Break - Exhibit Hall Open

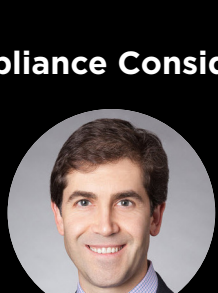
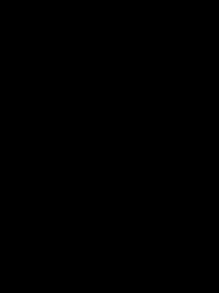
On-Demand
Sessions

The following On demand content will be loaded on September 23rd at 11:00 AM EST and will be available until December 31st. Please view at your leisure and if you are seeking CLE credit, please complete a CLE form for each session. You must submit each affirmation form immediately following the completion of each webinar to csociety@sifma.org by December 31st for credit.

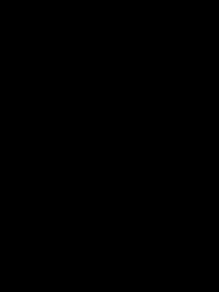
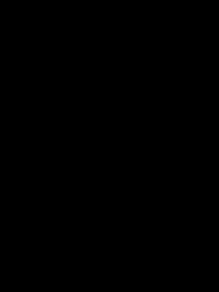
Civil Litigation Update: Securities Class Actions and other Major Civil Cases

**MODERATOR**
Mary Reiser
Citi**Adam Hakki**
Shearman & Sterling**Brad Karp**
Paul Weiss**Jay Kasner**
Skadden, Arps,
Slate, Meagher &
Flom LLP**Sharon Nelles**
Sullivan & Cromwell**Jonathan Rosenberg**
O'Melveny & Myers

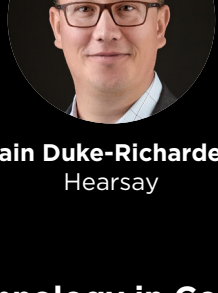
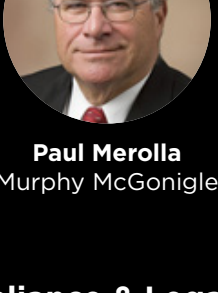
Litigate or Settle?: Current Considerations in Handling Enforcement Matters Against Firms and Individuals

**MODERATOR**
David Markowitz
Goldman Sachs**George Canellos**
Milbank LLP**Craig Carpenito**
New Jersey
Department of
Justice**Matthew Fitzwater**
Barclays**Susan Merrill**
Sidley Austin LLP**Theodore Wells Jr.**
Paul Weiss

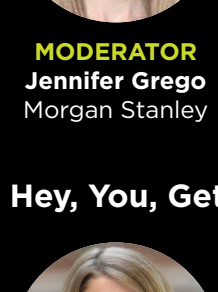
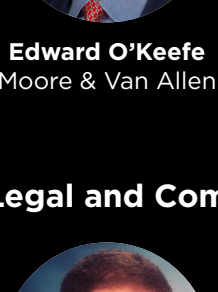
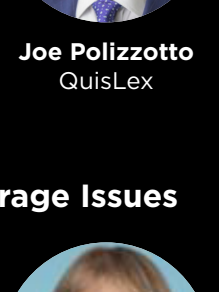
Legal & Compliance Issues in Investment Banking

**MODERATOR**
Darian Futrell
Goldman Sachs**Todd Baskin**
Bank of America**Sandra Galvis**
Credit Suisse**Jodi Huckabee**
Barclays**Michael Kaplan**
Davis Polk**C.B. Richardson**
Citi

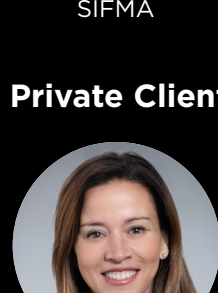
Ethical Considerations and Current Developments in Diversity & Inclusion

**MODERATOR**
Gleenia Napper
Deutsche Bank**Debo Adagbille**
WilmerHale**Peggy Ho**
LPL Financial LLC**Autumn Hunter**
Bank of America**Macey Russell**
Choate, Hall &
StewartEthics
CLE
Credit

Establishing and Maintaining a Robust Cross-Border Program

**MODERATOR**
Allison Murguio
UBS**Belinda Blaine**
Morgan Stanley**Lucas Glass**
Wells Fargo**Charlotte Stalin**
Simmons & Simmons**John Weitzer**
HSBC

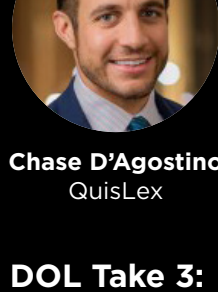
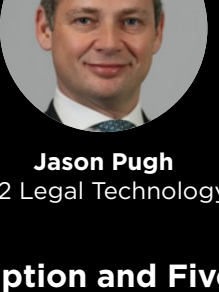
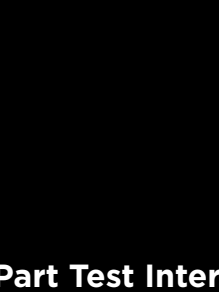
Legal and Compliance Considerations for Swap Dealers

**MODERATOR**
Angie Karna
Nomura**Matthew Danton**
Barclays**Colin Lloyd**
Cleary Gottlieb**Michael Otten**
NFA**Josh Sterling**
CFTC

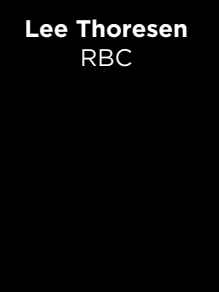
Global Chief Compliance Officer Outlook

**MODERATOR**
Barbara Stettner
Allen & Overy**Ann C. McCague**
Piper Sandler & Co.**Pamela Root**
Deutsche Bank**Raul E. Yanes**
Morgan Stanley

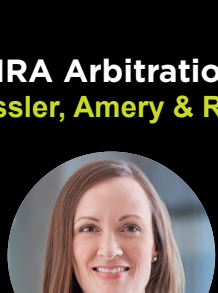
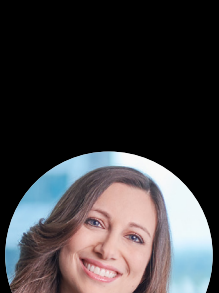
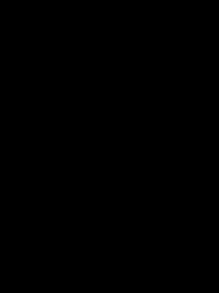
Compliance and Legal Challenges of Social Media and New Communications Technology

**MODERATOR**
Stephen Bard
Wells Fargo**Iain Duke-Richardet**
Hearsay**Paul Merolla**
Murphy McGonigle**Amy Sochard**
FINRA**Casey Whalley**
Edward Jones

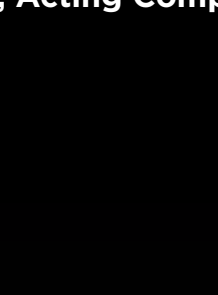
Leveraging Technology in Compliance & Legal, and the Challenges of Digital Services

**MODERATOR**
Jennifer Grego
Morgan Stanley**Brad Ahrens**
Charles Schwab**Edward O'Keefe**
Moore & Van Allen**Steven Polansky**
FINRA**Joe Polizzotto**
QuisLex

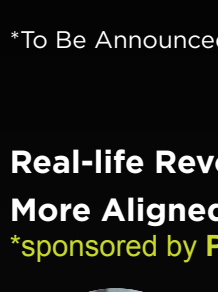
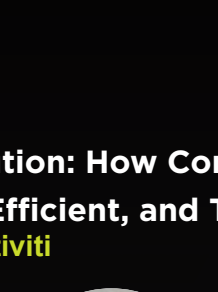
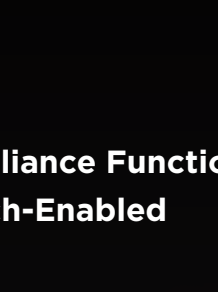
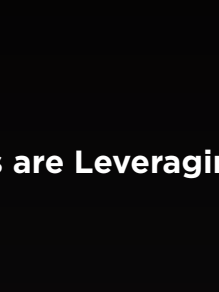
Hey, You, Get Onto Our Cloud: Legal and Compliance Cloud Storage Issues

**MODERATOR**
Melissa MacGregor
SIFMA**Larry Bortstein**
Bortstein Legal
Group**Mike Di Stephan**
Morgan Stanley**Behnaz Kibria**
Google**Cassandra Lentchner**
Pillsbury Winthrop

Private Client Firms: Key Legal & Reg BI Updates

**MODERATOR**
Danielle Tarasen
Raymond James**Hilary Sunghee Seo**
Allen & Overy**William St. Louis**
FINRA**Corin Swift**
Sidley Austin LLP**Anne Tennant**
Morgan Stanley

Arbitration 2020

**MODERATOR**
James Crowe
Edward Jones**Richard W. Berry**
FINRA**Kenneth Crowley**
UBS**Linda Drucker**
Bank of the West**Cheryl L. Haas**
McGuireWoods

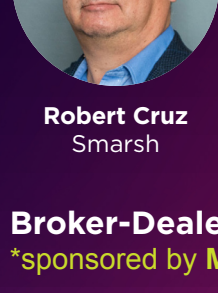
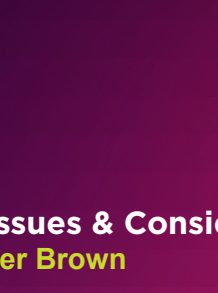
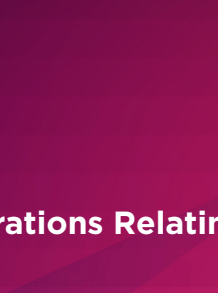
An AI Enabled Holistic Solution to LIBOR Repapering

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**Chase D'Agostino**
QuisLex**Christopher Schell**
Davis Polk & Wardwell**Marcy Cohen**
ING Americas**Jason Pugh**
D2 Legal Technology

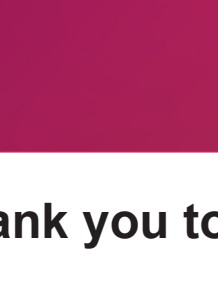
DOL Take 3: Proposed Investment Advice Exemption and Five-Part Test Interpretation

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Lindsay Jackson
Morgan Lewis**Lisa Bleier**
SIFMA**Tonia Bottoms**
Pershing**Jason Kelly**
Edward Jones**Lee Thoresen**
RBC

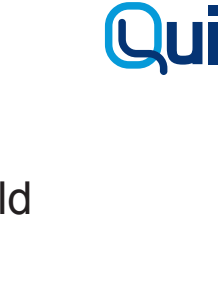
FCPA Cross-Border + Financial Institutions Enforcement Trends

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**Billy Jacobson**
Allen & Overy**Jonathan Lopez**
Allen & Overy**Claire Rajan**
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Forecasting FINRA Arbitration Trends for 2021

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**Logan Fisher**
Bressler, Amery &
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Fireside Chat with Brian Brooks, Acting Comptroller of the Currency

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**Annette Nazareth**
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Strengthen Your Advisor Workflow for Regulation Best Interest

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Broker-Dealer Issues & Considerations Relating to LIBOR Cessation

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*More To Be Announced

*More Sessions to be Announced

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