

▲▲▲ LIVE AGENDA ▲▲▲

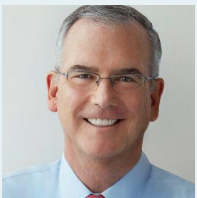
MONDAY, OCTOBER 19

All times Eastern (ET)

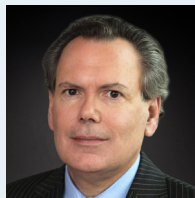
9:00 – 9:45 a.m. – **Virtual Exhibit Hall**

Explore curated offerings, ask questions and interact with leading service providers.

9:45 – 10:15 a.m. – **Opening Remarks**



Joseph E. Sweeney
Chair, SIFMA Board of Directors and President, Advice & Wealth Management, Products and Service Delivery
Ameriprise Financial, Inc.

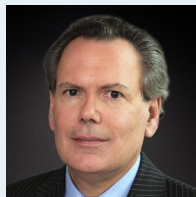


Kenneth E. Bentsen, Jr.
President and CEO
SIFMA

10:15 – 10:45 a.m. – **One-on-One with Morgan Stanley CEO James Gorman**



James Gorman
Chairman and CEO
Morgan Stanley

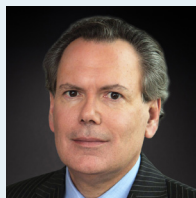


Kenneth E. Bentsen, Jr.
President and CEO
SIFMA

10:50 – 11:20 a.m. – **One-on-One with Dodge & Cox CEO and President Dana Morton Emery**



Dana Morton Emery
CEO and President
Dodge & Cox



Kenneth E. Bentsen, Jr.
President and CEO
SIFMA

11:30 a.m. – 12:10 p.m. – **Panel Discussion: Technology and Innovation**

Technology has the power to transform the markets and financial industry but undertaking innovation projects, particularly in today's reality, can be daunting. Senior technology executives explore strategic partnerships between the industry, government and technologists to ask, how can the industry scale technological transformation?



Mark Foster
Senior Vice President,
IBM Services



Tim Gokey
Chief Executive Officer,
Broadridge



Amit Zavery
Vice President and
Head of Platform,
Google Cloud

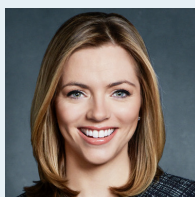


**MODERATED BY:
Ron DePoalo**
Head of Fund and
Brokerage Operations
& Technology
Fidelity Investments

12:15 – 12:45 p.m. – **One-on-One with William Blair President and CEO John Ettelson**



John Ettelson
President and CEO
William Blair

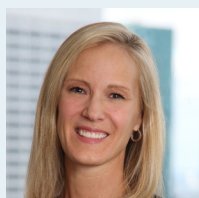


Kayla Tausche
Correspondent
CNBC

12:45 – 1:30 p.m. – **Virtual Exhibit Hall**

Explore curated offerings, ask questions and interact with leading service providers.

1:45 – 2:15 p.m. – **One-on-One with JPMorgan Chase US Wealth Management CEO Kristin Lemkau**

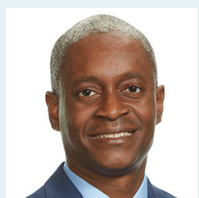


Kristin Lemkau
US Wealth
Management, CEO
JPMorgan Chase



Derek T. Dingle
Senior Vice President
Black Enterprise

2:20 – 2:50 p.m. – **The Benefits of a Diverse and Inclusive Economy with Atlanta Fed President Raphael Bostic**



Raphael Bostic
President
Federal Reserve Bank of Atlanta

3:00 – 3:40 p.m. – **Panel Discussion: Fundamental Shifts**

From the front- to back-office and beyond, all segments of the capital markets are entering a new paradigm. A group of innovative thinkers looks ahead to bring clarity to the question on everyone’s mind, just what is the new normal?



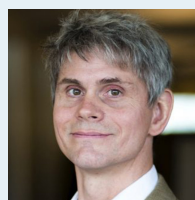
Mike Boese
Chief Executive Officer
Hearsay Systems



Martin Boyd
President, Capital
Market Solutions
FIS



John Kain
Head of Banking &
Capital Markets
AWS Financial Services



Scott Zoldi
Chief Analytics Officer
FICO

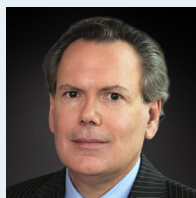


MODERATED BY:
Robert Popowski
Head of Sales,
Trading & Research
Truist Securities

3:40 – 4:00 p.m. – **One-on-One with Securities and Futures Commission CEO and IOSCO Chairman Ashley Ian Alder**



Ashley Ian Alder
CEO, Securities and
Futures Commission
and Chairman
IOSCO

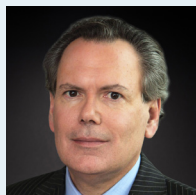


Kenneth E. Bentsen, Jr.
President and CEO
SIFMA

4:10 – 4:40 p.m. – **One-on-One with SEC Chairman Jay Clayton**



Jay Clayton
Chairman
U.S. Securities and
Exchange Commission



Kenneth E. Bentsen, Jr.
President and CEO
SIFMA

4:45 – 5:30 p.m. – **Virtual Exhibit Hall**

Explore curated offerings, ask questions and interact with leading service providers.

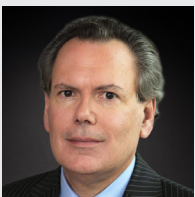
LIVE AGENDA

TUESDAY, OCTOBER 20

8:00 – 9:00 a.m. – **Virtual Exhibit Hall**

Explore curated offerings, ask questions and interact with leading service providers.

9:00 – 9:05 a.m. – **Opening Remarks**



Kenneth E. Bentsen, Jr.
President and CEO
SIFMA

9:05 – 9:35 a.m. – **One-on-One with CFTC Chairman and Chief Executive Heath Tarbert**

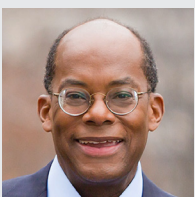


Heath P. Tarbert
Chairman and Chief
Executive
U.S. Commodity
Futures Trading
Commission



Joseph L. Seidel
Chief Operating Officer
SIFMA

9:35 – 10:05 a.m. – **One-on-One with TIAA President and CEO Roger Ferguson**



Roger Ferguson
President and CEO
TIAA

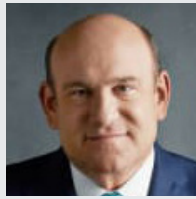


David Westin
Anchor
Bloomberg

10:15 – 10:45 a.m. – **One-on-One with Goldman Sachs Global Treasurer Beth Hammack**



Beth M. Hammack
Global Treasurer
Goldman Sachs



Steve Liesman
Senior Economics
Reporter
CNBC

10:50 – 11:20 a.m. – **One-on-One with Federal Reserve Vice Chair Randal Quarles**



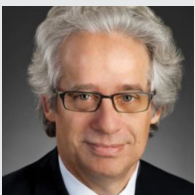
Randal K. Quarles
Vice Chair for
Supervision, Board of
Governors of the Federal
Reserve System and Chair
Financial Stability Board



John F. W. Rogers
Chair-Elect, SIFMA
Board of Directors
and Executive Vice
President
Goldman Sachs & Co.

11:30 a.m. – 12:10 p.m. – **Panel Discussion: The Economic Outlook**

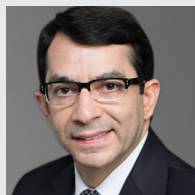
From its devastating human toll to its ramifications on the economy, COVID-19 has undoubtedly had an immediate impact. However, much remains unknown. The Chair of SIFMA's Economic Advisory Roundtable and a panel of peers ask, what is the outlook for the US and global economies?



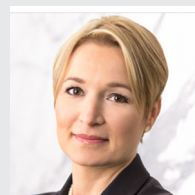
Lewis Alexander
U.S. Chief Economist
and Head of Fixed
Income Research in
the Americas
Nomura Securities
International



Julia Coronado
President and Founder
MacroPolicy
Perspectives



M. Ayhan Kose
Director, Prospects
Group
World Bank Group



Ellen Zentner
Managing Director,
Chief U.S. Economist
Morgan Stanley

12:15 – 1:00 p.m. – **Virtual Exhibit Hall**

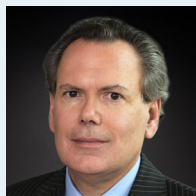
Explore curated offerings, ask questions and interact with leading service providers.

ON DEMAND SESSIONS

Protecting Senior Investors: One-on-One with AARP's Deb Whitman

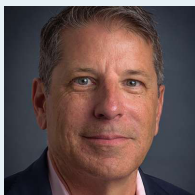


Deb Whitman
Executive Vice
President and Chief
Public Policy Officer
AARP



Kenneth E. Bentsen, Jr.
President and CEO
SIFMA

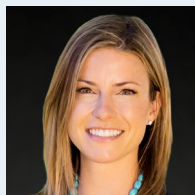
The 2020 Election Outlook: A Discussion with Steve Elmendorf and David Urban



Steve Elmendorf
Partner & Co-Founder
Subject Matter



David Urban
President
American Continental
Group



Jamie Wall
Executive Vice
President, Advocacy
SIFMA

FICO Score Trends Through Economic Downturns and Natural Disasters

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Ethan Dornhelm
VP - Scores and
Predictive Analytics
FICO

How Artificial Intelligence is the Next Evolution in Reconciliation Operations

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Virginie O'Shea
Market Analyst
Firebrand

Abhishek Chatterjee
Founder & CEO
Tookitaki.ai

Alastair McGill
General Manager
Data Control
Broadridge

Peter Webb
Director of Product
Management
Broadridge

Trends in the Capital Markets

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Pontus Eriksson

Senior Strategy Director,
Capital Markets
FIS

The Evolving Financial Crime Risk Management Landscape and Collaboration in Financial Services

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Andrew Davies

VP Global Market
Strategy, Financial
Crime Risk Management
Fiserv Inc.

David Pedraza

Director, AML
Surveillance
Guardian Insurance
Company of America

Pierre Isensee

Global Market Strategist
Fiserv Inc.

Digital Transformation for the Next Normal

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William Warren

Product Marketing
Hearsay

Chris Johnson

AVP
Janney

Karen Shakoske

SVP Marketing &
Communication
Janney

Leslie Leach

VP Marketing
Hearsay

A Look into the SEC's Office of Compliance Inspections & Examinations (OCIE)

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Pete Driscoll

Director
OCIE

Kristin Snyder

Deputy Director
OCIE

Jane Jarcho

Senior Adviser at
Promontory
Financial Group
IBM company

SPAC Offerings, De-SPACing Transactions, and Related PIPE Transactions

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Anna Pinedo

Partner
Mayer Brown

Eddie Best

Partner
Mayer Brown

Operational Resilience at the Intersection with Public Policy

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Ron Lefferts

Managing Director
& Global Leader of
Technology Consulting

Paul Williams

Head of Resilience
Bank of England

Tom Wagner

Managing Director,
Financial Services
Operations
SIFMA

Amy Shanle

Global Head of
Enterprise Resiliency
Strategy, Regulatory
and Governance
BNY Mellon

Nicola (Nicky) Russell

Senior Operational
Resilience SME
HSBC

The Future of financial messaging in post-trade securities services

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Jonathan Ehrenfeld

Strategy Director
SWIFT

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