

NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 28–30, 2020 | A VIRTUAL EVENT

LIVE AGENDA

WEDNESDAY, OCTOBER 28

All times Eastern (ET)

9:15 – 10:00 a.m. – **Virtual Exhibit Hall**

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

10:00 – 10:10 a.m. – **Welcome Remarks**



Michael Lyons

Chief Financial Officer & Treasurer
National Financial Services

Chair
SIFMA's Financial Management
Society

10:10 – 11:00 a.m. – **The Securities Industry: A Senior Executive's Perspective**

Piper Sandler is a leading investment bank and institutional securities firm based in Minneapolis, Minnesota. In December of 2017, Piper Sandler announced that Deb Schoneman was named its President. Ms. Schoneman joined Piper Jaffray in 1990, and has held various senior management positions, including finance director of both equity and fixed income capital markets, treasurer and global head of equities. She was named chief financial officer in 2008, overseeing the firm's financial health through the 2008 financial crisis and leading it to its strong position today. Ms. Schoneman is a member of Piper's board of directors and also serves on the board of directors of SIFMA.

In a conversation with Mike Lyons, Deb Schoneman will share insight on Piper Sandler's approach to the future environment in a year filled with uncertainty as well as reflect on her career and comment on the power of trust and authenticity as key drivers for growth as a securities finance professional.



Michael Lyons

Chief Financial Officer & Treasurer
National Financial Services

Chair
SIFMA's Financial Management
Society



Deb Schoneman

Managing Director,
President
Piper Sandler

11:10 a.m. – 12:00 p.m. – **Fireside Chat with FINRA EVP Bari Havlik**



Ira D. Hammerman
Executive Vice
President & General
Counsel
SIFMA



Bari M. Havlik
Executive Vice
President, Member
Supervision
FINRA

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

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

2:00 – 2:50 p.m. – **Economic Update**

The global economy has a direct impact on the trading, investment banking, investment advisory and other businesses that securities firms conduct. Senior finance executives need to pay attention to global economist trends and events, so they can appreciate the impact on their firms. Tariffs, immigration policy and events – such as Brexit – have an impact in Europe, the U.S. and elsewhere. Tom Porcelli will provide his insights regarding the global economy and what may be ahead for us in the U.S.



Tom Porcelli
Managing Director and
Chief U.S. Economist
RBC Capital Markets, LLC

3:00 – 3:50 p.m. – **Fireside Chat with WNBA Commissioner Cathy Engelbert**

Cathy Engelbert was appointed Commissioner of the WNBA in July 2019. As the WNBA's first Commissioner, Engelbert is responsible for setting the vision for the WNBA and overseeing the league's day-to-day business and basketball operations. In 2015, Cathy was appointed the CEO of Deloitte, becoming the first female CEO of a Big 4 accounting firm. During her tenure, revenues grew more than 30 percent, and Cathy drove a people-first agenda, including implementing a holistic well-being culture through programs like Deloitte's 16-week family leave policy. As a strong supporter of diversity and inclusion, Engelbert is the first woman to serve as chair of the Catalyst Board, a global non-profit organization that promotes inclusive workplaces for women and was also the first woman chair of the Center for Audit Quality Governing Board.

In a conversation with Chip Verrone, the Chair of the SIFMA FMS leadership committee, Cathy will discuss her own career and the challenges that she faced. She will also share her thoughts on what leaders should do to promote the growth of all of their employees, what young professionals should do to advance their own careers, and what both should do to foster diversity and inclusion in the workplace.



Stephen (Chip) Verrone
Managing Director
EY



Cathy Engelbert
Commissioner
Women's National
Basketball Association

4:00 – 4:50 p.m. – **Cybersecurity Risk Management - the Path Forward for Collective Defense**

In an increasingly interconnected and digitally-enabled world, ensuring the economic and security resilience of the Nation requires breaking down silos and engaging in cross-cutting partnership activity. Daniel Kroese will provide an overview of the current cybersecurity threat landscape and how government and industry can continue working together to gain the upper hand on malicious actors in cyberspace.



Daniel Kroese

Deputy Assistant Director
National Risk Management Center,
Cybersecurity and Infrastructure
Security Agency (CISA)

THURSDAY, OCTOBER 29

9:15 – 10:00 a.m. – **Virtual Exhibit Hall**

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

10:00 – 10:10 a.m. – **Day Two Opening Remarks**



Jim McConekey

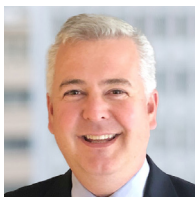
Partner
KPMG LLP
Chair
the AICPA Stockbrokerage and
Investment Banking Expert Panel

10:10 – 11:00 a.m. – **Fireside Chat with SEC Commissioner Hester Peirce**

Hester M. Peirce was appointed to the U.S. Securities and Exchange Commission on January 11, 2018. Prior to joining the SEC, Commissioner Peirce conducted research on the regulation of financial markets at the Mercatus Center at George Mason University. She was a Senior Counsel on the U.S. Senate Committee on Banking, Housing. Commissioner Peirce served as counsel to SEC Commissioner Paul S. Atkins. She also worked as a Staff Attorney in the SEC's Division of Investment Management. Commissioner Peirce was an associate at Wilmer, Cutler & Pickering (now WilmerHale).

Dan Gallagher is the Chief Legal Officer of Robinhood. Before joining Robinhood, Dan was Partner and Deputy Chair of the Securities Department at WilmerHale. Dan has an extensive background in financial markets and regulatory matters, including serving as a Commissioner of the U.S. Securities and Exchange Commission (SEC) from 2011 to 2015. He held several other positions on the SEC staff prior to being appointed commissioner, including deputy director and co-acting director of the division of trading and markets. Dan also served as the Chief Legal Officer at Mylan N.V., a leading global pharmaceutical company, and as the president of a financial services consulting firm.

Dan and Hester will reflect on innovation in the securities industry, securities regulation generally and the Securities and Exchange Commission's (SEC) agenda.



Dan Gallagher

Chief Legal Officer
Robinhood
Former Commissioner
U.S. Securities and
Exchange Commission



**The Honorable
Hester M. Peirce**

Commissioner
U.S. Securities and
Exchange Commission

11:10 a.m. – 12:00 p.m. – **Emerging Technologies**

The Emerging Technologies Panel will cover three topics:

- **Haimera Workie** from FINRA will provide an overview of AI technology in the securities industry and discuss challenges confronted by broker-dealers as they introduce AI-based applications to their business;
- **Jennifer Peve** from DTCC will discuss key concepts regarding settlement optimization and accelerated settlement initiatives modeled around a T+0 settlement cycle and DTCC's proposed design of a digital accelerated settlement service; and
- **Paul Hutchison** will discuss financial service firm's movement of data to the cloud and how that can drive better decision making and innovation, increase resiliency, enhance security and reduce costs.



**MODERATOR
Harvinder Bhatia**

Managing Director,
Capital Markets Digital
Transformations Leader
KPMG LLP



Paul Hutchison

Senior Partner Financial
Services, CBDS
IBM



Jennifer C. Peve

Managing Director,
Business Innovation
DTCC



Haimera Workie

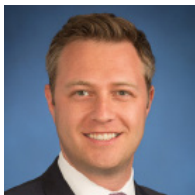
Head of Financial
Innovation and Senior
Director
FINRA

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

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

2:00 – 2:50 p.m. – **Financial Industry Analyst**

Alex is a senior analyst in Global Investment Research covering U.S. asset managers, brokers, exchanges and trust banks in the Financial Services Business Unit. In addition to his coverage responsibilities, he is a deputy business unit leader for the Financial Services Group. Alex joined Goldman Sachs in 2007 and was named managing director in 2015. He will provide his views and insights around the economic and regulatory implications that impact the financial services industry.



Alexander Blostein

Managing Director & Senior
Analyst, Global Investment
Research
Goldman Sachs & Co.

3:00 – 3:50 p.m. – **Fireside Chat with FASB Board Member Susan Cosper**

Susan Cosper joined the Financial Accounting Standards Board (FASB) on May 1, 2019. She previously served as the FASB's Technical Director, Chair of the Emerging Issues Task Force and the Diversity Leader for the FAF/FASB/GASB. Leslie Seidman is the founder of the Center for Excellence in Financial Reporting at the Lubin School of Business at Pace University. She is also a Director and the Audit Chair of both General Electric and Moody's Corporation. She is the immediate past Chairman of the Financial Accounting Standards Board (FASB), where she also served as a member of the Board from 2003–2013.

The mission of the FASB is to establish and improve standards of financial accounting and reporting for the guidance and education of the public, including issuers, auditors, and users of financial information. Leslie and Susan will discuss the FASB's mission as it relates to its current agenda and direction and how its approach has evolved over the years. They will also share some of their experiences and challenges they faced as women in the accounting profession.



Tracey Golden
Audit Partner
Deloitte & Touche LLP



Susan M. Cosper
Board Member
Financial Accounting
Standards Board (FASB)

4:00 – 4:50 p.m. – **Accounting Update**

David Challen will discuss recently adopted accounting pronouncements with an emphasis on those that impact the financial services industry.



David Challen
Partner
PwC

FRIDAY, OCTOBER 30

9:15 – 10:00 a.m. – **Virtual Exhibit Hall**

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

10:00 – 10:10 a.m. – **Day Three Opening Remarks**



Michael P. Jamroz
Retired Partner, Senior Advisor
Under Contract
Deloitte & Touche LLP

10:05 – 10:55 a.m. – **Auditor Panel**

This panel of experts will clarify and demystify the audit procedures and auditor reporting requirements for broker-dealers that depend on the type of broker-dealer and overlapping requirements when the broker-dealer has additional registrations. This session will also discuss some of the challenging topics and areas that registrants and auditors need to navigate and evaluate in the context of audit/attestation engagements.



MODERATOR
Jim McConekey

Partner
KPMG LLP
Chair
the AICPA
Stockbrokerage and
Investment Banking
Expert Panel



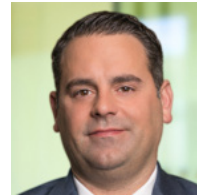
Amy Emens
Partner
PwC



Beth Goldstein
Partner
Deloitte &
Touche LLP



Nancy Grimaldi
Partner
EisnerAmper LLP



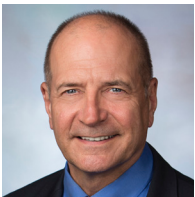
John Iacobellis
Assurance Partner
BDO



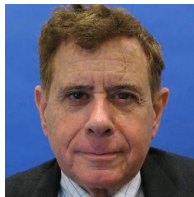
Stephen Zammitti
Engagement Partner
EY

11:05 a.m. – 12:20 p.m. – **Regulator Forum**

The banking, securities and commodities regulators have been working on measures that will impact the size and liquidity of brokerage firm balance sheets. These measures will directly affect return on equity and will drive business decisions of the leadership of securities firms. This panel will explore those measures and their impact.



MODERATOR
Michael P. Jamroz
Retired Partner, Senior
Advisor Under Contract
Deloitte & Touche LLP



Michael A. Macchiaroli
Associate Director,
Division of Trading and
Markets
U.S. Securities and
Exchange Commission



Thomas J. Smith
Deputy Director,
Division of Swap Dealer
and Intermediary
Oversight
Commodity Futures
Trading Commission



Bill Wollman
Executive Vice
President, Head of
Office of Financial and
Operational Risk Policy
FINRA

ON▶DEMAND SESSIONS

US Broker Dealers: 2020 & Beyond

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MODERATOR
Venu Palaparthi
Managing Director
Dash Regulatory
Technologies



Ann Cheeseman
Partner
EY



Colleen Doherty Hickey
Group Treasurer, CFO
Broker Dealer
Jump Trading



Marvin Griffith
Principal Financial
Officer
CIBC World Markets
Corp.



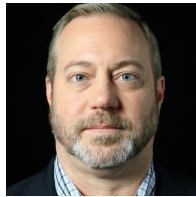
Zachary Zweihorn
Partner
Davis Polk & Wardwell
LLP

Moving Broker-Dealer Regulatory Data to the Cloud: A Use Case Discussion

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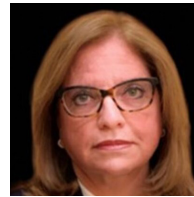
Harry Chopra
Chief Client Officer
AxiomSL



John McDonald
Head of Governance,
Risk & Compliance -
Americas
Amazon Web Services



George Parry
Managing Director,
CFO, Treasurer (FINOP)
Daiwa Capital Markets



Rochelle Pullman
Executive Director,
Broker Dealer Subject
Matter Expert
AxiomSL



Eric Rothrock
Senior Vice President,
Cloud Product
Management
AxiomSL

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