10:00AM – 11:00AM

Virtual Exhibit Hall and Digital Learning Labs

Visit our Virtual Exhibit Hall to learn about the latest specialized products and services in Compliance & Legal, and to discover live thought leadership sessions presented via C&L Digital Learning Labs, a 15-minute presentations hosted by representatives from our sponsoring firms and packed with need-to-know information.

10:00AM – 10:15AM

Sponsored Digital Learning Lab: Hearsay Systems: Leading with Compliance in a Post-Pandemic World

"Amidst an ever-evolving environment–including our new hybrid or remote-first work environment–firms must adopt an agile, forward-thinking mindset to ensure they proactively address the compliance challenges of the future.

This session will share practical, actionable strategies that can be implemented at each level of the organization to drive a compliance-led mindset:

Maintain effective programs and controls, while addressing regulatory obligations and pandemic-related adjustments. With digital client engagement now viewed as table stakes, vigilance and ongoing review is more critical than ever.
Drive efficiency through a tailored lexicon and prioritized review processes, in order to maximize compliance hygiene and streamline efficiency
Develop creative, engaging content that bridges the gap until in-person meetings resume, but that also thrives in a hybrid post-pandemic world "

SPEAKER

Iain Duke-Richardet
Compliance Strategy Principal
Hearsay Systems
Biography

10:20AM – 10:35AM

Sponsored Digital Learning Lab: Bryan Cave Leighton Paisner : Mitigating Litigation, Operations & Reputation Risk Arising from Today's Social Activism Environment

Social activism drives both opportunity and an emerging risk considerations for most institutions. The levers used to effectuate change can include social media campaigns, shareholder investments and board queries/resolutions, political activism, and even litigation. Recent US Senate Banking Committee hearings highlighted the risk impact to financial institutions. Explore with us the intersection of corporate strategic aspirations/brand strategy with compliance/operations risk, counterparty risk, and litigation risk in the current environment:
• Vendor/ Counter Party risks: the impact of increasing benefits corporations certifications
• Litigation tactics: Leveraging corporate disclosures as a "smoking gun" and seeking to holding corporations to account for aspirational statements and operations targets
• Case Study – Civil actions against "Big Plastics"...can it happen to this sector?
• Mitigating the Risk: Can international NGO or governmental accreditations mitigate risk?
• Products and Services risk considerations: Aging populations, equity considerations, achieving aspirational goals

10:40AM – 10:55AM

Sponsored Digital Learning Lab: Smarsh: Future-Proof Compliance: The Intersection of Technology and Oversight

Communications compliance technology can help firms navigate today's regulatory and risk landscape. As technology and business needs constantly evolve, identifying and mitigating the risks of your remote workforce helps firms avoid costly fines and reputational damage, and gain strategic insight on how to tackle communications oversight.

SPEAKER

Robert Cruz
Vice President, Information Governance
Smarsh
Biography

11:00AM – 11:05AM

Welcome Remarks

SPEAKER

Lauri Scoran
SIFMA's C&L Virtual Forum Chair
Chief Compliance Officer
Jefferies LLC
Biography

11:05AM – 11:35AM

One-on-One Conversation with Commissioner Roisman

MODERATOR

Kenneth E. Bentsen, Jr.
President and CEO
SIFMA
Biography

SPEAKER

Commissioner Elad L. Roisman
Commissioner
U.S. Securities and Exchange Commission
Biography

11:45AM – 12:45PM

Legal & Compliance Leadership Perspectives

MODERATOR

Michelle Bryan Oroschakoff
Managing Director, Chief Legal Officer
LPL Financial LLC
Biography

PANELISTS

Stacey Friedman
Executive Vice President and General Counsel
J.P. Morgan Securities LLC
Biography

Eric F. Grossman
Managing Director and Chief Legal Officer
Morgan Stanley
Biography

Christopher Lewis
General Counsel
Edward D. Jones & Co., L.P.
Biography

Ellen Patterson
Senior Executive Vice President and General Counsel
Wells Fargo
Biography

1:00PM – 2:00PM

Lunch & Learns

Join us for a One-Hour, Live Streamed, Lunch & Learn Session, hosted by SIFMA's C&L Virtual Forum Diamond Sponsors. Each Lunch & Learn Session will offer an opportunity to listen to thought leadership on a topical subject, hosted on a Zoom platform and can potentially offer CLE Credits. SIFMA will also host a raffle drawing after each lunch and learn for participants who attend the entire session. Additionally, Lunch & Learn Sessions are eligible for gamification points. Space is limited to 50 per lunch & learn and it is first-come at the time of the session. More details to follow. Stay tuned!

Navigating the SPAC Formation and De-SPAC Transaction Litigation and Enforcement Landscape, Sponsored by Greenberg Traurig

Special Purpose Acquisition Corporations (SPACs) have exploded in recent years, far overtaking traditional IPOs as a means of going public. The pace of so-called de-SPAC transactions has also accelerated, as has the pace of lawsuits asserting securities fraud in connection with either the SPAC formation, the de-SPAC transaction, or sometimes even both.

The panel will focus on SPAC litigation trends and highlight the following topics:

• SEC commentary and enforcement activity
• The applicability (or not) of the PSLRA statutory safe-harbor to the de-SPAC
• Current state of case law
• Best practices to reduce litigation exposures

ESG and Sustainability: The SEC's Emerging Agenda, Sponsored by Baker & McKenzie

Join us for a discussion about the current SEC focus on ESG and sustainability, including key observations from the Division of Examinations' Risk Alert on ESG Investing and thoughts about the Division of Enforcement's new Climate and ESG Task Force.

We will explore how investment advisers and broker-dealers can manage SEC examination and enforcement risk in this area and will cover:
• Defining and disclosing ESG practices;
• Integrating ESG factors into the portfolio management and proxy voting process;
• Avoiding "greenwashing" and claims of inaccurate or misleading advertising;
• Developing appropriate policies, procedures, and internal controls; and
• Anticipating potential enforcement actions based on disclosure, materiality, sales practices, and fiduciary duty.

2:00PM – 3:30PM

Break

3:30PM – 4:30PM

Concurrent Sessions

Concurrent Sessions: View Live Today or On-Demand (On-Demand viewing will start the following day and will be available to view at your leisure until August 20. CLE Credit will also be available for on demand viewing.

Private Client Firms: Key Legal and Regulatory Issues [LIT] [CPL] [RPC]

- Evolving standards of care
- Regulatory focus areas
- Complex and new products
- Cyber, privacy & remote working

MODERATOR

Anne Tennant
Managing Director & General Counsel of Wealth Management
Morgan Stanley
Biography

PANELISTS

Carrie Bechtold
Managing Counsel
Wells Fargo
Biography

Andrew Sidman
Principal
Bressler, Amery & Ross, P.C.
Biography

William St. Louis
Senior Vice President and Firm Group Leader
FINRA
Biography

Corin R. Swift
Partner
Sidley Austin LLP
Biography

Chief Compliance Officer Outlook [CPL]

- Challenges faced in 2020
- Planning for the future – Technology/Artificial Intelligence/Robotics/Data
- Future role of Compliance: What should we focus on in a return to office/hybrid staffing model?
- Managing a global crisis from a financial services perspective (How prepared are we?)
- Compliance Officers of the Future – Skills, acumen and diversity considerations

MODERATOR

Nancy Swift
Head of Enterprise Compliance
Fidelity Investments
Biography

PANELISTS

MaryBeth Findlay
Managing Director, CRCO Division and Chief Compliance Officer, Credit Suisse Securities (USA) LLC
Credit Suisse
Biography

Julian Moore
Partner
Allen & Overy
Biography

Michael Richman
Chief Compliance Officer
Goldman Sachs
Biography

Jennifer Taylor
Chief Compliance Officer – Institutional Clients Group Independent Compliance Risk Management (ICRM)
Citi
Biography

Raul F. Yanes
Chief Compliance Officer
Morgan Stanley
Biography

Cybersecurity Update: Combating an Evolving Threat [TCH]

- Evolving regulatory expectations and exam priorities from SEC, FINRA, and other regulators
- Era of heightened risk related to geopolitical issues, pandemic, supply shortages, etc.
- NY Fed "pre-mortem analysis" warning of potential systemic impact from cyberattack on financial market participants
- Best practices for insider threat programs
- Third party risk management

MODERATOR

Jodi Pinedo
Director & Senior Managing Counsel
Pershing LLC, a BNY Mellon Company
Biography

PANELISTS

Nicole Friedlander
Partner
Sullivan & Cromwell
Biography

Pablo Martinez
Head of the Financial Intelligence Unit and Enterprise Business Resiliency
Fidelity Investments
Biography

Thomas F. Price
Managing Director, Technology, Operations, and Business Continuity
SIFMA
Biography

Andrew Tannenbaum
Managing Director, Global Head of Cyber, Data and IP Legal
Barclays
Biography

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Civil Litigation Update: Securities Class Actions and other Major Civil Cases [LIT] [BKG]

- Event Driven Litigation in the Face of COVID–*In Re Carnival Corp Securities Litigation*, Force Majeure Issues and More
- *Ford Motor Company v. Montana Eighth Judicial District Court*; the "Relate to" Standard and its Impact on Pending Antitrust Actions
- Class Certification and the Presumption of Reliance– *Goldman Sachs Group v. Arkansas Teacher Retirement System*
- A Focus on ESG–Derivative Actions, Section 220 Demands and Securities Class Actions
- SPACs and the Intersecting Interests of Sponsors, Targets, Investors and Regulators
- A Syndicated Term Loan is Not a Security–Millennium

MODERATOR

Mary Reisert
Managing Director
Citigroup Global Markets, Inc.
Biography

PANELISTS

Adam Hakki
Global Managing Partner
Shearman & Sterling LLP
Biography

Brad Karp
Chairman
Paul, Weiss, Rifkind, Wharton & Garrison LLP
Biography

Jay Kasner
Partner
Skadden, Arps, Slate, Meagher & Flom LLP
Biography

Sharon Nelles
Partner
Sullivan & Cromwell LLP
Biography

Jayant W. Tambe
Partner
Jones Day
Biography

—

SEC Security Based Swap Dealers: Implementation Challenges [CPM]

MODERATOR

Felicia Rector
Managing Director, Securities Division
Goldman, Sachs & Co.
Biography

PANELISTS

Kyle Brandon
Managing Director, Head of Derivatives Policy
SIFMA
Biography

Matthew Danton
Director
Barclays
Biography

Annie Hsu
Head of Swap Dealer Compliance
Jefferies
Biography

Colin D. Lloyd
Partner
Cleary Gottlieb Steen & Hamilton LLP
Biography

—

Professional Development Session: Managing Up

SPEAKER

Mary Abbajay
Organizational Management and Leadership Expert; Best-Selling Author
Biography

4:40PM – 5:15PM

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Networking Session: Cybersecurity Update: Combating an Evolving Threat

Join speakers, SIFMA's C&L Executive Committee and Future Leaders in smaller networking sessions to talk about today's sessions. **These sessions will take place in a Zoom room, space is limited to 25 per networking topic and it is first-come at the time of the session.**

SPEAKERS

Jodi Pinedo
Director & Senior Managing Counsel
Pershing LLC, a BNY Mellon Company
Biography

Joan Schwartz
Chief Legal Officer
Pershing LLC, a BNY Mellon Company
Biography

Christopher K. Williams
Senior Legal Counsel
Fidelity Investments
Biography

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Networking Session: Chief Compliance Officer Outlook

Join speakers, SIFMA's C&L Executive Committee and Future Leaders in smaller networking sessions to talk about today's sessions. **These sessions will take place in a Zoom room, space is limited to 25 per networking topic and it is first-come at the time of the session.**

SPEAKERS

Barbara Armeli
Chief Compliance Officer
Charles Schwab & Co., Inc
Biography

Aubrey Cook
Goldman Sachs
Biography

Nancy Swift
Head of Enterprise Compliance
Fidelity Investments
Biography

10:00AM – 11:00AM

Virtual Exhibit Hall and Digital Learning Labs

Visit our Virtual Exhibit Hall to learn about the latest specialized products and services in Compliance & Legal, and to discover live thought leadership sessions presented via C&L Digital Learning Labs, a 15-minute presentations hosted by representatives from our sponsoring firms and packed with need-to-know information.

10:00AM – 10:15AM

Sponsored Digital Learning Lab: Bressler, Amery & Ross: Investigation of Whistleblower Complaints

Overview of the Whistleblower Rule: Drafting Internal Policies and Procedures, Document Preservation, Who Should conduct the Investigation, Drafting the Final Report

10:20AM – 10:35AM

Sponsored Digital Learning Lab: Protiviti: How Far Should You Go: Measuring the Role of Compliance in Leverage Extension in Today's Economy

There is little doubt that COVID-19 has had huge impacts on our supply chain, and the effects can be felt by the increase in prices and availability of goods. While it is uncertain if inflation is here to stay or transitory, the undefined outlook of interest rates, coupled with massive leverage extension, and increased capital supply should drive firms to better understand the sufficiency of controls they have to manage a change in the economy.

10:40AM – 10:55AM

Sponsored Digital Learning Lab: KPMG: Charting a New Course: Operational Resilience and Trader Surveillance

Unforeseen calamities have exposed weaknesses, requiring firms to take a different approach to sustain long-term organizational resilience and growth. These developments have also significantly impacted the way firms approach and think about trader surveillance. In this session, we will discuss –

Recent developments and approaches to Operational Resilience, including:
1) Emerging expectations from the regulators
2) Operating models and frameworks
3) Scenario planning

Market trends in the trade surveillance space, including:
1) The rationalization of surveillance portfolios
2) Tuning and optimization of surveillance patterns
3) Risk ranking of alerts"

11:00AM – 11:05AM

Welcome Remarks

SPEAKER

Michelle Bryan Oroschakoff
Managing Director, Chief Legal Officer
LPL Financial LLC
Biography

11:05AM – 11:35AM

One-on-One Conversation with Carla Harris, Vice Chairman & Managing Director at Morgan Stanley

MODERATOR

Jacqueline LiCalzi
Managing Director, Global Head of Regulatory Relations
Morgan Stanley
Biography

SPEAKER

Carla Harris
Vice Chairman, Managing Director
Morgan Stanley
Biography

11:45AM – 12:00PM

One-on-One Conversation with Penny Pennington of Edward Jones

MODERATOR

Rich Link
Chief Compliance Officer
Edward D. Jones & Co., L.P.
Biography

SPEAKER

Penny Pennington
Managing Partner
Edward Jones
Biography

12:05PM – 1:05PM

Concurrent Sessions

Concurrent Sessions: View Live Today or On-Demand (On-Demand viewing will start the following day and will be available to view at your leisure until August 20. CLE Credit will also be available for on demand viewing.

Ethical Considerations and Current Developments in Diversity & Inclusion [D&I] [ETHICS]

- Elephant in the room – why is DEI progress so slow?
- Ethical issues for collecting and USING data to advance DEI (ABA Resolution 113)
- Paths for Advancement and Senior Leadership
- Joint Development of Diverse Talent – Outside Counsel Engagement

MODERATOR

Alita Wingfield
Managing Director
Morgan Stanley
Biography

PANELISTS

Michael Freedman
Senior Vice President, Associate General Counsel
LPL Financial LLC
Biography

Pamela Gibbs
Director, Office of Minority and Women Inclusion (OMWI)
U.S. Securities and Exchange Commission
Biography

Sandra Dawn Grannum
Partner
Faegre Drinker Biddle & Reath LLP
Biography

Autumn Hunter
Associate General Counsel & Director
Bank of America Corporation
Biography

—

Prudential Bank Regulators' View of Compliance Programs [BKG] [CPL]

- Evolving Regulatory Expectations for Compliance Programs
- Compliance Challenges in a Hybrid Work Environment
- Effective Escalation
- Employee Oversight and Evolving Monitoring Expectations

MODERATOR

Mike Silva
Chief Compliance Officer Americas
UBS
Biography

PANELISTS

Jane Morril
Chief Operating Officer and Head of Enterprise Compliance, Global Compliance Department
Morgan Stanley
Biography

Edward P. O'Keefe
Member
Moore & Van Allen PLLC
Biography

Edvard S. Olsen
Americas Chief Compliance Officer
Barclays
Biography

Vince Perrone
Gov/ERM Lead Expert
Office of the Comptroller of the Currency
Biography

—

NEW: 21st Century Surveillance and Communication Technology [CPL] [TCH]

- Changes to surveillance over the last year due to the remote work environment and evolving expectations
- What are the key components of a great surveillance program?
- How are Artificial Intelligence, Machine Learning and Data Analytics Tools being used in Financial Services?
- Regulatory Guidance on Using Social Media
- Recent Disciplinary Actions Involving Electronic Communications and Surveillance
- Challenges with Supervision and Record Retention of Communication Apps
- Managing Increasing Digitization in the Workplace

MODERATOR

John O'Neill
Executive Vice President and Chief Compliance Officer
LPL Financial LLC
Biography

PANELISTS

Stephen Bard
Senior Vice President, WIM Director of Social Media & Communications Compliance
Wells Fargo Wealth & Investment Management
Biography

Howard Kramer
Partner
Murphy & McGonigle
Biography

Chris Sherlock
Vice President – Surveillance & Data Analytics
Ameriprise Financial, Inc.
Biography

Amy Watson
Managing Director, Federation Compliance and Executive Office Compliance
Goldman Sachs & Co.
Biography

Negotiating Skills: Learn from the Experts [LIT] [ETHICS]

- The benefits and drawbacks of negotiating in a virtual environment vs. in person
- Virtual and In Person: best practices, strategies and tactics from opening through closure
- Developing rapport, persuasion and effective communication in a virtual environment
- Virtual Mediation, bi-lateral discussions and other tools
- Ethical issues in negotiation: good faith, conflicts, confidentiality
- The impact of diversity (or lack thereof) on negotiations

MODERATOR

Joe Salama
Managing Director & Global Head of Litigation and Regulatory Enforcement
Deutsche Bank AG
Biography

PANELISTS

Kathy Adams
Mediator/Owner
Kathy Adams Dispute Resolution Services
Biography

Lisa Bertain
Deputy General Counsel
Edward Jones
Biography

Scott Musoff
Partner, Securities Litigation; Complex Litigation and Trials
Skadden, Arps, Slate, Meagher & Flom LLP
Biography

Robin Nunn
Partner
Morgan, Lewis & Bockius
Biography

NEW: Compliance and Supervision Issues Around Retail Products [RPC] [CPL]

- Mutual fund and ETF recommendations
  - C Share holdings and conversions to A Shares
  - Unit Investment Trusts
  - A Share recommendations in comparison to Passive/Active ETF shares
  - Leveraged and Inverse ETFs
  - 529 plans and differing share classes
- Managed accounts versus brokerage accounts
  - Supervising the account type recommendation and validating on an ongoing basis
  - Third party management versus financial advisor discretion
  - Documenting the value provided for the investment advice fee paid
  - Holding concentration limits
- Annuities Recommendations – riders and share classes
  - Which to recommend (Variable, Structured, Fixed Rate, Fixed Indexed)
  - Income riders
  - Share class differences
- Alternative investments for retail clients
  - For which clients are these appropriate
  - What concentration limits for such products

MODERATOR

Mike Burton
Senior Vice President & Assistant General Counsel
Ameriprise Financial
Biography

PANELISTS

John V. Ayanian
Partner
Morgan, Lewis & Bockius LLP
Biography

David Forman
Senior Vice President & Deputy General Counsel
Fidelity Investments
Chief Legal Officer
Fidelity Brokerage Services
Biography

Christa Graverson
Deputy Chief Compliance Officer
Robert W. Baird & Co.
Biography

Geraldine Starace
UBS
Biography

Professional Development Session: Courageous Conversations

The session is designed for participants to grapple with real organizational problems as they learn the dynamic concepts and skills of effective coaching. As they deal with these issues they explore the assumptions embedded in their view of the problem, and how these assumptions often drive their thinking and behavior. By learning to actively surface and test their thinking and the logic inherent in their views, participants can greatly enhance their organizational and professional effectiveness, and effectively tackle problems that would otherwise go unaddressed or unsolved.

Participants will increase their ability to ...

- Identify organizational, team, and interpersonal situations that they find most problematic and recognize why their best efforts to deal with these situations are often ineffective.
- Develop skills for having responsibly robust conversations with people in higher positions of authority so that critical bottom-up communication remains open and productive.
- Foster conditions that will enable people to act with high levels of candor, respect, and responsibility as they engage difficult, complex issues.
- Significantly reduce destructive finger pointing and blaming when dealing with tough problems and issues, and keep people focused on the relevant issues.
- Apply new action models for advocacy and inquiry to real business issues.

SPEAKER

Tony Herrera, Ed.D.
Senior Vice of Executive Education
LPL Financial LLC
Biography

1:10PM – 2:10PM

Lunch & Learns

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Self-Reporting and Cooperation: Regulatory Guidance and Practical Considerations, Sponsored by Morgan Lewis

Join us for a discussion on the following topics:

- SEC, FINRA, and DOJ Rules and Guidance
  - SEC's cooperation program
  - FINRA Rule 4530(b), Regulatory Notice 08-70 and 19-23
  - DOJ guidance on cooperation
- Self-Reporting Initiatives
  - SEC (Municipalities Continuing Disclosure Cooperation, Customer Protection Rule, Share Class Selection Disclosure)
  - FINRA (Mutual Fund Share Class Waiver and 529 Plan Share Class Initiative)
- Practical considerations for firms
- Trends in self-reported settlements

The Proliferation of Text and App-Based Messaging: A Discussion of the Legal Landscape & Practical Guidance for Financial Firms, Sponsored by Ropes & Gray

The past decade has seen the proliferation of text and app-based messaging. The COVID-19 pandemic has only accelerated the trend as employees increasingly turn to digital means of communication for business-related matters in a global remote work environment. Financial firms should take note of the legal risks associated with employees using text and app-based messaging, including the risk of ignoring red flags that employees are using such means of communication. This presentation will feature a discussion of the legal landscape and practical guidance for minimizing regulatory risks. The webinar will include updates from U.S. regulators, such as the Financial Industry Regulatory Authority (FINRA), and U.K. regulators, such as the Financial Conduct Authority.

2:00PM – 3:30PM

Break

3:30PM – 4:30PM

Ask FINRA: A Panel of Senior FINRA Officials Respond to Your Questions

- The Market Regulation surveillance and examination programs
- FINRA's examination and risk monitoring programs
- Rulemaking initiatives
- Enforcement priorities

MODERATOR

Ben A. Indek
Partner
Morgan, Lewis & Bockius LLP
Biography

PANELISTS

Ornella Bergeron
Senior Vice President, Member Supervision
FINRA
Biography

Robert L.D. Colby
Chief Legal Officer
FINRA
Biography

Stephanie Dumont
Executive Vice President and Head of Market Regulation and Transparency Services
FINRA
Biography

Jessica Hopper
Executive Vice President and Head of Enforcement
FINRA
Biography

10:00AM – 10:45AM

Virtual Exhibit Hall and Digital Learning Labs

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10:10AM – 10:25AM

Sponsored Digital Learning Lab: Quislex: What it Takes to Win: Building Teams for Long-term Success

"– how a successful team must have members with multiple analytical and decision making styles
– how a meaningful diversity, equity and inclusion program plays a critical role in proper team building, but is not, in and of itself, sufficient for long term success
– how successful teams must be replenished in order to avoid defaulting to decisions that may have worked in the past but may not be appropriate for the immediate problem. "

SPEAKER

Joseph Polizzotto
Senior Vice President, Strategy & Client Services
QuisLex, Inc.
Biography

10:30AM – 10:45AM

Sponsored Digital Learning Lab: Paul Weiss: Addressing the Real-World Challenges of ESG: 5 Practical Techniques to Pressure-Test Your Bank's ESG Program

Activists, NGOs and investors are increasingly scrutinizing organizations' commitment to their environmental, social and governance (ESG) goals and initiatives, and identifying gaps in their programming. As such, companies can no longer afford to stay on the sidelines, but must embrace the new world order. This digital learning lab will explore how financial institutions should throw out their old playbooks and adopt new ways of thinking in order to mitigate risk, strengthen resilience and match their ESG aspirations to action.

10:45AM – 10:50AM

Welcome Remarks

SPEAKER

Lauri Scoran
SIFMA's C&L Virtual Forum Chair
Chief Compliance Officer
Jefferies LLC
Biography

10:50AM – 11:20AM

One-On-One Conversation with Robert Cook, FINRA

MODERATOR

Ira D. Hammerman
Executive Vice President & General Counsel
SIFMA
Biography

SPEAKER

Robert W. Cook
President and Chief Executive Officer
FINRA
Biography

11:30AM – 12:30PM

Regulatory Perspectives – Looking Back and Looking Ahead

MODERATOR

Barbara A. Stettner
Partner
Allen & Overy LLP
Biography

PANELISTS

Bari M. Havlik
Executive Vice President, Member Supervision
FINRA
Biography

Lisa Hopkins
President
North American Securities Administrators Association
General Counsel and Senior Deputy Commissioner of Securities
West Virginia State Auditor's Office
Biography

Daniel Kahl
Deputy Director and Chief Counsel for the Division of Examinations
U.S. Securities and Exchange Commission
Biography

Rajal Patel
Associate Director, Market Participants Division
Commodity Futures Trading Commission
Biography

12:35PM – 1:35PM

Concurrent Sessions

Concurrent Sessions: View Live Today or On-Demand (On-Demand viewing will start the following day and will be available to view at your leisure until August 20. CLE Credit will also be available for on demand viewing

Everyday Legal Ethical Issues

- The Boundaries of Ethical Lawyering
- Ethical Considerations for Inhouse Counsel
- Ethics Issues in Government and Internal Investigations
- Hot Topics and Emerging Trends/Themes

MODERATOR

Ellen Glaessner
General Counsel
TD Bank
Biography

PANELISTS

Wayne Carlin
Partner
Wachtell, Lipton, Rosen & Katz
Biography

Cheryl L. Haas
Partner
McGuireWoods LLP
Biography

Charlene Jones
Director, Associate General Counsel
Citigroup Global Markets, Inc.
Biography

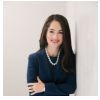
Gregory Scanlon
Vice President & Associate General Counsel, Corporate Legal Services
Charles Schwab
Biography

—

Regulatory Exams & Engagement [CPL]

- Examination Priorities tied to Reg BI as we pass the first anniversary
- Examination focus on AML and particularly Low Priced Securities and foreign accounts following the SEC Staff Bulletin and FINRA Notice 21-03
- Priorities tied to current events, such as platform availability despite high volumes, margin, short selling, digital currencies and other emerging areas of focus (FINRA Notice 21-12 & 21-15)
- Focus areas connected with the remote working environment, including the additional use of technology and electronic communications as well as business continuity plans
- Increased focus on cybersecurity and account takeovers give some of the increased account takeovers and FINRA Notice 21-14
- Continued SEC focus on revenue sharing related to products and payment for order flow
- Best Practices for successfully managing a regulatory examination
- Any areas of difference for BDs and RIAs should be highlighted and while some topics aren't directly applicable to an RIA, we might consider how the fiduciary duty impacts the decision making process

MODERATOR



KC Waldron
Vice President Compliance Regulatory
Charles Schwab
Biography

PANELISTS

Amy Greer
Co-Chair, North America Financial Regulation and Enforcement Practice
Baker McKenzie LLP
Biography

Scott M. Murray
Senior Vice President, Director, Regulatory Compliance
Wells Fargo Advisors
Biography

Thomas Nelli
Senior Vice President and Regional Director
FINRA
Biography

Claire Tafelski
Deputy General Counsel
Stifel Financial Corp.
Biography

—

NEW: The SPACs Attack [CPM]

- Initial Public Offering of SPAC
  - Sponsor Promote: existence of sponsor promote creates structural misalignment between sponsors and investors, structural reforms to eliminate misalignment (e.g. Ackman SPAC)
  - Due Diligence and Disclosure: conflicts/sponsor compensation, warrant accounting
- SPAC Business Combination with Operating Company
  - Pitching/business selection
  - Managing internal conflicts associated with various roles available to firms
  - Managing conflicts between firm and SPACs raised by firm
  - Due diligence and disclosures in PIPE offering documents and proxy statement
  - Potential legal and/or regulatory liability

MODERATOR

Adam Meshel
Managing Director & Global General Counsel
Citigroup Global Markets, Inc.
Biography

PANELISTS

Gabriela Aguero
Director, Corporate Financing
FINRA
Biography

Darian Futrell
Managing Director
Goldman Sachs
Biography

David Hennes
Co-Chair
Ropes & Gray
Biography

Patricia Sindel
Managing Director
Credit Suisse
Biography

—

NEW: Litigation, Investigation and Enforcement in the Virtual Environment: Evolving Practices and Lessons Learned [LIT]

- Litigation and Arbitration in the Wake of COVID-19: Where Are We Now and Where Are We Heading?
- In the Zoom Where It Happens: Conducting Effective Remote and Hybrid Investigations
- Navigating the Current Enforcement Landscape: Maximizing Cooperation and Regulatory Good Will Virtually
- Strategic Considerations for Data and Document Collection, Preservation and Confidentiality in the Remote Environment
- Avoiding Traps for the Unwary with Witnesses and Remote Proceedings

MODERATOR

Kevin M. Loftus
Associate General Counsel and Head of Regulatory Affairs
Raymond James
Biography

PANELISTS

Patricia Canavan
Americas Head of Group Investigations
UBS AG
Biography

Arian M. June
Litigation Partner
Debevoise & Plimpton LLP
Biography

Tim Magee
Americas Deputy Head of Litigation, Investigations and Enforcement and the Americas Head of Investigations and Enforcement
Barclays
Biography

Elizabeth Moum
Shareholder
Greenberg Traurig
Biography

Nader Salehi
Partner
Sidley Austin LLP
Biography

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NEW: Regulation Best Interest and the Fiduciary Debate: SEC, DOL and State Considerations [CPL] [RPC]

- Regulation Best Interest, one year on
- The DOL Fiduciary Rule
- State broker-dealer fiduciary/best interest initiatives
- CFP Board Standards of Conduct

MODERATOR

Steve Hurd
Associate General Counsel, Private Client Group
Raymond James
Biography

PANELISTS

Tammy Bawnik
Executive Director, Deputy General Counsel Legal
UBS Financial Services Inc.
Biography

Evan Charkes
Managing Director and Associate General Counsel
Bank of America
Biography

Yoon-Young Lee
Partner
WilmerHale
Biography

Theresa Seys
Vice President and Chief Counsel
Ameriprise Financial Services, LLC
Biography

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Litigation Update: Regulatory and Criminal [LIT]

1. The Biden Administration Begins: Changes at U.S. Enforcement Agencies
2. New Enforcement Trends & Priorities
    1. Market manipulation/movement
    2. SPACs
    3. ESG
    4. FCPA & AML

3. Expansion of SEC Disgorgement Power

MODERATOR

Anthony Antonelli
Head of Litigation, U.S. & International
RBC
Biography

PANELISTS

George S. Canellos
Partner
Milbank LLP
Biography

Loretta E. Lynch
Partner
Paul, Weiss, Rifkind, Wharton & Garrison LLP
Biography

Ronald C. Machen
Co-Chair, White Collar Defense and Investigations Practice Group
WilmerHale
Biography

Gianluca Morello
Associate General Counsel
Raymond James Financial, Inc.
Biography

1:35PM – 1:35PM

Conference Concludes