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 "

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.
11:00AM - 11:05AM
—  Welcome Remarks

11:05AM - 11:35AM
—  One-on-One Conversation with Commissioner Roisman

11:45AM - 12:45PM
—  Legal & Compliance Leadership Perspectives
### 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!

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### 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.

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### 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.)

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### 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

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### SPONSORSHIP

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### BREAK

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### Concurrent Sessions

**Moderator**

<table>
<thead>
<tr>
<th>Name</th>
<th>Title/Company</th>
<th>Biography</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anne Tennant</td>
<td>Managing Director &amp; General Counsel of Wealth Management</td>
<td>Morgan Stanley</td>
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<tr>
<td>Carrie Bechtold</td>
<td>Managing Counsel, Wells Fargo</td>
<td>Biography</td>
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<tr>
<td>Andrew Sidman</td>
<td>Principal, Bressler, Amery &amp; Ross, P.C.</td>
<td>Biography</td>
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<tr>
<td>William St. Louis</td>
<td>Senior Vice President and Firm Group Leader, FINRA</td>
<td>Biography</td>
</tr>
</tbody>
</table>
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

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
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

SEC Security Based Swap Dealers: Implementation Challenges [CPM]
### Professional Development Session: Managing Up

**SPEAKER**

Mary Abbajay  
Organizational Management and Leadership Expert; Best-Selling Author  
[Biography](#)

### 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  
  [Biography](#)

- Joan Schwartz  
  Chief Legal Officer  
  [Biography](#)

- Christopher K. Williams  
  Senior Legal Counsel  
  [Biography](#)

### 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  
  [Biography](#)

- Aubrey Cook  
  [Biography](#)

- Nancy Swift  
  [Biography](#)
**Virtual Exhibit Hall and Digital Learning Labs**

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**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

**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.

**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

**Welcome Remarks**

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

[Speaker Information]

[Sponsor Information]
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

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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

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
—

**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

---

**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**

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](#)

**MODERATOR**

Mike Burton  
Senior Vice President & Assistant General Counsel  
Amgrip, S. Finančjal  
[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.

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.

Break
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

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10:10AM – 10:25AM


"-- 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."

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

10:50AM – 11:20AM

One-On-One Conversation with Robert Cook, FINRA
11:30AM – 12:10PM

— Regulatory Perspectives – Looking Back and Looking Ahead

**MODERATOR**
Barbara A. Stettner
Partner
Allen & Overy LLP

**PANELISTS**
Bari M. Havlik
Executive Vice President, Member Supervision
FINRA

Lisa Hopkins
President
North American Securities Administrators Association

Garrison LLP
Paul, Weiss, Rifkind, Wharton & Garrison LLP

George S. Canellos
Partner
Paul, Weiss, Rifkind, Wharton & Garrison LLP

Arian M. June
Litigation Partner
Debevoise & Plimpton LLP

Patricia Canavan
Head of Regulatory Affairs
Goldman Sachs

Nader Salehi
Shareholder
Sidley Austin LLP

Steve Hurd
Partner
Sidley Austin LLP

Adam Meshel
Stifel Financial Corp.

Claire Tafelski
Biography
Wells Fargo Advisors

Thomas Nelli
Senior Vice President, Director, Regulatory Practice
Wells Fargo Advisors

Charles Schwab
General Counsel, Corporate Legal Services

Gregory Scanlon
Biography
QuisLex, Inc.

Cheryl L. Haas
Biography
Charles Schwab

Ellen Glaessner
Biography
Charles Schwab

Lisa Hopkins
President
North American Securities Administrators Association

Bari M. Havlik
Executive Vice President, Member Supervision
FINRA

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

Concurrent Sessions

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12:15PM – 12:50PM

— Everyday Legal Ethical Issues

**MODERATOR**
Ellen Glaessner
General Counsel
TD Bank

**PANELISTS**
Wayne Carlin
Partner
Wachtell, Lipton, Rosen & Katz

Cheryl L. Haas
Partner
McGuireWoods LLP

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

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
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 Moun
Shareholder
Greenberg Traurig
Biography

Nader Salehi
Partner
Sidley Austin LLP
Biography

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
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

Conference Concludes