



FIA L&C 2018

40th Annual

**FIA LAW & COMPLIANCE
DIVISION CONFERENCE
ON THE REGULATION OF FUTURES,
DERIVATIVES AND OTC PRODUCTS**

CONFERENCE PROGRAM

MAY 2-4, 2018

Omni Shoreham Hotel
Washington, DC

WELCOME TO L&C 2018



Dear L&C Attendee,

It is my distinct privilege to welcome you to the 40th Annual FIA Law and Compliance Division Conference on the Regulation of Futures, Derivatives and OTC Products. This 40th Anniversary is a significant milestone from which we look back at all we have accomplished together to make our markets strong, safe and innovative. The work we have done together is the foundation as we look forward to building the future.

This year, as industry participants and regulators alike wrestle with the cross-border implications of legislative and regulatory initiatives, blockchain and virtual currencies challenge us to consider the next wave of innovation to break across our industry. FIA's L&C conference steering committee has created a comprehensive program targeted to recap recent regulatory initiatives and inform you about current industry issues and near-horizon developments that not only capture our imagination, but may provide new paradigms for efficient business. We hope you find the panels and the conference materials helpful and educational.

On behalf of the FIA L&C Division and all of its members, we hope your experience at the Omni Shoreham in Washington D.C. will exceed your expectations. Please do not hesitate to give us your feedback so that this conference can continue to meet your needs.

Sincerely,

Tammy Botsford

President

FIA Law & Compliance Division

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PLEASE NOTE: Members of the press may attend any session in the program. If you wish to quote someone attending or participating in the FIA Law and Compliance Conference, **you must obtain his or her permission.** Otherwise comments by the speakers and audience participants are considered **off the record.**

*This policy applies to all forms of broadcasting, **including social media.***

FIA also prohibits tape recording, photographing, videotaping, and release of information through social media outlets. Please note that FIA is taping the sessions for its own use only.

We respectfully request that cell phones be turned off or switched to vibrate while you are attending the business sessions.

PROGRAM AT-A-GLANCE

WEDNESDAY, MAY 2, 2018	
11:00 a.m.	Registration and Exhibits Open
1:45 p.m.	Opening Remarks
2:00 p.m.	1. Cryptocurrencies and the Blockchain: The Product
3:15 p.m.	Refreshment Break
3:30 p.m.	2. Cryptocurrencies Regulation
4:45 p.m.	Keynote Address: Commissioner Brian Quintenz
5:30 p.m.	Opening Reception
THURSDAY, MAY 3, 2018	
7:30 a.m.	Registration and Exhibits Open
7:30 a.m.	Networking Breakfast
8:15 a.m.	Keynote Address: Commissioner Rostin Behnam
9:00 a.m.	CONCURRENT SESSIONS
	4. Electronic Access
	5. Hot Topics: AML, Cybersecurity, Privacy, GDPR
	6. Insolvency and You - CCP R&R, FCM Bankruptcy, Impact on Indirect Clearing
10:15 a.m.	Refreshment Break
10:45 a.m.	CONCURRENT SESSIONS
	7. MiFID Status & EMIR Review
	8. Private Litigation Workshop
12:00 p.m.	Keynote Lunch featuring Dan Rather
2:00 p.m.	CONCURRENT SESSIONS
	9. CCO Developments & Challenges
	10. Asset Management Issues
3:15 p.m.	Refreshment Break

PROGRAM AT-A-GLANCE

3:45 p.m.	CONCURRENT SESSIONS
	11. Enforcement: CFTC, NFA, SRO Enforcement and Exams
	12. Commercial End Users
	13. Financial and Other Reporting Obligations
6:00 p.m.	40th Anniversary Reception
8:30 p.m.	After Party featuring The Precedents
FRIDAY, MAY 4, 2018	
7:15 a.m.	Networking Breakfast
7:15 a.m.	Registration and Exhibits Open
8:00 a.m.	14. Meet the Directors
9:00 a.m.	Break
9:15 a.m.	CONCURRENT SESSIONS
	15. Swaps: Regulatory Reform, Lessons Learned, and Upcoming Rulemaking
	16. Ethics: There are no bad questions just bad people?
	17. You Got Hacked
10:30 a.m.	Refreshment Break
11:00 a.m.	CONCURRENT SESSIONS
	18. Supervise This!
	19. Broker Dealers and FCMs: Are Their Regulations Harmonized or Not?
	20. Cross Border
12:30 p.m.	Lunch & Learn with Cryptocurrency Exchanges

Staff will be available throughout the conference to guide you to meeting rooms, answer questions about the program and social events and to advise you of location changes in case of inclement weather. Please let us know how we can assist you to make your stay in Washington, DC more enjoyable.

GENERAL INFORMATION



NAME BADGES/ATTIRE

Delegates will need to wear the provided name badge to gain entrance to all sessions and social events. Attire for the conference sessions is business or business casual. Business or informal cocktail attire is suggested for evening events.

VENUE/PROGRAM INFO

All business sessions, exhibits, breakfasts and luncheons will take place on the lobby and lower levels in and around the west side of the hotel unless otherwise noted. Please check the program or the conference mobile website for daily program and event information.

REGISTRATION DESK

West Registration Desk, Lobby Level

Wednesday, May 2	11:00 a.m. - 6:00 p.m.
Thursday, May 3	7:30 a.m. - 5:00 p.m.
Friday, May 4	7:15 a.m. - 1:30 p.m.

EXHIBIT HOURS

Ambassador Ballroom

Wednesday, May 2	11:00 a.m. - 5:00 p.m.
Thursday, May 3	7:30 a.m. - 4:00 p.m.
Friday, May 4	7:15 a.m. - 1:30 p.m.

EXHIBITS AND ATTENDEE LOUNGE

Ambassador Ballroom

Network with colleagues in the attendee lounge. Visit exhibitors, pick up your conference bag, enjoy refreshments, and charge your devices in a comfortable setting.

CLE CREDITS

You will need to scan your badge in/out each day at the CLE stations, located throughout the conference space to receive credit. If you do not scan out each day, there is no ability to scan out the next morning, and you will lose your credits for the day.

SOCIAL MEDIA

FIA will share select moments from L&C 2018 on our social media channels using the hashtag #FIALC. As a reminder, ***comments from speakers and attendees are off the record and should not be shared by social media.***



@FIAconnect



[linkedin.com/company/futures-industry-association](https://www.linkedin.com/company/futures-industry-association)

WI-FI ACCESS

NETWORK NAME: **FIALC**

PASSWORD: **futures18**



Connection Instructions:

1. Select the **FIALC** wireless network
2. Open a Web Browser if not immediately prompted to Login Page
3. Enter **futures18** as the password

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HOW TO GET YOUR CLE CREDITS



You will need to scan your badge in each morning and out each evening to receive credit.

If you do not scan out each day, there is no ability to scan out the next morning, and you will lose your credits for the day.

Max Credit Hours:

60 minute hour states:

11 hours / 1.5 Ethics hours

50 minute hour states:

13 hours / 2 Ethics hours

If you have questions, see Beth Thompson onsite or email bthompson@fia.org

ACCESS THE L&C 2018 MOBILE WEBSITE OR DOWNLOAD THE FIA CONNECT APP!

Get the program of events, session papers, speaker bios, venue maps and more on any device!

Mobile Website:

<https://event.crowdcompass.com/lc-2018>

FIA Connect App:

<https://fia.org/app>

*Or search for the "FIA Connect" app in your app store.

Password: **Compliance40**



WEDNESDAY, MAY 2, 2018

11:00 a.m.

West Registration Desk, Lobby Level

REGISTRATION OPENS

11:00 a.m.

Ambassador Ballroom

EXHIBITS AND ATTENDEE LOUNGE OPEN

1:45 p.m. – 2:00 p.m.

Regency Ballroom

OPENING REMARKS



SPEAKER:

Tammy Botsford, *President, FIA Law & Compliance Division, and Executive Director & Assistant General Counsel, J.P. Morgan*

2:00 p.m. – 3:15 p.m.

Regency Ballroom

1. CRYPTOCURRENCIES AND THE BLOCKCHAIN: THE PRODUCT



MODERATOR:

Kimberly Johns, *Managing Director & Associate General Counsel, Goldman Sachs*

Everyone is talking about things like Bitcoin, blockchain, DLT, cryptocurrency, tokens, and ICOs. What are they? How do they work?

What products are (or will there be) in the market?

SPEAKERS:

Jeff Bandman, *Founder & Principal, Bandman Advisors*

Ryne Miller, *Associate, Sullivan & Cromwell*

Stephen Obie, *Partner, Jones Day*

Andrew Ridenour, *Counsel, GDAX*

3:15 p.m. – 3:30 p.m.

Ambassador Ballroom

REFRESHMENT BREAK

3:30 p.m. – 4:45 p.m.

Regency Ballroom

2. CRYPTOCURRENCIES REGULATION



MODERATOR:

Gary DeWaal, *Special Counsel, Katten Muchin Rosenman*

Who regulates cryptocurrencies, cryptocurrency markets, and participants? This panel will address the legal significance of different functional characteristics of cryptocurrencies, what type of activities and participants may implicate different regulators in the United States today, and how to comply with applicable requirements. The panel will also explore how different regulators have enforced laws and rules related to cryptocurrencies and how relevant regulation may evolve, including discussion of the CFTC's recent proposed interpretation of "actual delivery" in the context of retail commodity transactions in virtual currency.

SPEAKERS:

Joseph Borg, *Director, Alabama Securities Commission, and President, North American Securities Administrators Association*

Gary Goldsholle, *Senior Advisor to the Director of the Division of Trading and Markets, Securities and Exchange Commission*

Daniel Gorfine, *Chief Innovation Officer & Director, LabCFTC, Commodity Futures Trading Commission*

Kari Larsen, *Counsel, Reed Smith*

Lee Schneider, *Partner, McDermott Will & Emery*

4:45 p.m. – 5:15 p.m.

Regency Ballroom

KEYNOTE ADDRESS: COMMISSIONER BRIAN QUINTENZ

INTRODUCTION:

Walt Lukken, *President & Chief Executive Officer, FIA*



SPEAKER:

Brian Quintenz, *Commissioner, Commodity Futures Trading Commission*

5:30 p.m. - 7:00 p.m.

Empire Patio

OPENING RECEPTION

Conclude your first day of the meeting at the Opening Reception. Enjoy food and beverages as you connect with colleagues and friends and network with your peers.

THURSDAY, MAY 3, 2018

7:30 a.m.

West Registration Desk, Lobby Level

REGISTRATION OPENS

7:30 a.m.

Ambassador Ballroom

EXHIBITS AND ATTENDEE LOUNGE OPEN

7:30 a.m. - 8:15 a.m.

Ambassador Ballroom

NETWORKING BREAKFAST

8:15 a.m. - 8:45 a.m.

Regency Ballroom

KEYNOTE ADDRESS: COMMISSIONER ROSTIN BEHNAM

INTRODUCTION:

Walt Lukken, *President & Chief Executive Officer, FIA*



SPEAKER:

Rostin Behnam, *Commissioner, Commodity Futures Trading Commission*

CONCURRENT SESSIONS

9:00 a.m. - 10:15 a.m.

Empire Room

4. ELECTRONIC ACCESS



MODERATOR:

Robert Klein, *Managing Director & Counsel, Citigroup Global Markets*

Trading is easier than ever; or is it? This panel will cover current topics related to electronic trading of derivatives: Reg AT status, regulation

of algorithmic trading, mobile access to trading applications, DMA, application of the FX Global Code to electronic trading of FX products, and the intersection of privacy and data protection regulations with trading controls.

SPEAKERS:

Peter Malyshev, *Partner, Reed Smith*

Lisa Shemie, *Associate General Counsel, Cboe Global Markets, and Chief Legal Officer, Cboe FX Markets and Cboe SEF*

Michael Sorrell, *Assistant General Counsel, FIA*

Andrew Vrabel, *Executive Director, Global Investigations, CME Group*

Kurt Windeler, *Senior Director, Market Regulation, Intercontinental Exchange*

9:00 a.m. – 10:15 a.m.

Regency Ballroom

5. HOT TOPICS: AML, CYBERSECURITY, PRIVACY, GDPR



MODERATOR:

Patricia Donahue, *Executive Vice President, Chief Compliance Officer & Regulatory Counsel, Rosenthal Collins Group*

Privacy, data security, and AML collide with regulatory reporting and other obligations!

How will you comply with the latest and upcoming regulations impacting U.S. FCMs? This panel will be a lively interactive discussion offering tips and fielding questions about cybersecurity (the NFA Interpretive Notice), AML (the FinCen Customer Due Diligence requirements) and European customer privacy (the General Data Protection Regulation, or GDPR), among other topics.

SPEAKERS:

Melise Blakeslee, *Managing Partner, Sequel Technology & IP Law, and Chief Executive Officer, Achieved Compliance*

Janet McCormick, *Executive Director, Compliance, Mizuho Securities USA*

Stephen Montgomery, *Director, Wells Fargo Securities*

Margaret Paulsen, *Senior Managing Director, PricewaterhouseCoopers*

Betty Santangelo, *Partner, Schulte Roth & Zabel*

9:00 a.m. – 10:15 a.m.

Diplomat Room

6. INSOLVENCY AND YOU - CCP R&R, FCM BANKRUPTCY, IMPACT ON INDIRECT CLEARING



MODERATOR:

Kathryn Trkla, *Partner, Foley & Lardner*

What happens when your clearing FCM or DCO through which it clears becomes insolvent or the subject of a resolution proceeding? We will cover what is supposed to happen when an FCM becomes insolvent, factors that can impact how the process plays out (direct clearing membership, clearing through another FCM, registration as a broker-dealer, potentially being subject to an orderly liquidation proceeding under Title II of the Dodd-Frank Act). Discussion will include the DCO's role in managing the default of the insolvent FCM, and implications for market participants of resolution and recovery of a DCO versus an insolvency liquidation of a DCO.

SPEAKERS:

Anson Frelinghuysen, *Counsel, Hughes Hubbard & Reed***Julie Mao**, *Director & Counsel, Credit Suisse Securities***John McKinlay**, *Director & Assistant General Counsel, CME Group***John Miller**, *Associate, Sullivan & Cromwell***Robert Wasserman**, *Chief Counsel, Division of Clearing and Risk, Commodity Futures Trading Commission*

10:15 a.m. – 10:45 a.m.

Ambassador Ballroom

REFRESHMENT BREAK

CONCURRENT SESSIONS

10:45 a.m. – 12:00 p.m.

Empire Room

7. MIFID STATUS & EMIR REVIEW



MODERATORS:

Matthew VosBurgh, *Director, Barclays*



Matt Lischin, *Director & Senior Counsel, RBC Capital Markets*

MiFID II has landed. We've been preparing for years. The market braced for impact, and the effective date for most items has passed. So now what? We will delve into the unresolved questions and a post mortem of where we are, following January 3rd.

SPEAKERS:

Jon DeBord, *Senior Vice President & Assistant General Counsel, Citigroup Global Markets*

Nathaniel Lalone, *Partner, Katten Muchin Rosenman UK*

Michael Piracci, *Director, Compliance, Scotiabank*

Mitja Siraj, *Vice President of Legal, Europe, FIA*

10:45 a.m. – 12:00 p.m.

Diplomat Room

8. PRIVATE LITIGATION WORKSHOP



MODERATOR:

Charles Mills, *Partner, Steptoe & Johnson*

Are you exposed? This panel will discuss exposure of traders, market intermediaries, trade associations, SEFs and exchanges to private claims relating to derivatives trading and highlight the significant judicial rulings and outcomes in private actions. Discussion will focus on direct and derivative liability under the Commodity Exchange Act and federal antitrust laws for fraud, price and benchmark manipulation and antitrust violations, as well as potential liability under other laws for cybersecurity breaches.

SPEAKERS:

Daniel Brockett, *Partner, Quinn Emanuel Urquhart & Sullivan*

Therese Doherty, *Partner, Mintz Levin*

Jonathan Marcus, *Of Counsel, Skadden, Arps, Slate, Meagher & Flom*

Michael Spafford, *Partner, Paul Hastings*

12:00 p.m. – 2:00 p.m.

Regency Ballroom

KEYNOTE LUNCH



SPEAKER:

Dan Rather, *Legendary Journalist and News Anchor*

CONCURRENT SESSIONS

2:00 p.m. – 3:15 p.m.

Empire Room

9. CCO DEVELOPMENTS & CHALLENGES



MODERATOR:

Michelle Broom, *Executive Director, Risk Management Group, Compliance, Macquarie Group*

How can CCOs keep their balance on shifting ground? The global regulatory landscape for CCOs is continuously changing as the regulations for each jurisdiction and market develops different rules of engagement (though for similar obligations). This is compounded when activity runs across markets with multiple regulators with their own particular expectations as to compliance with regulations. The panel will discuss recent developments for CCOs and challenges obstacles that the CCO must manage to steer an effective Compliance Framework for their firms in global markets.

SPEAKERS:

Joe Cerullo, *Chief Compliance Officer, Futures Commission Merchant & U.S. Swap Dealers, J.P. Morgan*

Rosario Chiarenza, *Executive Director & Head of Regulatory Reform Strategy, Legal and Compliance Division, Morgan Stanley*

Annette Nazareth, *Partner, Davis Polk & Wardwell*

Felicia Rector, *Co-Head, Americas Securities Division Compliance, Goldman Sachs*

Erik Remmler, *Deputy Director, Registration and Compliance, Division of Swap Dealer and Intermediary Oversight, Commodity Futures Trading Commission*

2:00 p.m. – 3:15 p.m.

Diplomat Room

10. ASSET MANAGEMENT ISSUES



MODERATOR:

Rita Molesworth, *Partner,*
Willkie Farr & Gallagher

This session will review a potpourri of issues related to managed money through a review of CFTC, NFA and SEC initiatives that impact CPOs and CTAs, including position aggregation rules and Ownership and Control Reports (OCR), recent no-action letters, recordkeeping with third parties, NFA exam priorities and new cryptocurrency notices, a Project KISS wish list, exchange memberships and other areas of interest.

SPEAKERS:

Ruth Epstein, *Partner, Stradley Ronon Stevens & Young*

David Mitchell, *Partner, Fried Frank Harris Shriver & Jacobson*

Amanda Olear, *Associate Director, Managed Funds and Financial Requirements Branch, Division of Swap Dealer and Intermediary Oversight, Commodity Futures Trading Commission*

Rick Ostrander, *Managing Director, Legal & Compliance, BlackRock*

Regina Thoele, *Senior Vice President, Compliance, National Futures Association*

3:15 p.m. – 3:45 p.m.

Ambassador Ballroom

REFRESHMENT BREAK

CONCURRENT SESSIONS

3:45 p.m. – 5:00 p.m.

Regency Ballroom

11. ENFORCEMENT: CFTC, NFA, SRO ENFORCEMENT AND EXAMS



MODERATOR:

Maureen Guilfoile, *Executive Director & Associate General Counsel, CME Group*

This panel will provide an overview of the most recent enforcement actions and litigation in our industry. We will focus on significant enforcement developments, including actions by

the Commission relating to virtual currency and by exchanges regarding disruptive trading; and discuss the challenges of monitoring for prohibited trading activities such as spoofing.

SPEAKERS:

Cynthia Cain Ioannacci, Assistant General Counsel, National Futures Association

Jason Fusco, Assistant General Counsel, Market Regulation, ICE Futures U.S.

Stacie Hartman, Partner, Schiff Hardin

Christian Kemnitz, Partner, Katten Muchin Rosenman

Gretchen Lowe, Principal Deputy Director, Division of Enforcement, Commodity Futures Trading Commission

Steven Schwartz, Executive Director, Global Head of Enforcement, CME Group

3:45 p.m. – 5:00 p.m.

Empire Room

12. COMMERCIAL END USERS



MODERATOR:

William McCoy, Managing Director & Counsel, Legal and Compliance Department, Morgan Stanley, and General Counsel & Secretary, Morgan Stanley Capital Group

What are the latest legal, regulatory and policy issues impacting commercial end users? We will address issues relating to the De Minimis Threshold requiring swap dealer registration, the applicability of the uncleared margin rule, the ISDA US Resolution Stay Protocol and Qualified Financial Contracts, the replacement of LIBOR with an alternative reference rate, position limits, and time permitting, the possible impact of the CFTC's proposed interpretation regarding Virtual Currency "actual delivery" on other physically settled transactions.

SPEAKERS:

Kara Dutta, Assistant General Counsel, Intercontinental Exchange

Thomas Erickson, Vice President, Commodity Markets Compliance, and Senior Derivatives Counsel, Cargill

Thomas LaSala, Managing Director, Chief Regulatory Officer, CME Group

Paul Pantano, Jr., Partner, Willkie Farr & Gallagher

Victoria Sharp, Managing Director & General Counsel, North American Commodities, Citigroup Global Markets

3:45 p.m. – 5:00 p.m.

Diplomat Room

13. FINANCIAL AND OTHER REPORTING OBLIGATIONS



MODERATORS:

Matt Lisle, *Chief Compliance Officer, ABN AMRO Clearing Chicago*



Michael Otten, *Executive Director, Global Markets Legal Department, Nomura*

Reporting – are we hitting the mark as an industry? The CFTC and SROs have developed a robust program of financial and risk reporting obligations to ensure appropriate transparency into the financial health of industry registrants. In this session, we will hear from regulators about the purposes and objectives behind these obligations and will explore the obligations under the new Swap Dealer capital rules. We will discuss the significant risks and pitfalls posed by these requirements. This session should appeal to anyone associated with registrants that have financial reporting obligations and, even if you're a grizzled veteran of the industry, can serve as a much needed refresher.

SPEAKERS:

Katherine Cooper, *Attorney, Murphy & McGonigle*

Kevin Foley, *Partner, Katten Muchin Rosenman*

Alexandra Guest, *Chief Compliance Officer, Cargill*

Jamila Piracci, *Vice President, OTC Derivatives, National Futures Association*

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

6:00 p.m. – 8:30 p.m.

*Thurgood Marshall Ballroom,
Marriott Wardman Park*

40TH ANNIVERSARY RECEPTION

Please join your fellow conference delegates in celebration of the 40th Anniversary of the FIA Law and Compliance Division

THURSDAY, MAY 3 | FRIDAY, MAY 4

Conference. Enjoy cocktails and heavy hors d'oeuvres as you share memories and fond times of conferences past while networking with colleagues.

Sponsored by:

Davis Polk

NFA

Skadden

Skadden, Arps, Slate, Meagher & Flom LLP
& Affiliates

8:30 p.m. – 11:00 p.m.

Blue Room, Omni Shoreham Hotel

AFTER PARTY

All attendees are invited to enjoy a nightcap with rocking tunes from The Precedents, an all-lawyer band that includes many of your colleagues and conference attendees.

For those in the giving spirit, make a donation at the door and receive party beads or tchotchkes in return as a thank you. Donations are voluntary. The Precedents have donated more than \$100,000 for various charitable causes. Your donation tonight will support Gifts for the Homeless, a D.C. non-profit that assists in providing essential clothing to over 70 shelters each year.



FRIDAY, MAY 4, 2018

7:15 a.m.

West Registration Desk, Lobby Level

REGISTRATION OPENS

7:15 a.m.

Ambassador Ballroom

EXHIBITS AND ATTENDEE LOUNGE OPEN

7:15 a.m. – 8:00 a.m.

Ambassador Ballroom

NETWORKING BREAKFAST



8:00 a.m. – 9:00 a.m.

Regency Ballroom

14. MEET THE DIRECTORS



MODERATOR:

Allison Lurton, *Senior Vice President & General Counsel, FIA*

Join us for this popular session where attendees hear directly from the CFTC Division Directors on their current priorities and where they see the agency headed for the coming year.

SPEAKERS:

Brian Bussey, *Director, Division of Clearing & Risk, Commodity Futures Trading Commission*

Dan Davis, *General Counsel, Commodity Futures Trading Commission*

Matthew Kulkin, *Director, Division of Swap Dealer and Intermediary Oversight, Commodity Futures Trading Commission*

Vincent McGonagle, *Principal Deputy Director, Division of Enforcement, Commodity Futures Trading Commission*

Eric Pan, *Director, Office of International Affairs, Commodity Futures Trading Commission*

Amir Zaidi, *Director, Division of Market Oversight, Commodity Futures Trading Commission*

9:00 a.m. – 9:15 a.m.

BREAK

CONCURRENT SESSIONS

9:15 a.m. – 10:30 a.m.

Empire Room

15. SWAPS: REGULATORY REFORM, LESSONS LEARNED, AND UPCOMING RULEMAKING



MODERATOR:

Ruth Arnould, *Director & Associate General Counsel, Bank of America Merrill Lynch*

Where are we, what have we learned, and what is the path ahead? The panel will discuss a range of regulatory reforms applicable to the uncleared swaps market, including a look at lessons learned as well as what's to come in respect of the uncleared margin

rules, SEC's security based swap rulemaking and the impact of the mandatory contractual stays under the final U.S. Qualifying Financial Contract rules as well as the European Bank Resolution and Recovery Directive. The panel will also discuss the SEF trading rules including the cross border/ equivalence issues.

SPEAKERS:

Matthew Danton, *Head of Equities Legal Americas, Barclays*

Mike Gill, *Chief of Staff, Office of Chairman J. Christopher Giancarlo, Commodity Futures Trading Commission*

Daniel Glatter, *Head of Compliance, BNY Mellon Markets*

Carl Kennedy, *Of Counsel, Gibson, Dunn & Crutcher*

Deborah North, *Partner, Allen and Overy*

Sachiyo Sakemi, *Managing Director, BlackRock*

9:15 a.m. – 10:30 a.m.

Regency Ballroom

**16. ETHICS: THERE ARE NO BAD QUESTIONS
JUST BAD PEOPLE?**



MODERATORS:

James Bernard, *Partner, Stroock & Stroock & Lavan*



Maria Chiodi, *Managing Director & Counsel, Legal & Compliance, Credit Suisse Securities*

Ethics is not black and white where only bad people do bad things. Sometimes there are shades of gray where good people do bad things too. But, what makes a good person do bad things? Can a good person avoid doing bad things simply by being better at identifying ethical issues?

SPEAKERS:

Douglas Harris, *Managing Director, Promontory Financial Group*

Kristyn Walker, *Counsel & Vice President, Wells Fargo Bank, N.A.*

Petal Walker, *Special Counsel, WilmerHale*

9:15 a.m. – 10:30 a.m.

Diplomat Room

17. YOU GOT HACKED



MODERATOR:

Eileen Flaherty, *Managing Director, The Global Capital Group*

Who you gonna call? We all know the importance of effective cybersecurity practices, policies and procedures. But what do you do when it happens? What are the obligations to regulators, clients and counterparties? This panel will use examples and address the practical steps of what to do when you get hacked.

SPEAKERS:

Mary Irwin, *Vice President & Associate General Counsel, ABN AMRO Clearing Chicago*

Anne Joves, *Senior Director & Associate General Counsel, Technology and Operations, CME Group*

Dan Manley, *Executive Director, Technology Risk and Compliance, CME Group*

Sandra McCarthy, *Chief Compliance Officer, FCM Division and Swap Dealer, INTL FCStone*

William Ridgway, *Counsel, Skadden, Arps, Slate, Meagher & Flom*

Carol Wooding, *Vice President & General Counsel, National Futures Association*

10:30 a.m. – 11:00 a.m.

Ambassador Ballroom

REFRESHMENT BREAK

CONCURRENT SESSIONS

11:00 a.m. – 12:15 p.m.

Diplomat Room

18. SUPERVISE THIS!



MODERATOR:

Neal Kumar, *Associate, Willkie Farr & Gallagher*

What is included in your duty to supervise? Recent CFTC settlements showcase that the CFTC considers the duty to supervise a priority. The panel will discuss the scope of the duty to supervise, recent enforcement actions, and best

practices to implement a program of supervision (including algos, automated trading, and trade surveillance).

SPEAKERS:

Patricia Corley, *Managing Director & Counsel, Societe Generale*

Tom Mallers, *Director of Compliance, Rosenthal Collins Group*

Mary Beth Rooney, *Director, Futures/Derivatives Clearing Compliance, Citigroup Global Markets*

Jeffrey Steiner, *Counsel, Gibson, Dunn & Crutcher*

Scott Taylor, *Managing Director, Compliance, Wells Fargo Securities*

11:00 a.m. – 12:15 p.m.

Regency Ballroom

19. BROKER DEALERS AND FCMS: ARE THEIR REGULATIONS HARMONIZED OR NOT?



MODERATOR:

Ronald Filler, *Professor of Law and Director of Financial Services Law Institute, New York Law School*

Is your firm in conflict with itself? This panel will analyze and discuss various regulations applicable to both BDs and FCMS, evaluate their comparability and provide guidance on these and other regulations that face financial firms jointly registered as both a BD and as a FCM. The panel will address many issues, including net capital rules; differences between the FINRA and NFA; best practices; and basic regulatory issues such as suitability, AML, block trades, clearing, and duty of supervision.

SPEAKERS:

Tammy Botsford, *Executive Director & Assistant General Counsel, J.P. Morgan*

Blake Brockway, *Assistant General Counsel, National Futures Association*

Steven Lofchie, *Partner, Cadwalader, Wickersham & Taft*

Michael Macchiaroli, *Associate Director, Division of Trading & Markets, Securities and Exchange Commission*

Ellen Wheeler, *Partner, Foley & Lardner*

Bill Wollman, *Executive Vice President, Member Regulation—Risk Oversight and Operational Regulation, FINRA*

11:00 a.m. – 12:15 p.m.

Empire Room

20. CROSS BORDER



MODERATOR:

Jackie Mesa, *Senior Vice President,
Global Policy, FIA*

Current cross border developments impact the industry. Although there is no agreement on the future after Brexit, there will be impacts on equivalence decisions (such as SEF and MTF equivalency), legal documentation, and compliance with UK law. The panel will discuss how UK and EU-27 law will be changing. Panelists will also consider the US's cross border approach to infrastructures, firms, and activities, and will examine the biggest policy developments in non-EU and non-US jurisdictions that have an impact on U.S. entities operating in those jurisdictions.

SPEAKERS:

Sean Downey, *Executive Director, Global Clearing & Risk Policy, CME Group*

Stephen Humenik, *Of Counsel, Covington & Burling*

Jonathan Jachym, *U.S. Country Head, Head of North America Regulatory Strategy & Government Relations, London Stock Exchange Group*

Colin Lloyd, *Partner, Cleary Gottlieb Steen & Hamilton*

John Nicholas, *Managing Director, Compliance, Societe Generale*

Jeremy Walter, *Partner, Clifford Chance*

12:15 p.m.

Ambassador Ballroom

Pick Up Your Boxed Lunch for Lunch & Learn in Regency Ballroom.

12:30 p.m. – 2:00 p.m.

Regency Ballroom

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Wednesday, May 2	11:00 a.m. – 5:00 p.m.
Thursday, May 3	7:30 a.m. – 4:00 p.m.
Friday, May 4	7:15 a.m. – 1:30 p.m.


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