

CONFERENCE PROGRAM



41ST ANNUAL FIA LAW & COMPLIANCE DIVISION CONFERENCE ON THE REGULATION OF FUTURES, DERIVATIVES AND OTC PRODUCTS

MAY 8-10, 2019

**Washington Marriott Wardman Park
Washington, DC**



WELCOME TO L&C 2019



Dear L&C Attendee,

It is my distinct privilege to welcome you to the 41st Annual FIA Law and Compliance Division Conference on the Regulation of Futures, Derivatives and OTC Products.

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 thank you for joining us and hope that you enjoy the conference. We also hope our new venue, the Marriott Wardman Park, will exceed your expectations. Please do not hesitate to give us your feedback so that this conference can continue to meet your needs.

Sincerely,

A handwritten signature in black ink that reads "Tammy Botsford". The signature is fluid and cursive.

Tammy Botsford

President

FIA Law & Compliance Division

TABLE OF CONTENTS



Program At-A-Glance	2
General Information	4
Social Media & Wi-Fi	5
CLE Credits & Mobile App	6
Program: Wednesday, May 8	10
Program: Thursday, May 9	13
Program: Friday, May 10	23
Exhibitors	29
Sponsor Profiles	30

PLEASE NOTE: Members of the press may attend any session in the program. If you wish to quote an attendee or speaker at L&C 2019, **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 conference sessions.

PROGRAM AT-A-GLANCE



WEDNESDAY, MAY 8, 2019

11:00 a.m.	Registration & Arrival Hospitality Opens
1:45 p.m.	Opening Remarks
2:00 p.m.	1. Getting Direction from the CFTC Directors
3:00 p.m.	2. In the Enforcement Spotlight: Manipulation and Misappropriated Information
4:15 p.m.	Networking Break
4:30 p.m.	3. Getting to Know the NFA
5:30 p.m.	4. Rostin Behnam and Brian Quintenz: Retrospective and Prospective
6:00 p.m.	Opening Reception

THURSDAY, MAY 9, 2019

7:30 a.m.	Registration Opens
7:30 a.m.	Networking Breakfast
8:00 a.m.	5. This Isn't Their First Rodeo
9:00 a.m.	Exhibits Open
9:00 a.m.	6. Tearing Down the Cross-Border Wall
	7. Regulatory Reporting and Recordkeeping Requirements: Does Your Firm Do/ Have It Right or Not?
	8. There's Another Sheriff in Town: Enforcement by Exchanges
	9. The ABCs of FCMs
10:15 a.m.	Networking Break
10:45 a.m.	10. SEC/CFTC Harmonization: Can this Marriage be Saved?
	11. Someone to Watch over Me: Why, What and How to Surveil
	12. The Unintended Consequences of Dodd-Frank Regulations to Commercial End Users
12:00 p.m.	Keynote Lunch

CONCURRENT SESSIONS

PROGRAM AT-A-GLANCE



2:00 p.m.	13. It's Time to Start a Blockchain Revolution (or Not)
	14. The Best Laid Plans: Compliance Testing and Monitoring
	15. Asset Management / Buy Side Issues
	Sponsored Session: Thompson Coburn LLP
3:15 p.m.	Networking Break
3:45 p.m.	16. Taking the Cryptic Out of Cryptos – An Overview of the Current Regulatory Status and Litigation Involving Cryptoassets
	17. AML/BSA/OFAC/CDD/KYC: It's Not Just Alphabet Soup
	18. Swaps Execution and SEFs: Take Two
	Sponsored Session: Whistler
5:00 p.m.	Networking Reception
9:00 p.m.	Late Night Karaoke
FRIDAY, MAY 10, 2019	
7:30 a.m.	Registration Opens
7:30 a.m.	Networking Breakfast
8:30 a.m.	19. CFTC Keynote Address
9:00 a.m.	Exhibits Open
9:00 a.m.	20. Hidden in Plain Sight: Regulatory Initiatives You Should Know About
	21. Think Before You Tweet: Ethics and the Use of Social Media
	22. The Importance of Supervision
10:15 a.m.	Networking Break
10:45 a.m.	23. Uncleared Swaps: No "Margin" for Error
	24. True Detective: Audits, Inquiries & Investigations
	25. CCPs Are Really Central to Clearing
12:00 p.m.	Networking Grab & Go Lunch
12:30 p.m.	Lunch & Learn

GENERAL INFORMATION



REGISTRATION HOURS AND BADGES

All attendees will need to wear the provided name badges to gain entrance to all conference sessions and social events.

REGISTRATION DESK

Thurgood Marshall Ballroom Foyer

Wednesday, May 8 11:00 a.m. - 6:00 p.m.

Thursday, May 9 7:30 a.m. - 5:00 p.m.

Friday, May 10 7:30 a.m. - 2:00 p.m.

VENUE AND PROGRAM INFO

All attendees will need to wear the provided name badges to gain entrance to all conference sessions and social events. 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 app for daily program and event information.

EXHIBIT HOURS

Lower Level

Thursday, May 9 9:00 a.m. - 5:30 p.m.

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

Friday, May 10 9:00 a.m. - 1:00 p.m.

EXHIBITS AND ATTENDEE LOUNGE

Lower Level

Visit the L&C 2019 exhibitors to learn about their valuable products and solutions. Enjoy refreshments, recharge at the charging stations and network with colleagues in the attendee lounge.

CLE CREDITS

You must 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.

WI-FI, SOCIAL MEDIA & MOBILE APP



WI-FI ACCESS

NETWORK NAME: **Milbank LLP**

PASSWORD: **Derivatives2019**



Connection Instructions:

1. Select the **Milbank LLP** wireless network
2. Open a Web Browser if not immediately prompted to Login Page
3. Enter **Derivatives2019** as the password

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SOCIAL MEDIA

FIA will share select moments from L&C 2019 on our social media platforms using the hashtag #FIALC. Please note as a reminder, ***comments from speakers and attendees are off the record and should not be shared by social media.***



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View the conference program, session papers, speaker profiles and more on any device!

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HOW TO GET YOUR CLE CREDITS



You must 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:

9.75 hours / 1.25 Ethics hours

50 minute hour states:

12 hours / 1.5 Ethics hours

If you have questions, see Beth Thompson onsite or email bthompson@fia.org. Those requesting CLE credits for states other than Illinois should pick up their certificate Friday morning after the last session in the Lower Level Attendee Lounge.

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Willkie's Energy & Commodities team has extensive experience in all forms of complex transactional, regulatory and enforcement matters involving commodities and derivatives, including the power, oil and gas, metals, FX and agricultural sectors, among others. Our practice utilizes the full breadth of the firm's resources to assist our clients in achieving their goals.

Willkie's preeminent Asset Management Group provides legal services to a wide array of clients in the asset management industry, including privately owned investment advisers, publicly traded asset management firms, broker dealers, insurance companies and banks. We regularly advise asset managers on subjects ranging from operations, to fund formations, to compliance and regulation.

For more information on our practice, please contact:

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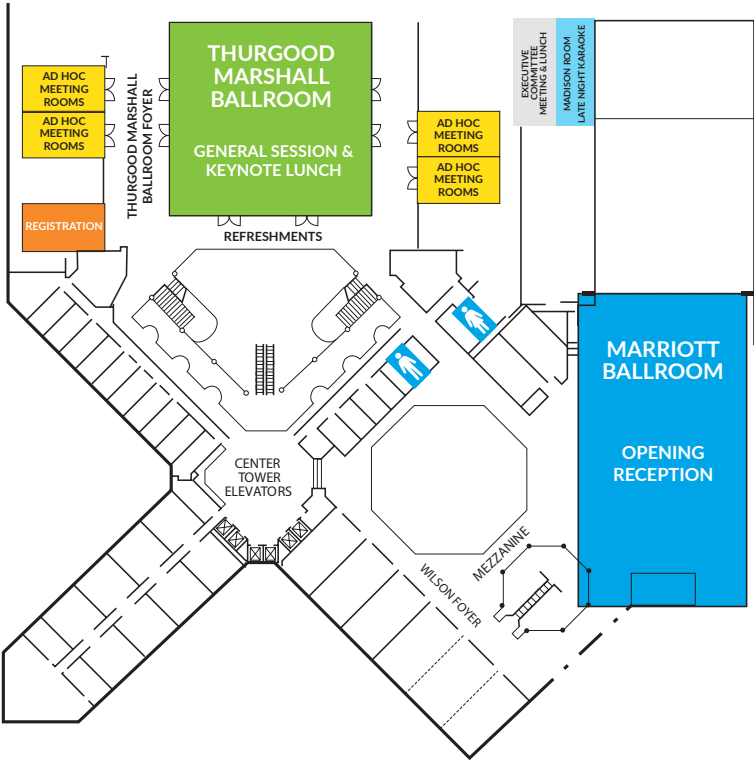
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MEZZANINE LEVEL



MEZZANINE LEVEL

ARRIVAL HOSPITALITY - Thurgood Marshall Ballroom Foyer
Wednesday, May 8 11:00 a.m. – 1:45 p.m.

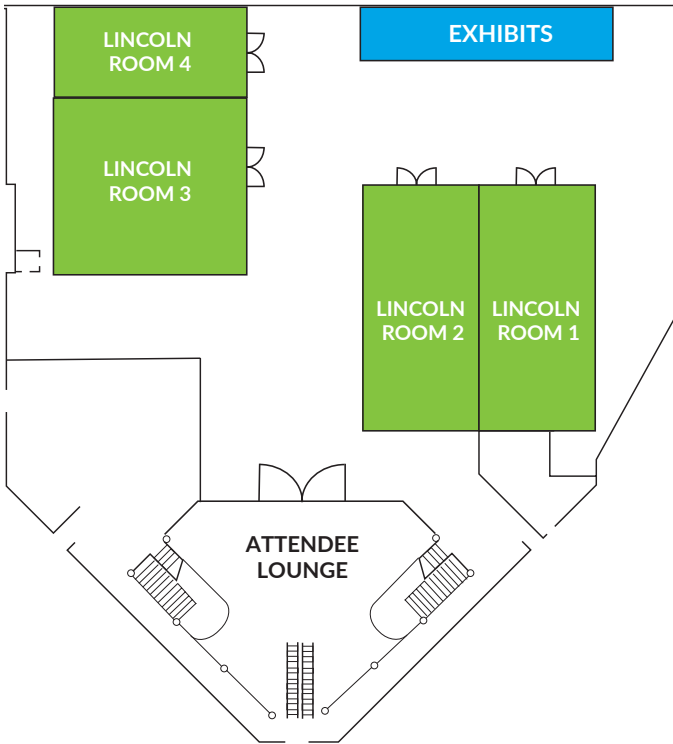
OPENING RECEPTION - Marriott Ballroom
Wednesday, May 8 6:00 – 7:30 p.m.

NETWORKING BREAKS - Thurgood Marshall Ballroom Foyer
Wednesday, May 8 4:15 – 4:30 p.m.

NETWORKING BREAKFASTS - Thurgood Marshall Ballroom Foyer
Thursday, May 9 7:30 – 8:00 a.m.
Friday, May 10 7:30 – 8:30 a.m.

LATE NIGHT KARAOKE - Madison Room
Thursday, May 9 9:00 – 11:00 p.m.

LOWER LEVEL



LOWER LEVEL

NETWORKING BREAKS

Thursday, May 9

10:15 – 10:45 a.m.

3:15 – 3:45 p.m.

Friday, May 10

10:15 – 10:45 a.m.

NETWORKING RECEPTION

Thursday, May 9

5:00 – 6:30 p.m.

NETWORKING GRAB & GO LUNCH

Friday, May 10

12:00 – 1:00 p.m.

WEDNESDAY, MAY 8



WEDNESDAY, MAY 8

11:00 a.m. – 6:00 p.m. *Mezzanine Level – Upper Floor*
REGISTRATION OPEN HOURS

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11:00 a.m. – 1:45 p.m. *Thurgood Marshall Ballroom Foyer*
ARRIVAL HOSPITALITY

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1:45 – 2:00 p.m. *Thurgood Marshall Ballroom*
OPENING REMARKS

SPEAKER:

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

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2:00 – 3:00 p.m.

Thurgood Marshall Ballroom

1. GETTING DIRECTION FROM THE CFTC DIRECTORS



MODERATOR:

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

SPEAKERS:

Brian Bussey, *Director, Division of Clearing & Risk, Commodity Futures Trading Commission*
Matthew Kulkin, *Director, Division of Swap Dealer and Intermediary Oversight, Commodity Futures Trading Commission*
James McDonald, *Director, Division of Enforcement, Commodity Futures Trading Commission*
Amir Zaidi, *Director, Division of Market Oversight, Commodity Futures Trading Commission*

3:00 – 4:15 p.m.

Thurgood Marshall Ballroom

2. IN THE ENFORCEMENT SPOTLIGHT: MANIPULATION AND MISAPPROPRIATED INFORMATION



MODERATOR:

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

SPEAKERS:

Stacie Hartman, *Partner, Steptoe & Johnson*
Jonathan Marcus, *Of Counsel, Skadden, Arps, Slate, Meagher & Flom*
James McDonald, *Director, Division of Enforcement, Commodity Futures Trading Commission*
Ari Nakkab, *Deputy Chief Compliance Officer & Global Head of Fixed Income and Commodities Compliance, Millennium Management*
Paul Pantano, Jr., *Partner, Willkie Farr & Gallagher*

4:15 – 4:30 p.m.

Thurgood Marshall Ballroom Foyer

NETWORKING BREAK

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4:30 – 5:30 p.m.

Thurgood Marshall Ballroom

3. GETTING TO KNOW THE NFA (CLE credits unavailable)



MODERATOR:

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

SPEAKERS:

Lauren Brinati, Managing Director, Market Regulation, National Futures Association

Cynthia Cain Ioannacci, Assistant General Counsel, National Futures Association

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

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

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

5:30 – 6:00 p.m.

Thurgood Marshall Ballroom

4. ROSTIN BEHNAM AND BRIAN QUINTENZ: RETROSPECTIVE AND PROSPECTIVE (CLE credits unavailable)



CHAIR:

Allison Lurton, General Counsel & Chief Legal Officer, FIA

SPEAKERS:

Rostin Behnam, Commissioner, Commodity Futures Trading Commission

Brian Quintenz, Commissioner, Commodity Futures Trading Commission

6:00 – 7:30 p.m.

Marriott Ballroom

OPENING RECEPTION



Keep cool and quench your thirst with bottled water. Sponsored by:

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KattenMuchinRosenman LLP

THURSDAY, MAY 9

THURSDAY, MAY 9

7:30 a.m. – 5:00 p.m.

Mezzanine Level – Upper Floor

REGISTRATION HOURS

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7:30 – 8:00 a.m.

Thurgood Marshall Ballroom Foyer

NETWORKING BREAKFAST

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8:00 – 8:45 a.m.

Thurgood Marshall Ballroom

5. THIS ISN'T THEIR FIRST RODEO (CLE credits unavailable)



MODERATOR:

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

SPEAKERS:

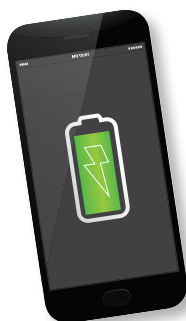
Dan Berkovitz, Commissioner, Commodity Futures Trading Commission

Dawn Stump, Commissioner, Commodity Futures Trading Commission

9:00 a.m. – 7:00 p.m.

Lower Level

EXHIBITS HOURS



Take a break and recharge at the charging stations.
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CONCURRENT SESSIONS

9:00 – 10:15 a.m.

Lincoln Room 1

6. TEARING DOWN THE CROSS-BORDER WALL



MODERATOR:

Robert Klein, Managing Director & Counsel,
Citigroup Global Markets

SPEAKERS:

Jesse Beardsworth, Associate General Counsel,
Global Banking and Markets, HSBC

Matt Daigler, Senior Counsel, Office of the Chairman,
Commodity Futures Trading Commission

Nathaniel Lalone, Partner, Katten Muchin Rosenman UK

John McKinlay, Director & Assistant General Counsel,
CME Group

Sarah Riddell, Associate, Morgan Lewis

Mitja Siraj, Vice President of Legal, Europe, FIA

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**Band 1 for Capital
Markets: Derivatives**
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**Tier 1: Structured
Finance: Derivatives and
Structured Products**
The Legal 500 U.S.

9:00 - 10:15 a.m.

Lincoln Room 2

7. REGULATORY REPORTING AND RECORDKEEPING REQUIREMENTS: DOES YOUR FIRM DO/ HAVE IT RIGHT OR NOT?



MODERATOR:

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

SPEAKERS:

Anne Joves, Associate General Counsel, National Futures Association

Darren Littlejohn, Partner, Fried Frank Harris Shriver & Jacobson

Ryan Olszewski, Compliance Director, Societe Generale

Rajal Patel, Associate Director, Registration & Compliance, Division of Swap Dealer and Intermediary Oversight, Commodity Futures Trading Commission

Melissa Zierk, Managing Director, General Counsel, R.J. O'Brien & Associates

9:00 - 10:15 a.m.

Lincoln Room 3

8. THERE'S ANOTHER SHERIFF IN TOWN: ENFORCEMENT BY EXCHANGES



MODERATOR:

Ken Raisler, Partner, Sullivan & Cromwell

SPEAKERS:

Neel Chopra, Special Counsel to the Director of Enforcement, Commodity Futures Trading Commission

Harris Kay, Officer, Greensfelder, Hemker & Gale

Christian Kemnitz, Partner, Katten Muchin Rosenman

Frances Mendieta, Enforcement Counsel, Market Regulation Department, ICE Futures U.S.

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



9:00 – 10:15 a.m.

Lincoln Room 4

9. THE ABCs OF FCMS



MODERATOR:

Kevin Foley, Partner, Katten Muchin Rosenman

SPEAKERS:

Richard Paolini, Managing Counsel, Wells Fargo

Mary Beth Rooney, Director, Futures/Derivatives

Clearing Compliance, Citigroup Global Markets

Robert Sniegowski, Executive Director, Rules & Regulatory Outreach, CME Group

Dale Spoljaric, Managing Director, National Futures Association

10:15 – 10:45 a.m.

Lower Level Attendee Lounge & Exhibits

NETWORKING BREAK

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CONCURRENT SESSIONS

10:45 a.m. – 12:00 p.m.

Lincoln Room 1

10. SEC/CFTC HARMONIZATION: CAN THIS MARRIAGE BE SAVED?



MODERATOR:

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

SPEAKERS:

Terrence Clarke, Chief Compliance Officer – Futures, TradeStation Securities

Kara Dutta, Assistant General Counsel, Intercontinental Exchange

Colin Lloyd, Partner, Cleary Gottlieb Steen & Hamilton

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

Ryne Miller, Partner, Sullivan & Cromwell

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

10:45 a.m. – 12:00 p.m.

Lincoln Room 3

11. SOMEONE TO WATCH OVER ME: WHY, WHAT AND HOW TO SURVEIL



MODERATOR:

Corey Traub, Executive Director, Head of Americas Financing Services Compliance, UBS

SPEAKERS:

James Lundy, Partner, Drinker Biddle & Reath
John Marinan, Associate Director, UBS

Jacinta Paulic, Vice President, Securities Division Compliance, Goldman Sachs

Aaron Smith, Senior Director, Investigations, CME Group

Shawn Somers, Director, Market Regulation, Intercontinental Exchange

10:45 a.m. – 12:00 p.m.

Lincoln Room 2

12. THE UNINTENDED CONSEQUENCES OF DODD-FRANK REGULATIONS TO COMMERCIAL END USERS



MODERATOR:

Vincent Johnson, Head of Commercial Advocacy & Regulatory Affairs, BP

SPEAKERS:

Alexandra Guest, Chief Compliance Officer, Cargill Risk Management, Cargill

Casey Khan, Head of Compliance, Vitol Group

Michael Loesch, Partner, Winston & Strawn

Jeffrey Ollada, Managing Director, Mizuho Americas

Michael Sorrell, Associate General Counsel, FIA

12:00 – 1:45 p.m.

Thurgood Marshall Ballroom

KEYNOTE LUNCH



SPEAKER:

Margaret Brennan, Moderator of CBS News' Face the Nation and CBS News' Senior Foreign Affairs Correspondent

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CONCURRENT SESSIONS

2:00 – 3:15 p.m.

Lincoln Room 3

13. IT'S TIME TO START A BLOCKCHAIN REVOLUTION (OR NOT)



MODERATOR:

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

SPEAKERS:

Erik Barry, Director, Prime Derivatives Client Solutions, Credit Suisse

Stephen Obie, Partner, Jones Day

Deanna Reitman, Of Counsel, DLA Piper

Lilya Tessler, Partner, Sidley Austin

2:00 – 3:15 p.m.

Lincoln Room 1

14. THE BEST LAID PLANS: COMPLIANCE TESTING AND MONITORING



MODERATOR:

Matt Lischin, Director & Senior Counsel, RBC Capital Markets

SPEAKERS:

Michelle Crutchfield, Senior Vice President, Legal, Macquarie Group

Douglas Harris, Managing Director, Promontory Financial Group

Neal Kumar, Associate, Willkie Farr & Gallagher

John Nicholas, Managing Director, Compliance, Societe Generale

2:00 – 3:15 p.m.

Lincoln Room 2

15. ASSET MANAGEMENT / BUY SIDE ISSUES



MODERATOR:

Rita Molesworth, Partner, Willkie Farr & Gallagher

SPEAKERS:

Patty Cushing, Director, Audit Management & Education, National Futures Association

Jennifer Han, Associate General Counsel, Managed Funds Association

Dorothy Mehta, Partner, Cadwalader, Wickersham & Taft

David Mitchell, Partner, Fried Frank Harris Shriver & Jacobson

Amanda Olear, Acting Deputy Director, Registration & Compliance, Commodity Futures Trading Commission
Jennifer Songer, Branch Chief, U.S. Securities and Exchange Commission

2:00 – 3:15 p.m.

Lincoln Room 4

SPONSORED SESSION: THOMPSON COBURN LLP

Expansion of Criminal Liability to Non-Traders: Legal Issues

Presented by U.S. v. Jitesh Thakkar (CLE credits unavailable)

MODERATOR:

Marc Nagel, Advisor, Exchange Analytics

SPEAKERS:

Gary DeWaal, Special Counsel, Katten
Muchin Rosenman

Renato Mariotti, Partner, Thompson Coburn

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THURSDAY, MAY 9



3:15 – 3:45 p.m.

Lower Level Attendee Lounge & Exhibits

NETWORKING BREAK

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CONCURRENT SESSIONS

3:45 – 5:00 p.m.

Lincoln Room 1

16. TAKING THE CRYPTIC OUT OF CRYPTOS – AN OVERVIEW OF THE CURRENT REGULATORY STATUS AND LITIGATION INVOLVING CRYPTOASSETS



MODERATOR:

Gary DeWaal, *Special Counsel,*
Katten Muchin Rosenman

SPEAKERS:

Katherine Cooper, *Attorney,*
Murphy & McGonigle

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Robert Donovan, Director, Advisory,
PricewaterhouseCoopers Advisory Services
Mike Gill, Chief of Staff, Office of Chairman J. Christopher
Giancarlo, Commodity Futures Trading Commission
Gary Goldsholle, Partner, Steptoe & Johnson
Kari Larsen, Partner, Perkins Coie

3:45 – 5:00 p.m.

Lincoln Room 2

17. AML/BSA/OFAC/CDD/KYC: IT'S NOT JUST ALPHABET SOUP



MODERATOR:

Patricia Donahue, Chief Compliance Officer &
Regulatory Counsel, Marex North America

SPEAKERS:

Cathy LaFalce, Managing Director & Global Head
of AML Compliance Risk Management, Markets &
Banking, Citigroup

Michael Nonaka, Partner, Covington & Burling

Betty Santangelo, Partner, Schulte Roth & Zabel

Helene Schroeder, Special Counsel, Commodity Futures
Trading Commission

3:45 – 5:00 p.m.

Lincoln Room 3

18. SWAPS EXECUTION AND SEFS: TAKE TWO



MODERATORS:

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



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

SPEAKERS:

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

Tom Clark, Managing Director, Head of the U.S. Global Public
Policy Group, BlackRock

Doug Friedman, Managing Director & General Counsel,
Tradeweb

Peter Malyshev, Partner, Reed Smith

Nhan Nguyen, Special Counsel, Division of Market Oversight,
Commodity Futures Trading Commission

THURSDAY, MAY 9



3:45 – 5:00 p.m.

Lincoln Room 4

SPONSORED SESSION: WHISTLER

Keep Regulators At Bay...Stop Damaging Communications Before They Happen (CLE credits unavailable)

MODERATOR:

Gregory Kaufman, *Partner, Lead Defense Counsel in Energy & Commodities Matters, Expert in e-Discovery and Cannabis Regulation, Eversheds Sutherland*

SPEAKERS:

Kathleen Hamann, *Partner, Former DOJ Prosecutor, International Authority on White Collar Enforcement, Anti-Corruption, & Transnational Criminal Liability, Pierce Atwood*

Anish Parikh, *Chief Executive Officer, Former Trader & Rocket Scientist, Whistler*

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FRIDAY, MAY 10

5:00 – 6:30 p.m. *Lower Level Attendee Lounge & Exhibits*
NETWORKING RECEPTION

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9:00 – 11:00 p.m. *Madison Room*
LATE NIGHT KARAOKE

FRIDAY, MAY 10

7:30 a.m. – 1:00 p.m. *Mezzanine Level – Upper Floor*
REGISTRATION HOURS

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7:30 – 8:30 a.m. *Thurgood Marshall Ballroom Foyer*
NETWORKING BREAKFAST

8:30 – 8:50 a.m. *Thurgood Marshall Ballroom*
19. CFTC KEYNOTE ADDRESS (CLE credits unavailable)
CFTC Derivatives Clearinghouse Resiliency, Recovery and Resolution Ten Years After the G-20 Pittsburgh Accords



SPEAKER:
J. Christopher Giancarlo, Chairman, Commodity Futures Trading Commission

9:00 a.m. – 1:00 p.m. *Lower Level*
EXHIBITS HOURS

CONCURRENT SESSIONS

9:00 – 10:15 a.m. *Lincoln Room 1*
20. HIDDEN IN PLAIN SIGHT: REGULATORY INITIATIVES YOU SHOULD KNOW ABOUT



MODERATOR:
Matthew VosBurgh, Director, Barclays

SPEAKERS:
Gregory Compa, U.S. Head of Compliance, Tradeweb



Julie Mao, Director & Counsel, Credit Suisse Securities
Mauricio Melara, Associate Director, Office of International
Affairs, Commodity Futures Trading Commission
Jamila Piracci, Vice President, OTC Derivatives,
National Futures Association
Kathryn Trkla, Partner, Foley & Lardner

9:00 – 10:15 a.m.

Lincoln Room 3

21. THINK BEFORE YOU TWEET: ETHICS AND THE USE OF SOCIAL MEDIA



MODERATOR:

Eileen Flaherty, Managing Director, The Global
Capital Group

SPEAKERS:

Bruce Beatus, Director & Associate General
Counsel, Bank of America Merrill Lynch

Blake Brockway, Assistant General Counsel, National
Futures Association

Matthew Kluchenek, Partner, Mayer Brown

James Sherer, Partner, BakerHostetler

9:00 – 10:15 a.m.

Lincoln Room 2

22. THE IMPORTANCE OF SUPERVISION



MODERATOR:

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

SPEAKERS:

Jennifer Achilles, Partner, Reed Smith

Kerry Flynn, Vice President, Securities Division – Compliance
Division, Goldman Sachs

Pamela Geraghty, Special Counsel, Registration &
Compliance Branch, Division of Swap Dealer and
Intermediary Oversight, Commodity Futures Trading
Commission

Ali Hosseini, Executive Director, Corporate & Investment
Bank, J.P. Morgan

David King, Director, Compliance Department, Credit Suisse

Joseph Zangri, Managing Director, Swaps Department
Examination, National Futures Association

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10:15 – 10:45 a.m. *Lower Level Attendee Lounge & Exhibits*
NETWORKING BREAK

CONCURRENT SESSIONS

10:45 a.m. – 12:00 p.m. *Lincoln Room 1*
23. UNCLEARED SWAPS: NO “MARGIN” FOR ERROR



MODERATOR:

Scott Taylor, Managing Director, Compliance,
Wells Fargo Securities

SPEAKERS:

Joe Cerullo, Chief Compliance Officer, Futures
Commission Merchant & U.S. Swap Dealers,

J.P. Morgan

Deborah North, Partner, Allen and Overy

Felicia Rector, Managing Director, Securities Division,
Goldman Sachs

Jeffrey Steiner, Partner, Gibson, Dunn & Crutcher

10:45 a.m. – 12:00 p.m. *Lincoln Room 3*
24. TRUE DETECTIVE: AUDITS, INQUIRIES & INVESTIGATIONS



MODERATOR:

Charles Mills, Partner, Steptoe & Johnson

SPEAKERS:

Sheila Marhamati, Assistant General Counsel,
Government Investigations & Regulatory
Enforcement Executive Director, J.P. Morgan

Kathleen McArthur, Partner, Sullivan & Cromwell

Janet McCormick, Executive Director, Compliance,
Mizuho Securities USA

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

Michael Spafford, Partner, Paul Hastings

Conor Weber, Assistant General Counsel & Vice President,
Bank of America Merrill Lynch

10:45 a.m. – 12:00 p.m.

Lincoln Room 2

25. CCPS ARE REALLY CENTRAL TO CLEARING



MODERATOR:

Jackie Mesa, Chief Operating Officer & Senior Vice President of Global Policy, FIA

SPEAKERS:

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

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

Greg Fell, Managing Director, Global Head of FMI Risk Management, Citigroup

Sayee Srinivasan, Deputy Director, Risk Surveillance, Division of Clearing & Risk, Commodity Futures Trading Commission

Robert Steigerwald, Senior Policy Advisor, Financial Markets Group, Federal Reserve Bank of Chicago

John Williams, Partner, Milbank

12:00 – 1:00 p.m.

Lower Level Attendee Lounge & Exhibits

NETWORKING GRAB & GO LUNCH

12:30 – 1:45 p.m.

Thurgood Marshall Ballroom

LUNCH & LEARN

Adapt or Die: Lawyers, Law Firms and Legal Work in the Age of Cognitive Computing



MODERATOR:

Will Acworth, Senior Vice President, Publications, Data and Research, FIA

SPEAKERS:

Bennett Borden, Chief Data Scientist and Chair, Information Governance Group, Drinker Biddle & Reath

Jamie Brown, Vice President, Global Advisory Services Lighthouse eDiscovery

Emma Dwyer, Partner, Derivatives & Structured Finance, and Member of Markets Innovation Group, Allen & Overy

David Glockner, Chief Compliance Officer, Citadel



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Thursday, May 9
Networking Reception
Friday, May 10

9:00 a.m. - 5:30 p.m.
5:30 p.m. - 7:00 p.m.
9:00 a.m. - 1:00 p.m.

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