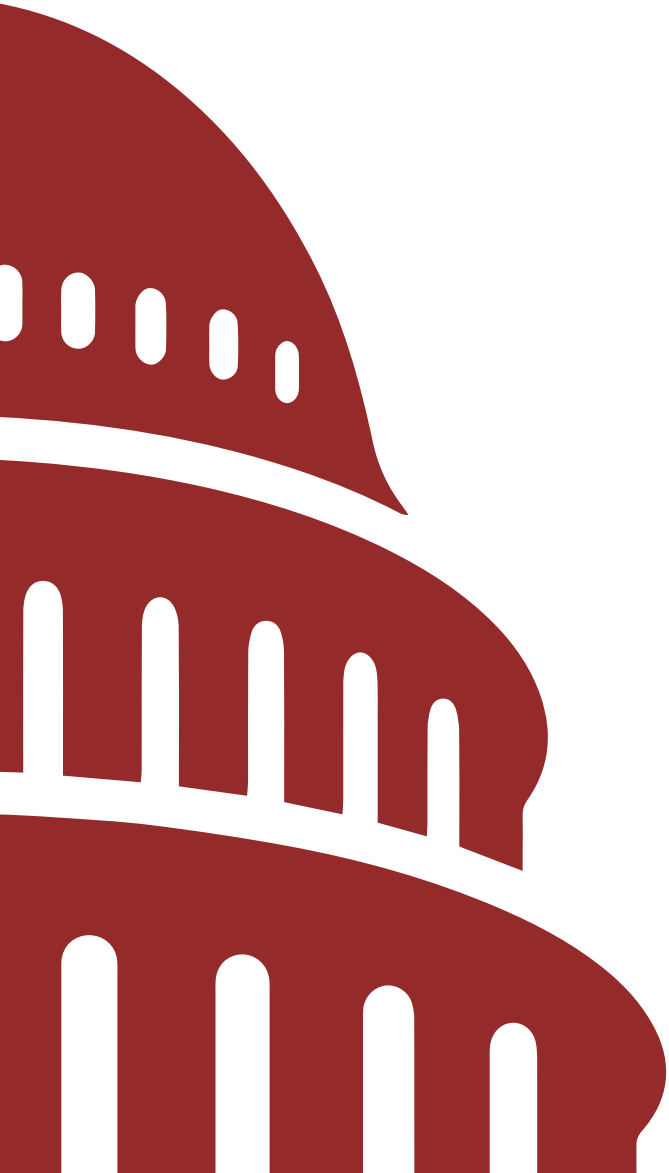




2023 FIA CONFERENCE
26-28 APRIL | WASHINGTON, DC



2023 L&C Program

Wednesday 26 April

11:00 a.m. ET

REGISTRATION OPEN

Registration sponsored by Sullivan & Cromwell
Lanyards sponsored by Allen & Overy LLP
Conference tote bags sponsored by Katten

11:30 a.m. ET

ARRIVAL REFRESHMENTS

Co-Sponsored by FIA and CME Group

12:00 p.m. ET

EXHIBITS OPEN

1:30 p.m. ET

WELCOME REMARKS

L&C Division Co-President Ruth Arnould, Bank of America

1:45 p.m. ET

KEYNOTE ADDRESS & FIRESIDE CHAT

After brief remarks on the resilience of the derivatives industry and its “people power,” FIA President and CEO Walt Lukken will sit down with L&C Division Co-President Ruth Arnould to discuss the key themes of the L&C Conference and 2023 priorities for the legal community.

2:15 p.m. ET

NEW FRONTIERS IN REGULATION & COMPLIANCE

Discuss new frontiers facing legal and compliance departments across the derivatives and securities industries with the introduction of new products and technologies, the reshaping of market structures, and historic market volatility.

Moderator:

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

Panelists:

Gary DeWaal, Senior Counsel, Katten
Sachiyo Sakemi, Managing Director, Legal & Compliance,
BlackRock
Jill Sommers, Senior Advisor, Patomak Global Partners
Carol Wooding, Senior Vice President, General Counsel and
Secretary, NFA
Douglas Yatter, Global Vice Chair, White Collar Defense &
Investigations Practice, Latham & Watkins

3:30 p.m. ET

NETWORKING BREAK

Co-Sponsored by Baker Botts L.L.P., Bracewell LLP, Faegre
Drinker Biddle & Reath LLP, WilmerHale

4:00 p.m. ET

ENFORCEMENT TRENDS: WHERE ARE WE HEADED?

Hear from the experts about recent CFTC, SEC, DOJ and
exchange enforcement cases and what to expect in the year
ahead.

Moderator:

James (Jamie) McDonald, Partner, Sullivan & Cromwell

Panelists:

Stacie Hartman, Partner, Steptoe & Johnson
Renato Mariotti, Partner, Bryan Cave Leighton Paisner
Patrick Swartzler, Director, Market Regulation, ICE Futures U.S.
Ellen Wheeler, Partner, Foley & Lardner

5:10 p.m. ET

ROUNDTABLE #1

MEET YOUR SRO: CME, ICE AND NFA

CLE is not offered for this Roundtable

Here is your chance to hear from your SRO: what are
their priorities and what steps can your firm take to have
productive engagement with SRO staff?

Moderator:

Gregory Compa, Senior Director, Head of Institutional Compliance,
Coinbase

Panelists:

Debbie Kokal, Executive Director, Financial Surveillance, CME Group
Vito Naimoli, Chief Regulatory Officer, ICE Futures U.S.
Regina Thoele, Senior Vice President, Compliance, NFA
Andrew Vrabel, Managing Director & Chief Regulatory Officer,
CME Group

ROUNDTABLE #2

DIVERSITY IN LEGAL & FINANCIAL SERVICES

CLE is not offered for this Roundtable

What can we do as an industry, and lawyers and compliance
personnel in particular, to promote, sustain and engage on
the critical topics of diversity and inclusion?

Moderator:

Katherine Cooper, Partner, Davis Wright Tremaine

Panelists:

Cliffe Allen, *Managing Director, Swaps, NFA, Wednesday, Roundtable Diversity*
Carl Kennedy, *Partner, Katten*
Michelle MacDougall, *Managing Director and General Counsel, Daiwa Capital Markets America*

5:15 p.m. ET**OPENING RECEPTION****Thursday 27 April****7:00 a.m. ET****REGISTRATION OPEN**

Registration sponsored by Sullivan & Cromwell
Lanyards sponsored by Allen & Overy LLP
Conference tote bags sponsored by Katten

7:30 a.m. ET**CONTINENTAL BREAKFAST**

Co-Sponsored by Baker Botts L.L.P., Bracewell LLP, Faegre
Drinker Biddle & Reath LLP, WilmerHale

8:00 a.m. ET**EXHIBITS OPEN****8:30 a.m. ET****MEET THE DIRECTORS: CLE IS NOT OFFERED FOR THIS PANEL**

CFTC directors will discuss their respective staff's missions, priorities and past, present and future initiatives.

Moderator:

Allison Lurton, *Chief Legal Officer & General Counsel, FIA*

Panelists:

Clark Hutchison, *Director, Division of Clearing and Risk, CFTC*
Ian McGinley, *Director, Division of Enforcement, CFTC*
Vincent McGonagle, *Director, Division of Market Oversight, CFTC*
Mauricio Melara, *Deputy Director, Office of International Affairs, CFTC*
Amanda Olear, *Director, Market Participants Division, CFTC*

9:30 a.m. ET**BREAK****9:45 a.m. ET****CONCURRENT SESSIONS****COMPARING CFTC AND SEC CLIENT PROTECTION REGIMES**

Ever wonder about the differences between the CFTC and SEC customer protection regimes -- how they are similar, different and, at times, somewhere in between? What

implications they have for CCPs, brokers and customers? Panelists will discuss the basics and nuances of the two regimes and whether we can expect changes in the years to come.

Moderator:

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

Panelists:

Joshua Beale, *Associate Director, Market Participants Division, CFTC*
Ronald Filler, *President, Ronald Filler & Associates*
Geoffrey Goldman, *Partner, Shearman & Sterling*
Michael Macchiaroli, *Risk Management & Control Associate Director, SEC*
Michael Topiel, *Executive Director and Counsel, UBS*

CROSS-BORDER REGULATIONS: AROUND THE WORLD IN 60 MINUTES

Get practical updates and insights on how new laws and regulations outside the US may impact you and your customers.

Moderator:

John Nicholas, *Managing Director and Senior Regulatory Compliance Officer, SG Americas Securities*

Panelists:

Michelle Crutchfield, *Director & Assistant General Counsel, Bank of America*
Peter Kals, *Senior VP and Assistant General Counsel, Citi*
Nathaniel Lalone, *Partner, Katten*
Deanna Reitman, *Of Counsel, DLA Piper*
Eric Seinsheimer, *Director (Legal) Americas, Eurex & US CCO, Eurex Clearing AG*

LIBOR TRANSITION: ARE WE DONE YET?

LIBOR is soon-to-be no more. What's the state of the transition and what remains? What are the implications for exchanges, CCPs, brokers and customers?

Moderator:

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

Panelists:

Tamika Bent, *Counsel, Linklaters*
Michael Parodi, *Counterparty Relations, Bridgewater Associates*
Lary Stromfeld, *Partner, Cadwalader*
Owen Taylor, *Head of Legal: Clearing Services, LCH*

10:45 a.m. ET**NETWORKING BREAK**

Co-Sponsored by Baker Botts L.L.P., Bracewell LLP, Faegre
Drinker Biddle & Reath LLP, WilmerHale

11:15 a.m. ET

CONCURRENT SESSIONS

**RETHINKING MARKET STRUCTURE:
EXECUTION & CLEARING**

Change is afoot with execution and clearing infrastructure in derivatives and securities. Or is it? Experts will discuss recent CFTC and SEC market structure initiatives. Are they needed? Will they come to pass? Let's debate.

Moderator:

Robert Klein, *Managing Director and General Counsel, Citigroup Global Markets*

Panelists:

Kara Dutta, *Assistant General Counsel, Intercontinental Exchange*
Stephen Humenik, *Global Head of Derivatives Legal, Crypto.com*
Colin Lloyd, *Partner, Sullivan & Cromwell*
Peter Malyshev, *Partner, Cadwalader Wickersham & Taft*
Dawn Stump, *Former CFTC Commissioner*

MANAGING AN EFFECTIVE COMPLIANCE PROGRAM

Can you identify the pillars of an effective compliance program? Do the answers change in volatile markets or a down economy? We'll discuss how to establish, maintain and grow an effective compliance program amidst the varied, complicated and sometimes unforeseen pressures of the real world.

Moderator:

Matthew VosBurgh, *Head of Swap Dealer Compliance, Barclays*

Panelists:

Sabeena Ahmed Liconte, *Chief Compliance Officer, ICBC Standard Securities*
Kathleen Clapper, *Managing Director, Compliance, NFA*
Dan Davis, *Partner and Co-Chair, Katten*
Matthew Kulkin, *Partner, WilmerHale*
Janet McCormick, *Executive Director, Head of FCM Regulatory Governance Compliance, UBS*

12:15 p.m. ET

BREAK

12:30 p.m. ET

ANNUAL MEETING & KEYNOTE LUNCH

Co-Sponsored by FIA and Willkie Farr & Gallagher

The robots are coming and they're getting smarter...leading expert in social robotics and MIT Media Lab research scientist Dr. Kate Darling will explore the opportunities and challenges of human-robot interaction, the true potential of AI and robotics and the limits of what robots and AI can do.

Speaker:

Kate Darling, *Leading Expert in Social Robotics and MIT Media Lab Research Scientist*

2:00 p.m. ET

BREAK

2:15 p.m. ET

CONCURRENT SESSIONS

**BEST PRACTICES FOR RESPONDING TO
INVESTIGATIONS AND ENFORCEMENT INQUIRIES**

Your firm receives a call from the exchange inquiring about suspicious trading. The CFTC sends a notice of investigation. What do you do next? Be prepared with a gameplan from the experts.

Moderator:

Matthew Lischin, *Managing Director & Co-Head of US CM Law Group, RBC Capital Markets*

Panelists:

Gretchen Lowe, *Principal Deputy Director, Division of Enforcement, CFTC*
Charley Mills, *Partner, Bracewell*
Vito Naimoli, *Chief Regulatory Officer, ICE Futures U.S.*
Paul Pantano, Jr., *Senior Counsel, Corporate & Financial Services, Willkie Farr & Gallagher LLP*
Nancy Stern, *Managing Director, General Counsel & Chief of Staff, ABN AMRO Clearing*

CPO/CTA ISSUES

Know your customer. Learn the regulatory, legal and operational issues that are top of mind for asset managers and investment funds.

Moderator:

Sarah Riddell, *Of Counsel, Morgan Lewis & Bockius*

Panelists:

Jan Folena, *Partner and Co-Chair of Securities Litigation Enforcement, Stradley Ronan*
Aaron Friedman, *Deputy U.S. Head of Government & Regulatory Policy, Citadel*
Ray Ramirez, *Partner, Eversheds Sutherland (US)*
Jeff Steiner, *Partner, Gibson Dunn & Crutcher*
Joshua Sterling, *Partner, Jones Day*

3:15 p.m. ET

NETWORKING BREAK

Co-Sponsored by Baker Botts L.L.P., Bracewell LLP, Faegre Drinker Biddle & Reath LLP, WilmerHale

3:45 p.m. ET

CONCURRENT SESSIONS

WORST DAY IN THE CAREER OF A FCM IN-HOUSE ATTORNEY (ETHICS ISSUES)

This panel will follow a hypothetical day in the life of a FCM in-house attorney, who faces snowballing ethics hurdles as the worst day of their career progresses from accidental disclosure of confidential information to books and records fraud and misconduct.”

Moderator:

Kristyn Walker, Senior Counsel, Wells Fargo

Panelists:

*Jon Ammons, Partner, Reed Smith
GuyLaine Charles, Founder, Charles Law
Ryan Hayden, Associate, Davis Polk & Wardell
Nathan Howell, Partner, Sidley Austin
David McIndoe, Partner, Eversheds Sutherland*

**REPORTING & RECORDKEEPING:
IS TECHNOLOGY A BLESSING OR CURSE?**

CFTC swap reporting go-live. The SEC’s proposal mandating reporting of large security-based swap positions. The agencies’ 10-figure fines for recordkeeping violations relating to employee use of personal devices. Reporting and recordkeeping rules have made headlines. Panelists will reflect on a frenetic year and what it portends for the future of reporting and recordkeeping compliance.

Moderator:

*Ari Nakkab, Executive Director, Global Head of CGM
Compliance and Global Head of Supervision, Macquarie*

Panelists:

*Anthony Mansfield, Partner, Allen & Overy
Ryan Olszewski, Compliance Officer – Director Regulatory Reporting, Societe Generale
Christopher Reinhardt, Executive Director, Global Head of Market Surveillance, CME Group
Natalie Tynan, Associate General Counsel, Head of Technology Documentation Strategy, FIA
Alan Walkow, Senior Counsel, HSBC*

EVENT MARKETS, RETAIL & INNOVATIVE PRODUCTS

Innovate or die. Exchanges and market participants are constantly pushing forward with new products. Meanwhile, regulators must make tough decisions on whether and how to accommodate such products within existing statutory and regulatory frameworks. This panel will discuss emerging event, retail and other innovative products in digital assets and DeFi, what CFTC and SEC rules are relevant, and what they mean for market participants.

Moderator:

Conor Weber, Senior Director & Associate General Counsel, CME Group

Panelists:

*Micah Green, Partner, Steptoe & Johnson
Angie Karna, Managing Director and Head of Global Markets Legal, Americas, Nomura International
Dan Laczynski, Director, Compliance, Charles Schwab Futures and Forex
Anne Loranger, Chief Regulatory Officer, Railbird Exchange
Edward So, Partner, White & Case*

5:00 p.m. ET

ROUNDTABLE #1

BUYSIDE ISSUES

CLE is not offered for this Roundtable

Join us for a practical, informal discussion of the legal and compliance issues facing the buy-side today. Whether you’re a buy-side participant hoping to learn from your peers or a sell-side participant looking to understanding your clients better, there is something for everyone!

Moderator:

Rita Molesworth, Willkie Farr & Gallagher

Panelists:

*David Mitchell, Fried Frank
Christine Stevenson, Hartree Partners
Stephen Waldman, Tudor Investment Corporation*

ROUNDTABLE #2

**TECH SHOWCASE:
COMMUNICATIONS SURVEILLANCE**

CLE is not offered for this Roundtable

Recent SEC and CFTC enforcement cases demonstrate the need for firms to have the right technology in place to monitor chat messages and other forms of communications as part of their compliance programs. We are bringing together three of the leading service providers – Global Relay, SteelEye and VoxSmart- in a special showcase to help you understand the technology available and assess what your firm might need. Compliance expert Ari Nakkab of Macquarie Group will take these firms through a series of rapid-fire presentations to highlight their relevance to firms in the derivatives markets. Each service provider will be available at the end of the showcase to answer your questions. Drinks will be available!

Moderator:

*Ari Nakkab, Executive Director, Global Head of CGM
Compliance and Global Head of Supervision, Macquarie*

Presenters:

*Chris Hartley, Vice President, Sales, Global Relay
Don McElligott, Vice President, Compliance Supervision, Global Relay
Brian Lynch, President, North America, SteelEye
Morgan Martins, Chief Marketing Officer, VoxSmart*

5:15 p.m. ET

NETWORKING RECEPTION

Co-Sponsored by FIA and Davis Wright Tremaine LLP

9:00 p.m. ET

LATE NIGHT KARAOKE

Friday 28 April

7:00 a.m. ET

REGISTRATION OPEN

Registration sponsored by Sullivan & Cromwell
Lanyards sponsored by Allen & Overy LLP
Conference tote bags sponsored by Katten

7:15 a.m. ET

CONTINENTAL BREAKFAST

Co-Sponsored by Baker Botts L.L.P., Bracewell LLP, Faegre
Drinker Biddle & Reath LLP, WilmerHale

8:00 a.m. ET

EXHIBITS OPEN

8:15 a.m. ET

WASHINGTON UPDATE & CRYPTO LEGISLATION

CLE is not offered for this Roundtable

Get an inside look at legislative priorities that stand to impact derivatives and digital assets. Can we expect to see anything noteworthy from a divided Congress?

Moderator:

Kyle Glenn, Vice President of U.S. Government Relations, FIA

Panelists:

Maggie Sklar, Partner, Davis Wright Tremaine
Nathan Anonick, Professional Staff Member, Senate Committee
on Agriculture, Nutrition and Forestry
Jimmy Ryan, Partner & Co-Founder, Subject Matter

8:45 a.m. ET

**CLOSING REMARKS – L&C DIVISION CO-PRESIDENT
MATT LISCHIN, RBC CAPITAL MARKETS**

9:00 a.m. ET

NETWORKING BREAK

Co-Sponsored by Baker Botts L.L.P., Bracewell LLP, Faegre
Drinker Biddle & Reath LLP, WilmerHale

9:15 a.m. ET

CONCURRENT SESSIONS

ETHICS - INVESTIGATIONS SCENARIO

The panel will discuss ethical issues from the perspective of attorneys representing the firm and individuals in a hypothetical regulatory investigation.

Moderator:

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

Panelists:

Harris Kay, Partner, Davis Wright Tremaine
James Lundy, Partner, Foley & Lardner
Michael Spafford, Partner, Paul Hastings
Khadija Waugh, Senior Director & Associate General Counsel - Litigation, CME Group
Kathleen Yohe, Managing Director & Associate General Counsel, Deutsche Bank Securities

TREASURY MARKET STRUCTURE

The SEC is proposing to revamp treasury clearing. It begs the question: is there a problem to be fixed? Panelists will debate and discuss implications for market participants who are active in treasury markets.

Moderator:

Julie Mao, Vice President, Goldman Sachs

Panelists:

Rob Cordell, Executive Director & Counsel, Mizuho Americas
Brandon Hammer, Counsel, Cleary Gottlieb Steen & Hamilton
Laura Klimpel, Managing Director, DTCC
Jonah Platt, U.S. Head of Government & Regulatory Policy, Citadel Securities

COMMODITIES/END USER

Energy, agriculture and metals saw another historic year of market turbulence. The COVID-19 pandemic continues to weigh on supply and demand curves. And geopolitical forces have been thrust front and center. What are the lessons learned for compliance and legal departments?

Moderator:

William McCoy, Managing Director, Legal and Compliance Division, Morgan Stanley

Panelists:

Casey Khan, Counsel, Sidley Austin
Michael Loesch, Partner, Baker Botts
Jennifer Minnis, Managing Counsel, BP Corporation North America
Laura Mul, Director, US Futures and Commodities Compliance, RBC Capital Markets
Thane Twiggs, Risk Management, Chief Compliance Officer, Cargill

**10:15 a.m. ET
BREAK**

10:30 a.m. ET

CONCURRENT SESSIONS

CRYPTO REGULATION & ENFORCEMENT

Crypto is a scourge or panacea, depending on whom you ask. Experts will explore how regulators are responding to high-profile failures in digital asset venues and platforms while balancing the potential promise many still see in these products.

Moderator:

Neal Kumar, Partner, Willkie Farr & Gallagher

Panelists:

Julia Hueckel, Senior Policy Advisor, Global Regulatory Policy, Coinbase

Cheryl Isaac, Partner, K&L Gates

Kimberly Johns, Managing Director & Senior Counsel, Global Head of Digital Assets Legal, Goldman Sachs

Yvette Valdez, Partner, Latham & Watkins

GLOBAL CLEARING & BANKRUPTCY

Experts will review and discuss global developments in clearing, including CCP governance, CCP recovery and resolution rules and netting opinions. The panel will also discuss new clearing models and the issues they may raise under the Bankruptcy Code and CFTC Part 190 regulations.

Moderator:

Jackie Mesa, COO and Senior Vice President of Global Policy, FIA

Panelists:

Vincent Lazar, Partner, Jenner & Block

Darren Littlejohn, Partner, Clifford Chance US

Edward Mayfield, Director & Assistant General Counsel, Bank of America

Bob Wasserman, Chief Counsel, Division of Clearing and Risk, CFTC

Johns Williams, Partner, Milbank

11:30 a.m. ET

NETWORKING BREAK

Co-Sponsored by Baker Botts L.L.P., Bracewell LLP, Faegre Drinker Biddle & Reath LLP, WilmerHale

11:45 a.m. ET

CONCURRENT SESSIONS

CARBON & CLIMATE MARKETS

This panel will go in depth on compliance and voluntary carbon markets, as well as related listed and OTC derivative markets. What legal, documentation and compliance issues need to be considered when transacting in these products?

Moderator:

Kari Larsen, Partner, Willkie Farr & Gallagher

Panelists:

Alessandro Cocco, Vice President and Head of Financial Markets Group, Federal Reserve Bank of Chicago

Abigail Knauff, Special Counsel, Office of Chairman Rostin Behnam, CFTC

Daniel Scarbrough, Co-Founder, President and Chief Operating Officer, IncubEx

Ferdisha Snagg, Counsel, Cleary Gottlieb Steen & Hamilton

Edward Zabrocki, Managing Director & Counsel, Morgan Stanley

PRACTICAL POINTERS FOR BETTER EXAMINATIONS

Hear from examiners and the examined: what are the keys for a successful annual exam?

Moderator:

Jamila Piracci, Principal, Roos Innovations

Panelists:

Joseph Ajibesin, Executive Director and Counsel, Morgan Stanley

Carl Kennedy, Partner and Co-Chair, Katten

Ryan Lester, Managing Director, Goldman Sachs

Stephen Montgomery, Managing Director, Compliance, Wells Fargo

12:45 p.m. ET

GRAB & GO LUNCH

Co-Sponsored by Baker Botts L.L.P., Bracewell LLP, Faegre Drinker Biddle & Reath LLP, WilmerHale

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