



Driving Change for Capital Markets Growth

“Any intelligent fool can make things bigger and more complex ... it takes a touch of genius - and a lot of courage to move in the opposite direction.” E. F. Schumacher

Over the past 50-years, financial institutions have created an enormous and uncontrollable amount of data. Today, data is created, collected, analyzed, shared, and stored in unprecedented ways - and at an extraordinary speed and volume. Much of the data stored, generated and consumed by capital market firms is poorly managed and governed. Not only does this create operational inefficiencies and increase costs, it also poses a security risk while wasting precious time. The **North American Financial Information Summit - NAFIS 2019** will allow you to think differently about how your data is stored, managed and distributed across the firm to drive change and enable efficient consumption.

At the **17th North American Financial Information Summit - NAFIS 2019**, senior data, compliance and technology decision makers will gather together to address the most pressing current issues, including:

- Changing structures and complexities due to exponential data volume increase
- Optimising operating models and analytical capabilities while remaining compliant to ongoing regulatory changes and GDPR implementation
- Enhancing data security systems, information governance and risk management strategy
- Harnessing the power of AI to efficiently prepare and process market and reference data
- Discussing the current wave of cloud computing, alternative and unstructured datasets: Improving business outcomes and reducing costs
- Mitigating disruptive influences: Emerging technologies, new regulations, geo-political changes and innovations in the financial sector

Join the US's most established community of data leaders and decision makers on **May 20-21st** to challenge your current data strategy and evaluate potential technology investments. Have your voice heard at interactive roundtables, learn from peers facing the same challenges at their respective firms, listen to the experts, hear their success stories, and meet **350+ senior decision makers** over 5 networking breaks – all this for only one day out of the office!

KEY 2019 facts and figures:

- **Running for the 17th year** on behalf of *Inside Market Data, Inside Reference Data, Inside Data Management* and *Waters Technology*
- Backing of **16 Advisory Board members** from leading financial firms including Morgan Stanley, Societe Generale, State Street, HSBC, Citadel, DB, Acadian Asset Management & Scotiabank
- **Top tier vendor firms** and **service providers** in attendance to address your concerns
- Highly interactive **RegTech Evaluation Day** created to showcase new thinking and out-of-the-box initiatives in the technology, innovation and regulation space

North American Financial Information Summit

 MAY 20 - 21 2019


NEW YORK



NAFIS 2019 Confirmed Speakers Include:

- **Roman Regelman**, Head of Digital, **BNY MELLON**
- **Alla Whitston**, Chief Technology Officer, **CIT**
- **Julia Bardmesser**, SVP, Head of Data, Architecture and Analytics, **VOYA FINANCIAL**
- **Edmund Flynn**, Executive Director, Global Market Data Sourcing, **MORGAN STANLEY**
- **Karla McKenna**, Chair, ISO TC 68, Financial services and Head of Standards, **GLEIF**
- **Andrew Foster**, Deputy Chief Data Officer - Americas, **DEUTSCHE BANK**
- **Arvind Joshi**, Director Data Management, **SCOTIABANK**
- **Sumanda Basu**, Data Management Technology Leader, **SOCIETE GENERALE**
- **Jacklyn Osborne**, CDO, **HSBC**
- **Brian Buzzelli**, SVP, Head of Data Governance, **ACADIAN ASSET MANAGEMENT**
- **Ellen Gentile**, Assistant Vice President, Data Quality Manager & Data Steward, **SUMITOMO MITSUI**
- **David Saul**, SVP and Chief Scientist, **STATE STREET**
- **John Bottega**, Executive Director, **EDM COUNCIL**
- **Victor Tewari**, Senior Technology Officer, CM Institutional & Corp Banking Technology, **BMO FINANCIAL GROUP**
- **Kevin Green**, Global Market Data Lead, **CITADEL**
- **Barry Raskin**, Managing Director, **JORDAN AND JORDAN**
- **Dessa Glasser**, Board Member, **OPPENHEIMER HOLDINGS**
- **Thomas Mavroudis**, Global Head of Data Governance and Data Quality, **HSBC**
- **Peter Serenita**, US Chief Data Officer, **SCOTIABANK**
- **Dinkar Jetley**, Co-Founder, **PIVOT INVESTMENT PARTNERS**
- **Sarah Biller**, Founder & CEO, **FINTech SANDBOX**
- **Ruth MacQuiddy**, Technology Strategist, New York Lab - Global Innovation, **DEUTSCHE BANK**
- **Shailesh Mathankar**, Director, Data Management, **AIG**
- **Jonathan Carroll**, Managing Director Enterprise Risk Technology, **BMO FINANCIAL GROUP**
- **Michael F. McGovern**, Managing Director, **BROWN BROTHERS HARRIMAN**
- **Kim Prado**, Managing Director, Global Head of Client Insight, Banking & Digital Channel's Technology, **RBC CAPITAL MARKETS**
- **Vijay Kasarabada**, Managing Director and Global Head of Technology, **LAZARD ASSET MANAGEMENT**
- **Ina Wanca**, Professor, **NEW YORK UNIVERSITY**
- **Luis Valdich**, Managing Director, Venture Capital Investing, **CITI VENTURES**

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RegTech Evaluation Day

Pre-conference interactive session - NEW 2019 initiative to innovate and create unprecedented learning and networking opportunities for regulation, compliance and technology players.

May 20th 2019

Pre-registration required

12:00 – 1:00	Welcome Networking Lunch
1:00 – 1:05	Chairperson's Opening Remarks
1:05 – 1:35	Data & RegTech Leaders Panel – Advice for the Imminent Challenges of the Year Ahead David Saul , SVP and Chief Scientist, STATE STREET Dessa Glasser , Board Member, OPPENHEIMER HOLDINGS Ellen Gentile , Assistant Vice President, Data Quality Manager & Data Steward, SUMITOMO MITSUI -----
1:35 – 2:05	Rotation 1
2:05 – 2:35	Rotation 2
2:35 – 3:05	Rotation 3
3:05 – 3:35	Afternoon Break
3:35 – 4:05	Rotation 4
4:05 – 4:35	Rotation 5
4:35 – 5:05	Rotation 6
5:05	Closing remarks
5:15 – 6:15	Networking Drinks Reception or Pre-conference Dinner

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THE NORTH AMERICAN FINANCIAL INFORMATION SUMMIT 2019 May 21st – The Convene, 1 Liberty Place, New York		
8:30	Registration and Continental Breakfast	Executive Pre-conference Breakfast Round-table – <i>Available for sponsorship</i>
9:00	Chairperson's Opening Remarks	
9:10	Opening Keynote Address: Digitization Strategies and Models to Drive Transformative Growth <ul style="list-style-type: none">- Pro's and con's of most-often used digitization strategies- New ways of organizing and working to build a digital enterprise- The role of partnerships to build and scale value creation- How to use data to re-imagine client solutions and services- How to monetise and justify the ROI of emerging technologies like AI Roman Regelman, Head of Digital, BNY MELLON	
9:40	Keynote Panel: Creating an Organisational Structure to Turn Data into a Valuable Asset <ul style="list-style-type: none">- Transforming your data ecosystem to reduce costs and drive new business opportunities- Understanding the role of the CDO/CTO in a fast moving digital era - how should the organisational structure look?- Security risks and privacy concerns - what approach have you taken within your firm and how are you managing ongoing threats?- Identifying the biggest challenges to create a data driven organisation – people, process and technology Alla Whitston, Chief Technology Officer, CIT Andrew Foster, Deputy Chief Data Officer - Americas, DEUTSCHE BANK Peter Serenita, US Chief Data Officer, SCOTIABANK	
10:25	Case Study Presentation: Market Data Trends: What are the Current Challenges, Regulatory Concerns and Emerging Innovations? – <i>Available for sponsorship</i> <ul style="list-style-type: none">- Leveraging data management and data processing capabilities to comply with a fast evolving regulatory-compliance landscape- Using emerging technology solutions to help standardize global market systems and make capital markets transactions faster, more secure, and highly efficient- Discussing the tokenization challenge and the growing interest in cryptocurrency trading- Experimenting with new types of alternative datasets and AI	
10:45	Networking Morning Break	

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	Stream 1: Risk, Regulation, and Data Privacy <i>20% of banks operating budgets going to compliance! Join these interactive discussions to reduce internal costs and build a successful risk and compliance program</i>	Stream 2: Data Architecture, Governance and Quality <i>Driving further advancements into the data agenda – The current innovations, business culture, and processes trends</i>	Stream 3: Analytics for Improved Decision Making NEW <i>This stream consists of a series of case studies to provide practical hands on advice into the Big data and analytics space</i>
11:15	Chairperson's remarks John Bottega , Executive Director, EDM Council	Chairperson's remarks Dessa Glasser , Board Member, OPPENHEIMER HOLDINGS	Chairperson's remarks Barry Raskin , Managing Director, JORDAN AND JORDAN (TBC)
11.25	Case study: Leveraging AI and Machine Learning Opportunities to Drive Transformative Growth <ul style="list-style-type: none"> - Understanding how AI's capabilities can support data management and advance the business - Enhancing the customer's journey and driving business value with predictive analytics - Digitizing data governance to increase volume, speed and reduce friction - Mining greater value from existing & cleansing data to increase trade prediction's accuracy - Improving process efficiency and speed to provide better customer service, comply with regulations, and save cost - How to monetise and justify AI's ROI? 	Case study: Next Generation Data Platforms: Advances in Market Data Distribution and Analysis <ul style="list-style-type: none"> - Providing a highly scalable platform to streamline data infrastructure, improve workflow efficiency and lowers costs - Designing trading platform and schemes that enable efficiency and privacy preservation - Discussing renting vs buying pricing model - Maximize revenue with value-based pricing model relying on market and competition - Using big data to make better pricing decision 	Case study: Leveraging Alternative Data for Financial Decision-making Processes <ul style="list-style-type: none"> - How to use alternative data as an input into your investment strategy? - Quickly identify, search, and process information to gather and analyze in a meaningful way - Scaling up with advanced analytics that track changes and improve forecasts - Using alternative and unconventional data to make timely and more informed decisions across a wide range of industries

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12.00	<p>Panel discussion:</p> <p>Accessing Accurate, Reliable and Regulated Data Pricing Information in Times of Uncertainty</p> <ul style="list-style-type: none"> - How to make market data more transparent for valuation and risk processes across multiple markets - Proactively mitigating against price changes to meet regulatory and compliance requirements - Enabling rapid pricing and impact analysis to make fast and smart decisions - Will Brexit and trade tensions lead to further financial market volatility across the globe? <p>Vijay Kasarabada, Managing Director and Global Head of Technology, LAZARD ASSET MANAGEMENT</p> <p>Kevin Green, Global Market Data Lead, CITADEL</p>	<p>Panel discussion:</p> <p>How will Advances in Analytics and AI Impact the Way in Which we Process and Analyze Data</p> <ul style="list-style-type: none"> - Reviewing the current offerings to automate your trade execution and reduce the workload - Implementing data visualization and visual analytics for effective understanding, reasoning and decision making process - Identifying the main challenges and risks associated with AI and machine learning integration – which areas of data management have seen the most success? - Envisioning new business models enabled by AI and DLT <p>Ruth MacQuiddy, Technology Strategist, New York Lab - Global Innovation, DEUTSCHE BANK</p> <p>Shailesh Mathankar, Director, Data Management, AIG</p> <p>Michael F. McGovern, Managing Director, BROWN BROTHERS HARRIMAN</p> <p>Kim Prado, Managing Director, Global Head of Client Insight, Banking & Digital Channel's Technology, RBC CAPITAL MARKETS</p>	<p>Case study:</p> <p>Leveraging on Emerging Technology to Achieve Organizational Transformation</p> <ul style="list-style-type: none"> - Embedding technological innovation to clients' expectations and business needs - Driving digital innovation processes: How to decide where to invest and prototype - Fostering an organizational environment to unleash employees creativity and process innovation - Leveraging on Data analytics and AI to make better, faster, and more accurate decisions - Envisioning future possibilities and skills that finance leaders need to succeed in the upcoming years
12:30	<p>Networking Lunch Break & Exhibition Visit</p> <p>Roundtables – <i>in the exhibition space</i></p> <p>Start-up Showcase – <i>in the West Hub</i></p>	<p>Executive Luncheons by Invitation Only</p> <p>– <i>Available for sponsorship</i></p>	

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	Stream 1: Risk, Regulation, and Data Privacy	Stream 2: Data Architecture, Governance and Quality	Stream 3: Analytics for Improved Decision Making NEW
1:40	Chairperson's remarks John Bottega , Executive Director, EDM Council	Chairperson's remarks Dessa Glasser , Board Member, OPPENHEIMER HOLDINGS	Chairperson's remarks Barry Raskin , Managing Director, JORDAN AND JORDAN (TBC)
1:50	Case study: Optimizing the Use for Reference Data to Maintain a Global Regulatory Oversight <ul style="list-style-type: none"> - Turning reference data into meaningful business information with increased governance and management clarity - Effective methodology: How to best deal with a large number of specialized tasks and wide scope involved in reference data management - Avoiding duplication, costly back-office correcting and data quality issues with standardized reference data tables and effective communication across business units - Unlocking maximum value from your data to the extent of monetizing it Jonathan Carroll , Managing Director Enterprise Risk Technology, BMO FINANCIAL GROUP	Case study: Lazard's Advice to Enhance Cloud Data Security and Privacy Protection at Your Firm <ul style="list-style-type: none"> - Navigating Lazard's cloud implementation to support and enable business transformation - As the cloud will drive more than 80% of enterprise workloads by 2020, how quickly can you adapt and secure your data - What are the 2 step processes to mitigate legal and compliance issues - Enabling further business scalability and flexibility of Big data 	Case study: Protecting your Clients Data: How to Quickly Adjust and Comply with Ongoing Data Privacy Laws? <ul style="list-style-type: none"> - The effects of ongoing regulatory changes on capital markets - Discussing best practices when meeting complex KYC and regulatory on-boarding - Complying with the legal requirements for storing business information to ensure that information is protected and secure - Implementing effective cybersecurity and data privacy strategies to mitigate potential threats

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	<u>Case study:</u> How to Meet Regulatory Requirements Through more Effective Trade Surveillance	<u>Case study:</u> Data Strategies and Tips from Outside the Financial Services	<u>Case study:</u> How Data Visualization Tools can Better Inform your Business Decisions
2:25	<u>Panel discussion:</u> Improved Data Lineage and Metadata Management for Regulatory Reporting and Competitive Edge <ul style="list-style-type: none"> - Mapping data rivers to ensure ROI on your data and gain greater understanding of your companies data usage - Investing in technology to create a holistic and mappable view of your data - Enabling the accurate interconnecting of regulatory and risk reporting - How to turn metadata into new opportunities for growth <p>Thomas Mavroudis, Global Head of Data Governance and Data Quality, HSBC</p> <p>Shailesh Mathankar, Director, Data Management, AIG</p> <p>Sumanda Basu, Data Management Technology Leader, SOCIETE GENERALE</p>	<u>Panel discussion:</u> How Can Collaboration with Fintech Companies Drive Innovation and Accelerate Change <ul style="list-style-type: none"> - How FinTech start-ups are leading the way in AI, RPA, cloud computing, and DLT to deliver innovation to traditional players - Enhancing operational flexibility and optimizing business processes through agile market entrants and reinvented business models - How effective in-house innovation labs, accelerator programmes, and venture capital investments have proven to be for enhanced innovation strategy? - The FinTech potential - from disruption to in-house collaboration - Determining how to best engage with FinTechs, given the contrasting organization sizes and cultures <p>Sarah Biller, Founder & CEO, FINTECH SANDBOX</p> <p>Luis Valdich, Managing Director, Venture Capital Investing, CITI VENTURES</p>	<u>Case study:</u> Streamlining Processes and Automating Repetitive Tasks to Focus on Value Added Activities <ul style="list-style-type: none"> - Discussing automation benefits and how to maximise efficiency for pre trade, on trade and post trade? - Process excellence: RPA's potential for reducing trade execution costs and the team's workload - How AI can utilize powerful algorithms to process vast amounts of data to recognize patterns, perform high-level decision making and learn from new input - How to build a comprehensive buy side technology workflow - Best practices for effective talent management

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3:00	Networking Afternoon Break	
3:30	Drill Down Discussion Roundtables – <i>Available for sponsorship</i> <i>You will have an opportunity to join two of the roundtables – 45 minutes at each</i>	
	Advances in Data Analytics, IOT and Machine Learning How to facilitate the development of next-generation applications? Sharing expectations, implementing stories and potential pain points with peers from your industry	US Market Data Pricing With the rise of electronic and automated trading, accurate and timely data pricing has become more important than ever. Initiatives like MEMX to reduce trading costs and simplify the equity trading execution will be discussed
	Building a Case for Data Standards Adoption Harmonizing standards to guide processes, effective use of data, and ultimately improve performances	Enhancing Data Quality Through AI and Automation How to gain predictive insights that help embrace transparency and enhance trading quality
	Cloud Infrastructure for Improved Data Security What are you doing within your company to ensure that data breaches are prevented and damage is minimized? Would you consider cloud computing as a secure solution?	ESG Data – Requirements and Quality Issues Incorporating environmental, social and governance factors such as gender diversity and low-carbon emissions on boards into business investment analysis and decision-making processes
	AI for Improved Market Data Management Discussing AI's potential to improve business performance and competitiveness demands throughout the data lifecycle	Improved Data Lineage and Metadata Management Sharing best-in-class practices to collaborate, establish an enterprise glossary and improve communication between teams
5:00	<u>Interactive Fireside Chat:</u> Envisioning Future Market Data Developments to Overcome Talent Challenges, Comply with New Regulations and Quickly Adapt to Emerging Innovations <i>Forward looking and interactive session where delegates are welcome to use Sli.Do to ask their questions, share ideas and interact with the speakers live</i> Ina Wanca, Professor, NEW YORK UNIVERSITY	
5:30	Drink Reception – <i>Available for sponsorship</i>	
6:30	End of the North American Financial Information Summit 2019	

Please note: This agenda is a draft version – the content within the panels and conference sessions may change subject to additional industry input, sponsor suggestions and the findings from the advisory board meeting.

For more information, please contact:

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