

RegTech summit for capital markets

FROM **A-TEAM**GROUP

New York November 2017



Event Review



A-Team's RegTech Summit for Capital Markets Makes a Splash in New York

Hot on the heels of the success of its sister event in London, A-Team Group's RegTech Summit for Capital Markets in New York continued the conversation, bringing together delegates, speakers and sponsors to form a new New York RegTech community as only A-Team knows how.

The Summit attracted over 400 registered delegates and hosted some 20 top tier sponsors. It also featured a raft of RegTech influencers and provided a fun showcase for start-ups to show their wares.

In case you missed it, here is a taste of what the Summit was all about and why it was so well attended.

Andrew Delaney, President and Chief Content Officer at A-Team Group, hosted the Summit conference, which opened with a keynote from Brad Giemza, Chief Risk Officer, at brokerage RJ O'Brien. Giemza outlined the current state of RegTech and offered his view on how it could develop going forward.



Summit keynotes

With the Regtech scene set for the day, a distinguished panel of practitioners and influencers took to the stage to address how financial institutions could overcome barriers to implementing RegTech. Panel members included:

- Nikhil Aggarwal, FinTech Entrepreneur in Residence, iValley Innovation Center;
- Tom Dunlap, Former Managing Director, Global Head of Enterprise Data Strategy, Goldman Sachs;
- Tammy Eisenberg, Director, Investment Management Risk & Compliance, BNY Mellon;

- Subas Roy, Chairman, International RegTech Association (IRTA); and
- John Stecher, Managing Director, Group Head of Open Innovation and Rise, Barclays.

Additional keynotes during the Summit included a fireside chat hosted by Thomson Reuters on FinTech, RegTech and the Role of Compliance. The discussion featured Todd Ehret, Senior Regulatory Intelligence Expert, Thomson Reuters Regulatory Intelligence, and Sean Beals, Global Head of Regulatory Intelligence – Risk, Thomson Reuters, who discussed RegTech in the broader risk ecosystem.



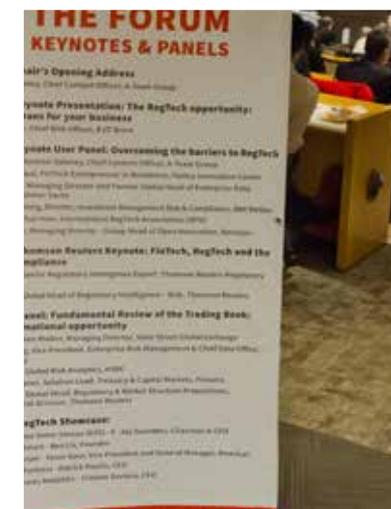
This was followed by the first session delving into key Big Regs, in this case Basel's Fundamental Review of the Trading Book. The high-profile panelists included:

- Ken Walker, Managing Director, State Street Global Exchange (Moderator);
- Connie Zhang, Vice President, Enterprise Risk Management & Chief Data Office, Bank of China;
- Vinod Bhaskaran, Solution Lead, Treasury & Capital Markets, Finastra;
- Yi Zhao, Senior Vice President, Global Risk Analytics, HSBC; and
- John Mason, Global Head, Regulatory & Market Structure Propositions, Financial & Risk Division, Thomson Reuters.

Regtech Showcase

The A-Team RegTech Summit for Capital Markets debuted a unique product showcase, with five RegTech providers – Domus Semo Sancus (DSS), LEI Smart, Arkivum, API Fortress and Features Analytics – each given a strict five-minute slot to present their solutions and address questions from showcase moderator, Jason Panzer, Partner & Chief Operating Officer of Marlin & Associates.

Then it was time for lunch break at the A-Team RegTech Summit for Capital Markets, and an opportunity to network with colleagues, speakers and sponsors.



Regulation, Regulation, Regulation

After lunch, the Summit audience heard a keynote from Joseph Turso, Vice President of Product Management at The SmartStream Reference Data Utility (RDU), who offered a deep dive into the detail of reference data challenges raised by the EU's Markets in Financial Instruments Directive II (MiFID II).

The conference split into two streams after lunch. The first – chaired by A-Team's Delaney – provided a deep dive into the impact to the buy side of trade reporting and other regulatory requirements, followed by a panel focused on MiFID II. and the other on innovation for optimal regulatory compliance. The buy-side panel was moderated by Predrag Dizdarevic, Partner at Element 22, and featured Suvrat Bansal, CDO at UBS Asset Management; James Wallin, SVP, Fixed Income, at AllianceBernstein; Ali van Nes, SVP,



Senior Director, Regulatory Solutions, at FactSet Research Systems.

The MiFID II panel was moderated by John Mason, Global Head, Regulatory and Market Structure propositions, Financial and Risk, Thomson Reuters, and included Robin Doyle, Managing Director, Office of Regulatory Affairs, J.P. Morgan Chase; Brian Buzzelli, SVP, Head of Data Governance, Acadian Asset Management; Julia Bardmesser, Global Head of Data Integration, Deutsche Bank; Robert O'Boyle, Managing Director – Americas, Asset Control; and Joseph Turso, Vice President of Product Management, The SmartStream RDU.

The second stream, chaired by Mary Kopczynski, CEO at 8of9, focused on New Innovations in Regulatory Compliance. The first of the stream's two panels centered on client on-boarding, KYC and anti-money laundering. The session was moderated by Nikhil Aggarwal, FinTech Entrepreneur in Residence at the iValley Innovation Center, and included panelists John Sproat, US Head of Data Management & Global Head of Client Data & Know Your Customer Operations, RBC Capital Markets; E. Jay Saunders, Chairman & CEO, DSS; Charles Minutella, Business Development Manager - KYC, at Thomson Reuters; and Manash Banerjee, Global Head of



Entity Reference Data and Client Onboarding Technology, Nomura Securities.

The second panel in the innovation stream was moderated by Thomas Jordan, CEO, Jordan and Jordan, and focused on the options for building a toolbox for surveillance, under regulations like MiFID II, Dodd-Frank and the EU's Market Abuse Regulation (MAR). The panel featured Tony Brownlee, Partner and Head of Data Science & Research at Kingland; Cromwell Fraser, Vice President, Communications Compliance Line of Business, NICE Actimize; and John Malitzis, Deputy General Counsel and Chief Surveillance Officer at Citadel.

Coming back together, delegates enjoyed another Big Reg session, this time focusing on the EU's General Data Protection Regulation

(GDPR). The panel was moderated by Mark Steinhoff, Managing Director at Deloitte, and featured Zoe Strickland, Managing Director and Global Chief Privacy Officer at JP Morgan; Leigh Feldman, Managing Director, Head of Privacy and Information Compliance and Global Chief Privacy Officer at Citi; and Nathan Snyder, Partner at Brickendon Consulting.

RegTech Awards and Drinks Reception

With the Summit sessions complete, delegates, speakers and sponsors heard industry practitioner Tim Lind present the 2017 A-Team RegTech Awards. Following the presentation, networking continued informally over drinks in the exhibit hall.



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Red Box Recorders is a leading provider of resilient and reliable communications recording solutions that capture, store, retrieve, transcribe and analyze voice, as well as IM, video and data, in support of MIFID II and Dodd Frank compliance regulations.

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The SmartStream Reference Data Utility

SmartStream

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The RDU acts as a processing agent for its participants selected data sources; sourcing, validating and cross-referencing data using market best practises so that these processes do not need to be duplicated in every financial institution. An experienced global team, who operate under the compliance frameworks of their customers, deliver data that is fit-for-purpose, consistent and in a format that is specific to the financial institutions' needs.

For more information about SmartStream RDU visit: www.smartstreamrdu.com



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UnaVista

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Future Events:

RegTech Summit for Capital Markets, Asia	May 2018
RegTech Summit for Capital Markets, London	October 2018
RegTech Summit for Capital Markets, New York	November 2018

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Webinars:

Data management requirements for the 2018 regulatory agenda	12th December 2017
The latest on identifiers and standards in data management (LEIs, ISINs, CFI)	8th February 2018
Preparing for Consolidated Audit Tape (CAT)	27th February 2018
MiFID II – outstanding data management for transaction reporting; managing LEIs and ISINs	1st March 2018
Outstanding MiFID II trading technology requirements. What's worked and not worked?	13th March 2018
RegTech - Trade Surveillance: Technologies and best practice for market abuse compliance	15th March 2018

Visit webinars section of

DataManagementReview.com and IntelligentTradingTechnology.com

Handbooks:

European Electronic Trading Venues under MiFID II (ETV)	March 2018
MiFID II – State of Play	April 2018
Regulatory Data Handbook Sixth Edition	October 2018

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