


waters USA



 December 3, 2018

NEW YORK, CONVENE, W46TH ST

Hosted by:

Inside Market Data

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<http://events.waterstechnology.com/watersusa>



The image shows a long conference table covered with a white tablecloth. On the table, there are several place settings, each consisting of a white plate, silverware, and two glasses. In the center of the table, there are several copies of a magazine titled 'Waters 25'. The magazine cover features a woman's portrait and the text 'A SERENDIPITOUS JOURNEY'. The background shows a dimly lit room with wooden chairs.

With thanks to the Waters USA Advisory Board

The aim of the Waters USA Advisory Board is to provide guidance, expertise and insight into the current key issues and challenges impacting the financial industry, and the expectations from attending a conference.

The board was put together to improve the quality of the content provided at the conference and the format in which it is delivered to ensure maximum ROI for the delegates, speakers and sponsors.

All board members are experts in the fields of data, regulation, FinTech innovation and technology, and are well placed to provide insight into the key concerns of their firms, and the wider industry.

Advisory Board members



Sarah Biller

Founder & CEO
FinTech Sandbox



Victor Tewari

Senior Technology Officer,
CM Institutional & Corp
Banking Technology
BMO FINANCIAL GROUP



Joseph Lodato

Managing Director, Global
Head of Compliance
Surveillance and
Technology
GUGGENHEIM PARTNERS



Ruth MacQuiddy

Technology Strategist, New
York Lab - Global
Innovation
Deutsche Bank



Alla Whitston

Managing Director,
Enterprise Chief
Technology Officer and End
User Computing Executive
BANK OF AMERICA



Laura Hamilton

Managing Director
BANK OF AMERICA MERILL
LYNCH



Lucien Foster

Head of FinTech Strategy
and Partnerships
BNY Mellon



Abel Picardi

Chief Compliance Officer
BANK OF CHINA



Nick Williams

Head of Infrastructure Labs
and Development
MORGAN STANLEY



Nancy Selph

SVP Advanced Technology
and Partnerships
WELLS FARGO



Keith Lubell

Chief Technology Officer
BERKERY NOYES



Arijit Das

SVP, FinTech Solutions and
Enterprise Messaging,
Blockchain Development
NORTHERN TRUST

Pre Event Briefing – Women in Technology and Data

Location: WatersTechnology Main Stage

07.45 – 08.55

Back by popular demand! After the success of the 2017 Women in Technology and Data briefing we'll be hosting this exclusive networking, sharing and learning session once again before the main conference.

Waters Technology has committed to creating a platform for both men and women within the industry to come together to discuss issues around gender equality and the cultural shift still needed to ensure inclusion, understanding and change.

Open to all attendees, this session will consist of a keynote address followed by an open panel session involving the audience.

We'll be running live polls to generate opinion and gauge how the industry perceives the move towards a more inclusive culture of equal opportunity.

08.00 – 08.15: Keynote Address: Speaker to be confirmed

08.15 – 08.20: Meet your peers: Networking exercise to make new contacts

08.20 – 08.55 A culture shift: an industry of diversity, equality and opportunity: Interactive panel session

Points for discussion include:

- Why are we still having this conversation?
- Advice to other firms for creating a culture of equality and opportunity
- Pathway to the top – what can firms be doing to ensure development and career progression across the board?
- Encouraging the next generation of female leaders to consider roles in financial data and technology
- Unconscious bias – recognizing areas for improvement in your firm
- Work/life balance – overcoming the hurdles and changing perceptions

Koley Corte, SVP and Global Head of Business Transformation, ALLIANCE BERNSTEIN

(Open to all attendees)

Main Conference

08.25 – 09.00

Registration

Location: WatersTechnology Main Stage

09.00 – 09.10

A Celebration of 25 years of Waters!

Welcome remarks: Victor Anderson, Editor-in-Chief, WatersTechnology

09.10 – 9.50

An industry of innovation: Addressing the need for change, the real use cases for AI and the tech strategy of tomorrow

- Re-instating the drivers for technology investment – assessing the most pressing business requirements to decide where to spend
- Bringing new technology into the firm in a secure and measured way – start-up offerings vs. established vendor tools
- Lessons learnt from the processing power and data quality processes of other heavily regulated industries
- The internal benefits of AI – using the latest analytical tools to learn what needs to be done in order to better service the customer
- Open Source Tech – the plug-in-and-play mentality
- Assessing products that replace more than one existing technology or service
- A shifting approach to talent, skillset and culture – the need for fluidity and change within the financial services

**FORMAT:
PANEL
DISCUSSION**

Moderator: William Murphy, SMD, Chief Technology Officer, Head of Blackstone Innovations, BLACKSTONE GROUP
Victor Tewari, PMP, Senior Technology Officer, CM Institutional & Corp Banking Technology, BMO FINANCIAL GROUP

9.50 – 10.20

Presentation (Reserved)

10.20 – 11.05

Partner thought leadership panel (Reserved)

Morning coffee and networking break

Location: Partner Hub		Location: Spotlight Stage	
11.05 – 11.30	Morning break	11.05 – 11.30	Live demos and new product presentations: <i>Head to the spotlight stage to hear about the latest new products, best existing products and how the vendor firms are innovating to stay ahead of the competition!</i> 11.05 – 11.15 Spotlight stage demo #1 11.15 – 11.25 Spotlight stage demo #2
Location: WatersTechnology Main Stage		Location: Hub 1	
11.30 – 11.55	Thought leader survey findings Moderated by: Victor Anderson, WATERSTECHNOLOGY Senior Representative, RIMES	11.30 – 11.55	Thought leadership partner presentation Senior Representative, UnaVista, LONDON STOCK EXCHANGE GROUP
11.55 – 12.25	Practical use cases for AI: Where can you really see results? <ul style="list-style-type: none"> • How can AI allow us to take advantage of our mass data assets? • How can we using findings from applying AI to deliver customized products and solutions both internally and for external customers? • AI in the back office – re-thinking possible outcomes of data analytics for instant results • Latest use cases for AI around surveillance and security • Internal innovation vs vendor offerings – where are we seeing the best results and what are the latest offerings? Moderator: Manan N. Rawal, US Model Risk Management, Innovation Lead, HSBC Robert Huntsman, Senior Director of Strategy and Research - Emerging Technologies and Head of Data Science Practice, SYNECHRON	11.55 – 12.25	Committing to your tech: How should start-ups partner with us, how should we partner with them, and where are the opportunities for innovation? <ul style="list-style-type: none"> • Bringing the start-up mentality to big bank culture • Pros and cons of start-up's vs big vendors – why should we consider using the smaller firms and how are the traditional firms innovating from within? • Overcoming the on-boarding and security issues • Where are we seeing the most progress with regards to new tech offerings? • Advice from one side, to the other – how to succeed in the new world of FinTech and how to combat the resistance Moderator: Sarah Biller, Founder, FINTECH SANDBOX Barry Raskin, Managing Director, JORDAN AND JORDAN
FORMAT: PANEL DISCUSSION		FORMAT: PANEL DISCUSSION	

Hosted Deep Dive Workshops

Each of these off the record learning sessions will be hosted by an industry expert or member of the Waters USA advisory board – you will receive a summary or discussion points in advance of the conference and should join a table relevant to your area of expertise to share ideas with the group and learn from other firms.

These sessions, voted “best of the day” by 2017 attendees are your prime opportunity for meeting new contacts and learning how the industry is evolving.

(Note: hosting firms are welcome to choose workshop theme and title)

Location: WatersTechnology Main Stage		Location: Hub 1	
12.20 - 12.25	Transition to workshops		
<p>12.25 – 1.00</p> <p>1. Analytics and AI Host: Victor Tewari, PMP, Senior Technology Officer, CM Institutional & Corp Banking Technology, BMO FINANCIAL GROUP</p> <p>2. Alternative and unstructured data sets Host: TBC</p> <p>3. Topic TBC Host: Reserved for Senior Representative, DUCO</p> <p>4. Cloud innovations Host: Reserved</p> <p>5. Market data costs, contracts and licensing Host: TBC</p> <p>FORMAT: WORKSHOPS</p>		<p>12.25 – 1.00</p> <p>1. Start-up partnerships and the future of FinTech Host: Michael Radziemski, Partner, FORTIUM PARTNERS</p> <p>2. RegTech and cognitive compliance Host: Abel Picardi, Managing Director and Chief Compliance Officer, BANK OF CHINA</p> <p>3. The use of technology in global regulatory strategy Host: Charles Dwyer, Former Director, Global Technology and Operations, DEUTSCHE ASSET AND WEALTH MANAGEMENT</p> <p>4. Culture, talent and diversity Host: TBC</p> <p>5. Data management: best practices Host: David N. Saul, Senior Vice President and Chief Scientist, STATE STREET</p> <p>FORMAT: WORKSHOPS</p>	

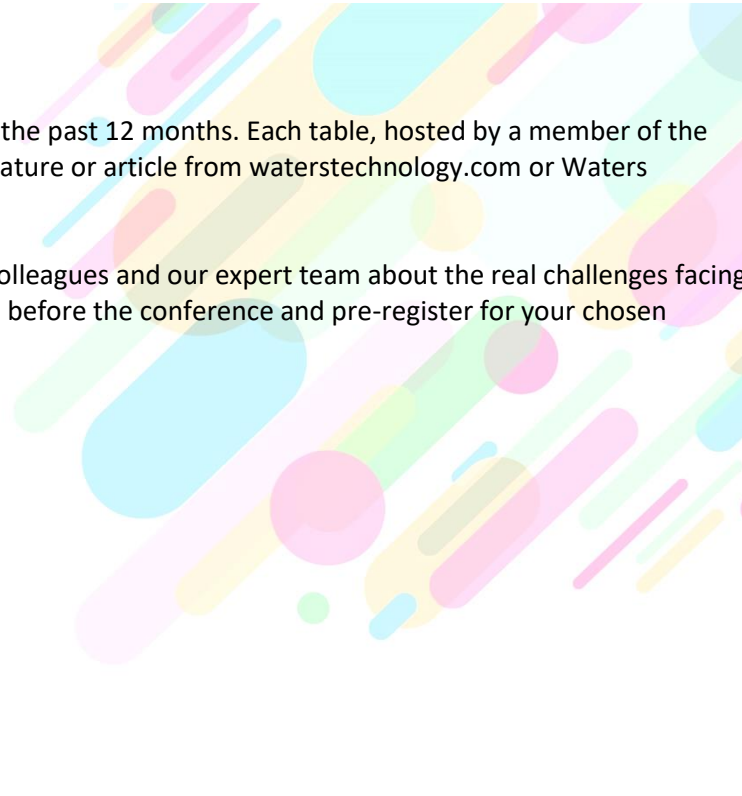
1.00 – 1.55: Lunch break, demos, meetings and networking for all attendees

Location: Partner Hub and Spotlight Stage	Location: Hub 1	Location: Hub 2
<p>Start-up showcase in partnership with...</p> <p><i>The Waters USA Advisory Board and the Waters editorial team have shortlisted 4 innovative start-up's to pitch live against the clock in front of the audience.</i></p> <p><i>All firms have been chosen for showing huge potential and scope for creating waves in the FinTech space – if you want to be at the forefront of new technology and want to stay “in the know”, this is the must-attend session of the day!</i></p> <p><i>Vote for the start-up that interests you most during the showcase session via our interactive event technology, Sli.do – the winner will be announced later in the day and will receive a booth space to exhibit at one of our 2019 events!</i></p> <p>Hosted by: Sponsoring firm TBC</p> <p>1.15 – 1.20 Start-up #1: TBC 1.25 – 1.30 Start-up #2: TBC 1.35 – 1.40 Start-up #3: TBC 1.45 – 1.50 Start-up #4: TBC</p> <p><i>Meet the start-ups throughout the rest of the day at the Start-Up pop up by nourish point 2! Why not schedule a meeting using the app?</i></p>	<p>Women in Technology and Data lunch area (open to all attendees)</p> <p>Guest speaker to be announced</p>	<p>Sponsor hosted private lunch</p> <p>SAP – Private lunch – Invite Only</p>

1.55 onwards: Afternoon sessions

Location: WatersTechnology Main Stage		Location: Hub 1	
1.55 – 2.00	Host opening remarks	1.55 – 2.00	Host opening remarks
2.00 – 2.25 FORMAT: PRESENTATION	Lessons from a data leader	2.00 – 2.25 FORMAT: PRESENTATION	Regulatory updates – what’s coming for 2019?
2.25 – 3.00 FORMAT: PANEL DISCUSSION	<p>Alternative data sets and unstructured data</p> <ul style="list-style-type: none"> • Use cases for ESG data • Latest alt-data sets and where they can really add value • The possibilities of AI for internal user generated data • Cleansing internal data and external alt-data sets to increase the accuracy of trade predictions • Security and regulatory concerns • Products and tech for alt-data generation and analytics <p>Moderator: Breman Thuraisingham, Executive Director at MORGAN STANLEY, and Adjunct Professor at BARUCH COLLEGE</p> <p>Miquel Noguer Alonso, Executive Director, UBS & Adjunct Assistant Professor, COLUMBIA UNIVERSITY</p>	2.25 – 3.00 FORMAT: PANEL DISCUSSION	<p>Global regulatory strategy and cognitive compliance solutions</p> <ul style="list-style-type: none"> • Navigating global regulatory reporting requirements • Cognitive compliance solutions and integration of RegTech into existing systems • Centralizing compliance strategy and systems to meet multiple reporting requirements effectively • RegTech for KYC and AML • Managing the technology disconnect between the regulators and the firms <p>Moderator: Sudhir Kaloth, Director - MIS / Regulatory & Compliance, OPPENHEIMER & CO. INC</p> <p>Jonathan Carroll, MD, Enterprise Risk IT, Technology and Operations, BMO FINANCIAL GROUP</p> <p>Raymond Hanson, MD, Global IT Program Lead for OTC Derivatives Regulatory Reform (Dodd Frank), CREDIT SUISSE (subject to final panel choice)</p> <p>Abel Picardi, Managing Director and Chief Compliance Officer, BANK OF CHINA</p> <p>David N. Saul, Senior Vice President and Chief Scientist, STATE STREET</p>

<p>3.00 – 3.25</p> <p>FORMAT: FIRESIDE CHAT</p>	<p>Editor’s choice: Delving into the opportunities presented by cloud infrastructure</p> <p>Host: Anthony Malakian, Editor-at-Large, WATERSTECHNOLOGY</p>	<p>3.00 – 3.25</p> <p>FORMAT: PRESENTATION</p>	<p>RegTech showcase presentation:</p> <p><i>Hear the latest updated from a leader in RegTech and cognitive compliance solutions.</i></p>
<p>3.25 – 3.40 Pit-Stop coffee break in the partner hub</p> <p>3.30 Spotlight stage demo #3</p>			
<p>Location: WatersTechnology Main Stage</p>			
<p>3.40 – 3.45</p>	<p>Afternoon overview: Victor Anderson, Editor-In-Chief, WatersTechnology</p> <p><i>Start-up showcase results</i></p>		
<p>3.45 – 4.15</p> <p>FORMAT: KEYNOTE INTERVIEW</p>	<p>In conversation with...</p> <p>Cathy Bessant, Group CIO, Bank of America is interviewed live on stage by Victor Anderson, Editor-In-Chief, WatersTechnology</p>		
<p>4.15 – 4.45</p> <p>FORMAT: PANEL DISCUSSION</p>	<p>How to lead your financial enterprise through its data journey while enabling digital transformation</p> <ul style="list-style-type: none"> • Navigating the move towards a truly digital firm – what changes need to be made to stay ahead and where will “innovation” make the difference? • How will data play a part in the firm of tomorrow and how will we manage exponential growth in volume? • Managing the changing landscape of data consumption both internally and at a client level • Creating an effective data ecosystem with accountability, quality control and innovative processes • Future trends and predictions – what will come after AI and how can we ensure the financial services doesn’t get left behind? <p>Moderator: Anthony Vigilante, Managing Director, Head of Global Information Technology & Information Security, MACKAY SHIELDS Ellen Gentile, Vice President, Data Quality Manager, SUMITOMO MITSUI BANKING COOPERATION (subject to final panel choice) William M. Cohee, Data Quality Manager, Chief Data Office, HSBC GLOBAL BANKING AND MARKETS (subject to final panel choice) Koley Corte, SVP and Global Head of Business Transformation, ALLIANCE BERNSTEIN</p>		

4.45 – 4.50	<p>Revisited audience question: What is the future of financial services technology and data?</p> <p><i>Has your opinion changed since the start of the conference? Use sli.do to let us know what your thoughts are for the tech/data strategy of 2019 and beyond.</i></p>
4.50 – 5.25	<p>Highlights of 2018: WatersTechnology champagne sessions</p> <p>Join a table to learn about the topical stories most read and evaluated by you over the past 12 months. Each table, hosted by a member of the editorial team or partner of WatersTechnology will cover the subject matter of a feature or article from waterstechnology.com or Waters Magazine.</p> <p>These informal, off the record sessions will allow you to talk openly with industry colleagues and our expert team about the real challenges facing the industry and how we can move forward for 2019. Receive the unlocked articles before the conference and pre-register for your chosen session.</p> <p>Articles TBC - Themes will include:</p> <ol style="list-style-type: none"> 1. Women in Technology and Data 2. DLT 3. Alternative data 4. M&A 5. Start-up revolution 6. Data Science 7. AI 8. Programming languages 9. Talent, culture and change 
5.25 – 5.30	<p>Closing remarks and a look ahead: Victor Anderson, Editor-In-Chief, WatersTechnology</p>
5.30 – 6.45	<p>25 years of WatersTechnology drinks reception and celebration – open to all attendees</p>
<p>The invite only American Financial Technology Awards dinner and ceremony will follow the drinks reception</p>	