

July 13, 2017  
New York City

2017 FINRA

# Blockchain Symposium



Bringing the industry together to discuss the challenges and opportunities around distributed ledger technology (DLT)

# Agenda

## FINRA's Blockchain Symposium

FINRA's Blockchain Symposium is designed to bring together regulators and industry leaders to discuss the use of blockchain and related opportunities and challenges. The half-day symposium is designed to look at the changes that are occurring or may occur in the future as a result of the implementation of DLT applications in the financial industry. It also features discussions of the potential market and regulatory implications of these changes.

## Continuing Education (CE) Credits

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional (CRCP) and Continuing Legal Education (CLE) continuing education credits. CLE Attendees will receive a five (5) credit CLE CE Voucher from NACLE (National Academy of CLE) for attending the Blockchain Symposium.

12:00 p.m. – 1:00 p.m.	Registration	
1:00 p.m. – 1:15 p.m.	Welcome Remarks— Robert Cook, FINRA	
1:15 p.m. – 2:45 p.m.	Session I: Regulators Forum on Distributed Ledger Technology (DLT)	
	<p>► During this session, panelists discuss the work that regulators have undertaken to assess the use of DLT in the financial industry and the regulatory considerations associated with potential DLT applications.</p> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• Haime Workie, FINRA Emerging Regulatory Issues (ERI)</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• Jeffrey Bandman, Formerly with U.S. Commodity Futures Trading Commission (CFTC)</li> <li>• Bethany (Beth) Dugan, Office of the Comptroller of the Currency (OCC)</li> <li>• Ryan VanGrack, U.S. Securities and Exchange Commission (SEC)</li> <li>• Kathy Wang, Federal Reserve Board</li> </ul>	
2:45 p.m. – 3:15 p.m.	Break	
3:15 p.m. – 4:45 p.m.	Session II: Industry Views on the Current and Future State of DLT	
	<p>► This session focuses on the current DLT applications being explored by the financial securities industry (considering benefits, challenges and opportunities) and the potential role DLT will play in the industry's future.</p> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• Kavita Jain, FINRA Emerging Regulatory Issues (ERI)</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• Todd McDonald, R3</li> <li>• James O'Neill, Fidelity Investments</li> <li>• Jennifer Peve, The Depository Trust &amp; Clearing Corporation (DTCC)</li> <li>• John Zecca, Nasdaq, Inc.</li> </ul>	
4:45 p.m. – 5:00 p.m.	Closing Remarks— Steven Randich, FINRA Office of the Chief Information Officer	
5:00 p.m.	Conference Adjourns	



# Speakers

## A Discussion at the Intersection of Industry, Regulation and Innovation

<b>Jeffrey Bandman</b>	Formerly with U.S. Commodity Futures Trading Commission (CFTC)
<b>Robert Cook</b>	FINRA
<b>Bethany (Beth) Dugan</b>	Office of the Comptroller of the Currency (OCC)
<b>Kavita Jain</b>	FINRA Emerging Regulatory Issues (ERI)
<b>Todd McDonald</b>	R3
<b>James O'Neill</b>	Fidelity Investments
<b>Jennifer Peve</b>	The Depository Trust & Clearing Corporation (DTCC)
<b>Steven Randich</b>	FINRA Office of the Chief Information Officer
<b>Ryan VanGrack</b>	U.S. Securities and Exchange Commission (SEC)
<b>Kathy Wang</b>	Federal Reserve Board
<b>Haimera Workie</b>	FINRA Emerging Regulatory Issues (ERI)
<b>John Zecca</b>	Nasdaq, Inc.

## Exhibitors

Conference exhibitors showcase a range of products and services for broker-dealer firms. Current exhibitors include:

- ▶ Alphapoint

FINRA has a limited number of exhibitor opportunities remaining for this conference. To secure your participation, contact Jeffrey Arcuri at (508) 759-8180 or email [Jeffrey.Arcuri@finra.org](mailto:Jeffrey.Arcuri@finra.org) to request a conference exhibitor package.

# Registration

## How to Register

To register, visit [www.finra.org/blockchain2017](http://www.finra.org/blockchain2017) and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis. If you experience difficulties registering, please call (202) 728-6980 or send an email to [conreq@finra.org](mailto:conreq@finra.org).

### Confirmation Email

You will receive an email confirmation of your registration. Please make sure your registration has been confirmed prior to your arrival onsite at the conference.

### Cancellation Policy

The special discounted rate for the first 50 in-person registrants is non-refundable. For all other registration categories, a full refund—less a \$75 processing fee—will be granted to written requests received 14 days or more prior to the start of the conference. We regret that refunds will not be granted after June 29, 2017.

### Fees

In Person – Individual	First 50 Through May 1	50+ or After May 1
FINRA Member Firm   <i>must provide valid CRD #</i>	\$395	\$495
FINRA Member Firm (Small Firm)   <i>must provide valid CRD #</i>	\$295	\$395
Non-Member	\$595	\$695
Government / Regulator	\$350	\$450

In Person – Group* (Per Person)	First 50 Through May 1	50+ or After May 1
FINRA Member Firm   <i>must provide valid CRD #</i>	\$350	\$450
Non-Member	\$550	\$650

\* Available to firms registering 3 or more employees at the same time with the same credit card. Please follow instructions in registration system.

### Contact Information

If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273. For registration information, please contact (202) 728-6980.

# Hotel and Travel

## The 2017 Blockchain Symposium takes place at:

**Park Central Hotel New York**  
**870 Seventh Avenue, 56 Street**  
**New York, NY 10019**

Reservations may be made online or by calling the hotel for best availability and rates.

- ▶ Toll free: (212) 707-5700

### Hotel Reservations

A room block is available at the Park Central Hotel New York at the special rate of \$219 per night, plus tax. This rate is available until June 16, 2017, or until the room block is sold out. Hotel reservations will then be accepted on a space-and rate-available basis. Book your hotel room [online](#) or call the Park Central Hotel at (212) 707-5700 and identify yourself as an attendee of the 2017 Blockchain Symposium.

### Travel Information

FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to the receipt of your registration confirmation. FINRA assumes no liability for penalties or fare increases should the conference sell out or in the unlikely event that changes to the conference dates and/or location become necessary.

Please note that hotel reservations, cancellations, and charges are the attendee's responsibility.

## 2017 FINRA Blockchain Symposium App

Our conference app is created specifically for Blockchain Symposium attendees; it empowers our attendees to network and connect, and it provides conference details at your fingertips. The app will be available for download in the near future.

- ▶ speakers
- ▶ sessions
- ▶ exhibitors
- ▶ maps
- ▶ networking

