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CFTC INTERNATIONAL REGULATORS MEETING

Boca Raton Resort, Addison Ballroom

Boca Raton, Florida

11 March 2014

8:45 Registration and Continental Breakfast

9:00 Welcoming Remarks
Introduction of the CFTC Commissioners and Other Participants

9:30 **Topic One: Risk Controls and System Safeguards for Automated Trading Environments**

This session will address protecting the safety and soundness of derivatives markets during a time of rapid technological change by looking at the principal actors and potential risks. Remedies, such as pre-trade risk controls and post-trade reports, among other measures, as well as system safeguards related to the design, testing and supervision of automated trading systems will be discussed.

Moderator John McPartland, Senior Policy Advisor, Federal Reserve Bank of Chicago

Panelists Richard Haynes, Senior Policy Advisor, U.S. Department of Treasury
Rajeev Ranjan, Policy Specialist, Financial Markets Group, FRBC
Christopher Hehmeyer, CEO, HTG Capital Partners, LLC, Chairman, KCG Futures and Chairman of the Board National Futures Association
Richard Gorelick, CEO, RGM Advisors LLC
Julie Holzrichter, Senior Managing Director, and
Head of Global Operations CME Group
Michael Wagenführer, Legal Expert, Hesse Ministry of Economic Affairs

Coffee break will be taken during the session

12:00 Luncheon on the Veranda

1:00 **Topic Two: Swap Data and Trade Repositories**

This session will take a look at how trade repositories receive, use, and share the

information they collect. Panelists will discuss the benefits repositories provide to regulators as well as who are using swaps, what swaps are traded, when they are traded, where they are traded, and how swaps are used in the marketplace.

Moderator Michael Philipp, Partner, Morgan, Lewis & Bockius, LLP

Panelists Jonathan Thursby, President, Swap Data Repository, CME Group
Bruce Tupper, President, ICE Trade Vault & ICE eConfirm
Marisol Collazo, CEO, Data Repository (US) Depository Trust and Clearing Corporation (DTCC)

2:15 Coffee Break

2:30 Topic three: Mandatory Trade Execution and Trading Platforms

Now that mandatory trading is underway in the U.S., panelists will discuss the challenges facing trading platforms and participants, as well as the opportunities for market transformation.

Moderator David Bailey, Head, Market Infrastructure & Policy
Financial Conduct Authority, United Kingdom

Panelists Sunil Hirani, Chief Executive Officer, trueEX Group, LLC
Stuart Wexler, Chief Operating Office and General Counsel,
ICAP Americas
Supurna VedBrat, Managing Director, BlackRock, Inc.
Raymond Kahn, Managing Director, BarCap

3:45 Closing Comments
Adjourn to the Royal Palm Ballroom

4:00 FIA Keynote Address: CFTC Acting Chairman Mark Wetjen

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CFTC BOCA REGULATORS MEETING – 2014 PARTICIPANTS DIRECTORY

CANADA

The Manitoba Securities Commission

Paula White, Manager

Ontario Securities Commission

Sina Akbari, Legal Counsel

Quebec Autorité des marchés financiers

Elaine Lanouette, Director, Exchanges and SROs

Claude Gatién, Director, Clearing Houses

Derek West, Director, Derivatives

COLOMBIA

Superintendencia Financiera

Jorge Castaño, Head, Research and Development

FRANCE

Autorité des marchés financiers

Sonia Cattarinussi, Head, Market Regulation Policy

GERMANY

Federal Financial Supervisory Authority

Dominik Zeitz, Securities Supervision - Transaction Reporting

Ministry of Economic Affairs of the State of Hesse

Michael Wagenfuehrer, Legal Expert

JAPAN

Ministry of Economy, Trade and Industry

Naoya Hasegawa, Researcher

Commerce and Consumer Affairs Policy Division

Futures Industry Association of Japan

Keizo Goto, Senior Managing Director

RUSSIA

Bank of Russia

Victoria Stepanenko, Deputy Head

Financial Market Development Department

SAUDI ARABIA

Capital Market Authority

Abdulrahman Al-Barrak, Commissioner, Board of Commissioners

Hassan Alshuaiby, Head, Capital Market Development Initiatives, Corporate Finance & Issuance

SINGAPORE

Monetary Authority

TAN Beng Hwa, Director and Head, Markets & Infrastructure Supervision
Alvin Chow, Deputy Director NY Office

TAIWAN

Financial Supervisory Commission

Jan-Juy Lin, Commissioner

Financial Supervisory Commission New York Office

Ming-Hsien Chen, Director

Securities and Futures Bureau

Chien-Chung Liao, Assistant Director

TURKEY

Capital Market Authority

Eyup Yilmaz, Director, Enforcement Department
Himmet Karadag, Board Member

UNITED KINGDOM

Financial Services Authority

David Bailey, Head, Market Infrastructure and Policy
Gavin Hill, Manager, Derivatives Markets, Markets Division

UNITED STATES

Federal Reserve Board

Erik Heitfield, Chief, Risk Analysis Section

Federal Reserve Bank of Chicago

John McPartland, Senior Policy Advisor, Financial Markets Group
John Haworth, Manager, Large Institutions, Supervision & Regulation

Federal Reserve Bank of New York

Janine Tramontana, Counsel and Vice President
Nancy Schnabel, Attorney

National Futures Association

Dan Roth, President
Karen Wuertz, Senior Vice President, Planning and Development

Commodity Futures Trading Commission

Mark Wetjen, Acting Chairman
Bart Chilton, Commissioner
Scott O'Malia, Commissioner
Sarah Josephson, Director, Office of International Affairs
Myra Silberstein, Head, Technical Assistance Programs, Office of International Affairs