



2018 Winter Workshop

Tuesday-Wednesday, February 6-7

**The Miami Beach EDITION
2901 Collins Avenue
Miami Beach, Florida**

Tuesday, February 6

Building for the Future, Today

As machine learning moves from buzzword to project and the public cloud becomes home not just to Silicon Valley startups but also to staid fund managers, chief information officers at investment management firms find themselves wrestling with the practicalities of using advanced technologies and methods in existing IT organizations. Move to the public cloud, yes, but what to move first, and how to secure it? Practice devops, by all means, but with which people and what skills? Comb through petabytes of alternative data looking for investment signals, of course, but how to meld technical experts and portfolio managers into an effective team? At Financial Technology Forum's 2018 Winter Workshop we'll examine how investment technologists are answering these questions.

8:00 am – Registration / Buffet Breakfast

9:00 am Forum Prefunction

9:00 am – Welcoming Remarks

9:15 am Forum 3

Lewis Knox
Executive Director
Financial Technology Forum

9:15 am – Building a Data Science Research Effort

10:00 am Forum 3

Michael Willock
Sr. V.P., Asset Management Technology
Fidelity Investments

Benjamin T. Kibler
Principal Architect
Wellington Management Company, LLP

Incorporating cognitive computing and big-data-driven analysis into an investment research department requires a combination of quantitative analysts to devise models and search for investment signals, and investment-oriented technology staff to build the tools and wrangle the data. And the usefulness of the output needs to be measured to see if the data scientists are producing useful investment ideas. In this panel discussion we'll hear from investment management technologists who have built cross-functional data science teams, exploring the people issues they negotiated and the technology infrastructure and tools they introduced.

BREAKOUT DISCUSSION GROUPS

10:00 am –
11:00 am

Skills and Roles for a Modern IT Organization

| | | |
|---|--|---|
| <p>Traditional Firms with AUM >\$100 bn <i>Forum 1</i></p> <p><u>Moderator:</u> Peter W. Noll <i>Senior Vice President, Chief Technology Officer</i> Acadian Asset Management</p> | <p>Traditional Firms with AUM <\$100 bn <i>Forum 2</i></p> <p><u>Moderator:</u> Tom McLain <i>Chief Information Officer</i> OMAM</p> | <p>Alternative Investment Firms <i>Meeting Studio 3</i></p> <p><u>Moderator:</u> John Boehmke <i>Chief Information Officer</i> Abrams Capital Management</p> |
|---|--|---|

As investment management IT organizations adopt the cloud, agile development methodologies and other modern IT tools, they find that they need new job functions and people with new skills to fill them. Devops and agile require self-contained teams that handle business analysis, development, QA and infrastructure all together. How are CTOs reskilling and reorganizing their departments as they try to deliver next-generation IT?

11:00 am –
11:30 am

Coffee Break
Forum Prefunction

11:30 am –
12:15 pm

Balancing Security and Speed of Business in an Interconnected World *Forum 3*

| | |
|--|--|
| <p><u>Moderator:</u> Mark Settle <i>Chief Information Officer</i> Okta</p> <p>Tom McLain <i>Chief Information Officer</i> OMAM</p> | <p>Dan Greller <i>Chief Information Officer</i> Artisan Partners</p> <p>Casey Santos <i>Chief Information Officer</i> General Atlantic</p> |
|--|--|

The retail industry continually struggles to balance concerns about the handling of personally identifiable information with the ease of doing business with their paying customers. The asset management industry faces an even greater challenge in balancing security concerns with the need to collect, analyze and act upon information from a variety of sources in making investment decisions. The ecosystem of individuals and information sources that can be tapped to make the most informed decisions is constantly expanding as business becomes increasingly complex and increasingly global. Individual firms strive to make decisions as quickly as possible to capture competitive advantage in terms of investment share or pricing. This panel discussion focuses on the practical tradeoffs that are required to safeguard the information and communications surrounding investment

decisions in a highly interconnected, fast paced world.

12:15 pm – **Luncheon**
1:15 pm *La Vista Terrace*

1:15 pm – **High-Performance Computing in the Cloud: Leveraging the Advantages of Cloud Computing to Drive New Levels of Performance**
2:00 pm *Forum 3*

Ulku Rowe
*Technical Director of Financial Services,
Office of the CTO
Google Cloud*

Rene-Paul Lafarie
*Customer Engineer, Financial Services
Google Cloud*

Moving high performance workloads to the cloud is gaining significant traction with institutional investors across the globe. The ability to quickly provision hundreds of thousands of cores of compute power, and then as quickly spin them down is changing how these firms think about their trading strategies and operations. But how does HPC work in the cloud, and how does that co-exist with, or replace, on-premise HPC solutions? How can you implement it and what are the advantages? What are the things to consider when looking at HPC in the cloud? What are some examples of HPC in the cloud today? This session will answer these important questions and more.

BREAKOUT DISCUSSION GROUPS

2:00 pm – **Open Forum**
3:00 pm

Firm Names A-F
Forum 1

Firm Names G-O
Forum 2

Firm Names P-Z
Meeting Studio 3

Moderator:
Larry Cohn
*Chief Information Officer
Baron Capital*

Moderator:
James Ferrarelli
*Vice President of Technology
Charles Schwab*

Moderator:
Connie Noiva
*Sr. V.P. & Chief Information Officer
Virtus Investment Partners*

The Un-breakout, a discussion group with no set topic. Members will be asked to provide ideas for questions to discuss in advance, and we will collate and distribute the list to participants, but participants will also be able to raise new issues on the spot. Any topic is fair game.

3:00 pm – **Coffee Break**
3:30 pm *Forum Prefunction*

3:30 pm – **Dealing with Technology Debt and Replacing or Renovating Legacy Applications**
4:15 pm *Forum 3*

Traditional Firms with AUM >\$100 bn
Forum 1

Traditional Firms with AUM <\$100 bn
Forum 2

Moderator:
Jeff Langer
*AVP, Director, Sales, Distribution and
Corporate Application Delivery*

Moderator:
Andrew Powers
*Director of Information Technology
Polen Capital*

Federated Investors, Inc.

Investment firms that have a substantial inventory of older applications face a choice: to replatform or update those applications, redevelop them altogether or replace them with vendor applications. How should firms make those buy versus build choices and dig out of an accumulated technology deficit?

4:15 pm – **Keynote Address: Korean Peninsula—War or Peace?**
5:00 pm *Forum 3*

Gordon G. Chang
Author of Nuclear Showdown: North Korea Takes On The World

In volatile North Asia, there are two Koreas, one rich and the other poor. Now, the poor Korea, backed by China, has the ultimate weapon to destroy the rich one, supported by the United States. The situation is inherently unsustainable. At the same time, many in Washington no longer believe the U.S. can tolerate the North's weapons programs. Within perhaps a year, the Kim regime will be able devastate the American homeland with nuclear warheads. Author and commentator Gordon Chang will talk about the possible futures for the increasingly troubled Korean peninsula.

5:00 pm – **Time at Leisure**
6:15 pm

6:15 pm – **Cocktails & Dinner at Matador Terrace at the Edition**
9:00 pm

Chef Jean-Georges Vongerichten offers his distinctive modern interpretation of Latin cuisine at the Edition Hotel's signature restaurant, Matador Terrace, overlooking the pool deck. The tropical outdoor area is a nod to the Tropicana nightclub in Havana and combined with locally sourced menus influenced by Spanish, Caribbean and South American flavors will allow for an enjoyable evening of networking and conversation.

Wednesday, February 7

8:00 am – **Registration / General Breakfast / Topic Brainstorming Breakfast**
8:50 am *Forum Prefunction & Forum 2*

8:50 am – **Opening Remarks**
9:00 am *Forum 3*

Lewis Knox
Executive Director
Financial Technology Forum

9:00 am – **Blockchain Gets Real**
9:45 am *Forum 3*

Mark Smith
Co-Founder and CEO
Symbiont

Dana Moody
Senior Fintech Analyst
Vanguard Group

Blockchain, a decentralized, distributed digital ledger best known as the technology behind the exchange of bitcoin, promises to revolutionize recordkeeping for financial transactions. Proofs of concept of blockchain for such things as capitalization tables for venture-backed companies have existed for a couple of years, but now several consortia are creating real production applications for securities trading. Investment management technology departments may not make use of blockchain directly, but they will be interacting with blockchain applications created by utilities, asset servicers and banks. We'll survey the activity in the sector and hear from a few of the blockchain projects in the works.

9:45 am –
10:30 am

Implementing Real-time, 24-hour IBOR
Forum 3

Marc Mallett
Vice President, Product Management,
North America
Simcorp USA, Inc.

Geoffrey Blaisdell
Head of Information Technology
Western Asset Management

The sun never sets on a global investment manager's portfolio. For the money manager active in North America, Asia and Europe, the investment book of record must necessarily be updated in close to real time if users in the Asian morning are to know what their positions and cash are when they start the day, while their New York counterparts are still making their evening commute home. Unfortunately, that means there's no "overnight" for overnight batch jobs. In this session, we'll explore the challenges in providing current data to users in every time zone around the world.

10:30 am –
11:00 am

Coffee Break

BREAKOUT DISCUSSION GROUPS

11:00 am –
11:45 am

IT Priorities for the Coming Year

Firms with AUM >\$100 billion
Forum 1

Moderator:
Priscilla Moyer
Senior Vice President and Chief
Information Officer
Franklin Resources, Inc.

Firms with AUM <\$100 billion
Forum 2

Moderator:
TBD

What are key IT and business priorities for the coming year? How are the business's top priorities changing with the marketplace, and how this is affecting the IT budget for 2018?

11:45 am –
12:45 pm

Transitioning to the Cloud
Forum 3

Rodney Lavard
Senior Director
General Atlantic

Inam Malik
Head of Infrastructure
MIO Partners

Andrew Powers
Director of Information
Technology
Polen Capital

More and more firms are hosting data and applications in the public cloud, but they aren't moving everything at once. How should investment management CTOs design hybrid technology architectures, part on premises and part in the cloud? What should move to the public cloud and when? And how should firms handle user authentication and security in an environment in transition?

12:45 pm – **Luncheon**
1:45 pm *La Vista Terrace*

1:45 pm **Conference Concludes**