



# SUNGARD COMPLIANCE SUMMIT 2010

UPDATED MARCH 31 2010 \*SUBJECT TO CHANGE

## TUESDAY, APRIL 20, 2010

2:00 PM - 6:30 PM	<b>Onsite Registration</b>	Grand Foyer Registration Desk
10:00 AM - 5:30 PM	Pre-event Activity: SunGard's Golf Outing	Woodmont Country Club

## WEDNESDAY, APRIL 21, 2010

8:00 AM – 5:00 PM	<b>Onsite Registration</b>	Registration Desk
8:00 AM - 9:00 AM	<b>Breakfast</b>	Ballroom I
9:00 AM – 10:00 AM	<b>General Session: Succeeding in an Enforcement Era</b> Keynote Speaker: Katherine Addleman, Partner, Haynes & Boone and former Head of Enforcements for SEC's Atlanta division	Grand Ballroom II and III
10:00 AM – 11:15 AM	<b>FINRA Audit Trends - Protegent Surveillance / Protegent Customer Onboard</b> Moderated round table: Peer-to-peer knowledge sharing on topics submitted by attendees related to FINRA Audits. <i>Speakers: Ann Robinson VP Director of Compliance Training Morgan Keegan &amp; Company and Michael Bello, Surveillance Infrastructure Massachusetts Mutual Life Insurance Company</i>	Ferncliff
10:00 AM – 11:15 AM	<b>PTA 4.0 Overview</b> Explore the new features and enhancements of Protegent PTA 4.0 <i>Speakers: Ragini Pathak, Senior Product Manager and Adam Clough, General Manager</i>	Astor Ballroom II
10:00 AM – 11:15 AM	<b>Client Data / Market Data - Protegent Trading Compliance</b> Best practices discussion on maximizing your analysis of both Client and Market Data. <i>Speaker: Greg Pratznicki, Product Manager</i>	Astor Lounge
11:15 AM – 11:30 AM	<b>Break</b>	
11:30 AM – 12:30 PM	<b>Rules Review: Protegent Surveillance</b> Join a roundtable discussion on Rules Review and Meeting Client Objectives. Taking a closer look at the top 10 rules requested by client feedback. <i>Speakers: Bryan Bateman, VP Business Implementation, Ben Feinauer, Senior Knowledge Engineer/PM and Ryan Brusckke, Senior Knowledge Engineer/PM</i>	Ferncliff
11:30 AM – 12:30 PM	<b>Product Enhancement Review – Protegent Customer Onboard</b> View a demonstration of the new release of Protegent Customer Onboard. Gain insight on why many of the changes were made, as a result of past implementations	Astor Ballroom I



# SUNGARD COMPLIANCE SUMMIT 2010

	<p><i>Speakers: Greg Orgill, Technical Implementations Senior Manager and Rex Gooch, Director of Product Management</i></p>	
11:30 AM – 12:30 PM	<p><b>PTA 4.0 Disclosures Walkthrough</b>  A complete step by step guide to use the enhanced Disclosures Module  <i>Speaker: Laurie Mahoney, VP Services</i></p>	Astor Ballroom II
11:30 AM – 12:30 PM	<p><b>Evaluating your risk, alerts and reports with Protegent Trading Compliance</b>  Review of Alerts and Reports that can help simplify and/or enhance your compliance surveillance program  <i>Speakers: Greg Pratinicki, Product Manager and Linda Tamburro, Business Analyst</i></p>	Astor Lounge
12:30 PM – 1:45 PM	<p><b>Lunch &amp; General Session</b>  Speaker: Steve Sabin, Chief Operating Officer, SunGard Protegent</p>	Grand Ballroom I
1:45 PM – 3:00 PM	<p><b>Rules Review continued: Protegent Surveillance</b>  Roundtable Rules Review / Meeting Client Objectives - cont'd  <i>Speakers: Bryan Bateman, VP Business Implementation and Rex Gooch, Director of Product Management. Client moderators TBD</i></p>	Ferncliff
1:45 PM – 3:00 PM	<p><b>Leveraging the Dashboard &amp; Query Builder Functionality – Protegent PTA</b>  Learn how to leverage the Dashboard and custom Query Builder to make your daily lives easier, manageable and more productive  <i>Speakers: Victoria Caviasca, Senior Program Manager and Ragini Pathak, Senior Product Manager</i></p>	Astor Ballroom II
1:45 PM – 3:00 PM	<p><b>Maximizing Data/ Ad Hoc Reporting with Protegent Trading Compliance</b>  An introduction and overview on how to access your firms data and create accurate reports  <i>Speakers: Greg Pratinicki, Product Manager and Jeff Call, VP Technology</i></p>	Astor Lounge
1:45 PM – 3:00 PM	<p><b>SunGard introduces Protegent Compensation</b>  <b>NEW!</b> Join us for an inaugural unveiling of Protegent's new commissions processing solution for sell-side brokerage firms  <i>Speaker: Kelly Carter, Product Manager</i></p>	Astor Ballroom I
3:00 PM – 3:30 PM	<b>Break</b>	
3:30 PM – 4:45 PM	<p><b>FINRA Notice 10-06: Use of Social Networking Sites Protegent Surv / Protegent Customer Onboard</b>  Use of Social Networking Sites FINRA Notice 10-06; Disclosure issues in sales and communications; Retention of communications IA vs. BD  <i>Speaker: Michael Weissmann, Partner Bingham McCutchen LLP</i></p>	Astor Ballroom III
3:30 PM – 4:45 PM	<p><b>Preparing for and Managing SEC Adviser Exams - PTA</b>  This interactive session focuses on SEC investment adviser examination processes, current priorities, common deficiencies, outcomes and best practices for preparing for and managing SEC IA exams  <i>Speaker: Mederic Daigneault, Director Hedge Fund Services,</i></p>	Astor Ballroom II



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	<i>National Regulatory Services</i>	
3:30 PM – 4:45 PM	<b>Best Execution - Protegent Trading Compliance</b> Review of Execution Quality reports, Comparison features and Reg NMS Rules 605/606 reporting <i>Speakers: Greg Pratznicki, Product Manager and Anthony Becker, Senior Business Analyst</i>	Astor Lounge
4:45 PM – 6:00 PM	<b>Break</b>	
6:00 PM –8:00 PM	<b>Welcome Reception</b>	Tropical Pool-Deck

## THURSDAY, APRIL 22, 2010

8:00 AM - 9:00 AM	<b>Breakfast</b>	Ballroom I
9:00 AM - 10:00 AM	<b>General Session: Five Ways the SEC Enforcement Division Has Raised its Game, and How it May Affect You</b> <i>Keynote Speaker: Bruce Carton, President, Docket Media LLC and former SEC counselor</i>	Grand Ballroom II and III
10:00 AM - 11:15 AM	<b>Test Cases - Protegent Trading Compliance</b> An interactive training session highlighting the different modules within PTC <i>Speakers: Greg Pratznicki, Product Manager and Linda Tamburro, Business Analyst</i>	Astor Ballroom II
10:00 AM – 11:15 AM	<b>Feature Overview – External Case Management and Document Handling</b> Learn how to leverage Protegent PTA for handling all employee related offences. Join a discussion on the new Document Handling functionality in PTA 4.0. <i>Speaker: Laurie Mahoney, VP Services</i>	Beechwood
10:00 AM – 11:15 AM	<b>Data Management - Protegent Surveillance</b> Join a group discussion on best practices and tools for effectively managing your firm's data. <i>Speaker: Brian Hoogendam, Principal – SunGard Global Services</i>	Astor Ballroom III
11:15 AM – 11:30 AM	<b>Break</b>	
11:30 AM – 12:30 PM	<b>Protegent Trading Compliance - Regulatory Update Roundtable</b> Roundtable discussion on current and upcoming regulatory activity, trends, and how to deal with these issues <i>Speaker: Greg Pratznicki, Product Manager</i>	Astor Ballroom II
11:30 AM – 12:30 PM	<b>Code of Ethics Monitoring</b> Join a discussion around best practices in Code of Ethics Monitoring using PTA. Additionally, discover new PTA rules, roles and commonly used reports for forensic testing <i>Speaker: Victoria Caviasca, Senior Program Manager</i>	Beechwood
11:30 AM – 12:30 PM	<b>Ad-hoc Reporting Best Practices - Protegent Surveillance</b> Join a roundtable discussion on best practices for Ad-hoc reporting <i>Speakers: Ryan Bruschke, Senior Knowledge Engineer/PM, Jeff Call, VP Technology, Bryan Bateman, VP Business Implementations.</i>	Ferncliff

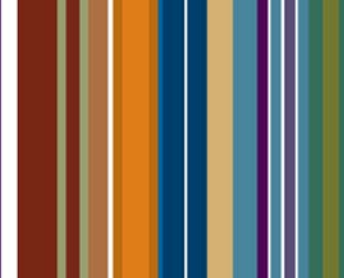


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	<i>Client participants TBD</i>	
11:30 AM – 12:30 PM	<p><b>Integration Touch points – Protegent Customer Onboard</b></p> <p>Take a look at the various integration points associated with Onboard in addition to other potential integrations: EBIX, CIP/OFAC, Recon, NFS/Pershing WebService</p> <p><i>Speakers: Greg Orgill, Senior Manager Implementation, Mark Welton, Senior Project Manager, Brian Hoogendam, Principal – SunGard Global Services and Erik Anderson, VP Implementations</i></p>	Astor Ballroom I
12:30 PM – 1:30 PM	<b>Lunch</b>	Ballroom I
1:30 PM - 2:30 PM	<p><b>General Session: <i>The Surprising Truth About What Motivates Us</i></b></p> <p><i>Speaker: Daniel H. Pink, best selling author, Drive</i></p>	Grand Ballroom II and III
2:30 PM – 3:30 PM	<p><b>Charting the Course - Protegent Trading Compliance</b></p> <p>Introduction and demonstration of new modules. Taking a closer look at new product enhancements: Analytics and OATS</p> <p><i>Speakers: Greg Pratznicki, Product Manager and Anthony Becker, Senior Business Analyst</i></p>	Astor Ballroom II
2:30 PM – 3:30 PM	<p><b>PTA Best Practices</b></p> <p>Moderated round table: Peer-to-peer knowledge sharing on topics submitted by attendees related to PTA best practices</p> <p><i>Moderator: Paul Martin, Senior Sales Executive, Protegent PTA</i></p>	Beechwood
2:30 PM – 3:30 PM	<p><b>Workflow and Rules - Protegent Customer Onboard</b></p> <p>Join a focused group discussion on workflow processes and DPP rules (i.e. AML, CIP, Product principles), subsequent transactions, STP with DTCC</p> <p><i>Speakers: Greg Orgill, Senior Manager Implementation, Brian Hoogendam, Principal – SunGard Global Services and Rex Gooch, Director Product Management</i></p>	Astor Ballroom I
2:30 PM – 3:30 PM	<p><b>Benchmarking Round-table - Protegent Surveillance</b></p> <p>Join peer group round-table discussions on benchmarking. Data submitted by clients in advance</p> <p><i>Speakers: Carla Pipes, VP Account Management and Doug Koci, CFP and Bryan Bateman, VP Business Implementations</i></p>	Ferncliff
3:30 PM – 3:45 PM	<b>Break</b>	
3:45 PM – 4:45 PM	<p><b>Product Roadmap - Protegent Trading Compliance</b></p> <p>Group discussion on features and functionality and the 2010 roadmap</p> <p><i>Speaker: Greg Pratznicki, Product Manager</i></p>	Astor Ballroom II
3:45 PM – 4:45 PM	<p><b>Social Media and Compliance</b></p> <p>Join us in this interactive session as we discuss FINRA member guidelines on social media and the compliance and supervisory challenges they present</p> <p><i>Speaker: Eden Rohrer, Partner , Haynes and Boone</i></p>	Astor Ballroom III
3:45 PM – 4:45 PM	<p><b>Product Initiatives: Protegent Customer Onboard / Protegent Surveillance</b></p> <p>Group discussion on product initiatives and 2010 roadmap</p>	Astor Ballroom I



# SUNGARD COMPLIANCE SUMMIT 2010



	<i>Speakers: Rex Gooch, Director Product Management and Keith Canniff, Director Product Development</i>	
4:45 PM – 5:30 PM	<b>Break</b>	
5:30 PM - 7:30 PM	<b>Closing Reception: Customer Appreciation Event, Sponsored by TD Ameritrade</b>	Grand Ballroom

## FRIDAY, APRIL 23, 2010

8:00AM - 9:00AM	<b>Continental Breakfast</b>	Astor Terrace
9:00AM - 12:00PM	<b>Exclusive one-on-one sessions with SunGard members</b> will be held during this time for those interested in scheduling a meeting. To schedule, contact <a href="mailto:Christine.Ferguson@sungard.com">Christine.Ferguson@sungard.com</a>	TBD
	<b>Thank you for your participation. Have a safe trip home!</b>	

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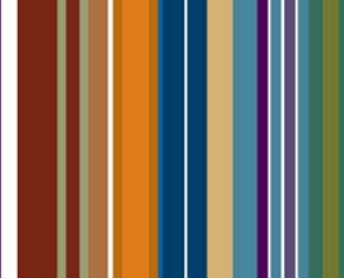
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