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**RIMES  
Forum  
New York**

## **Keeping Up with Compliance** Leveraging the Latest Solutions in RegTech

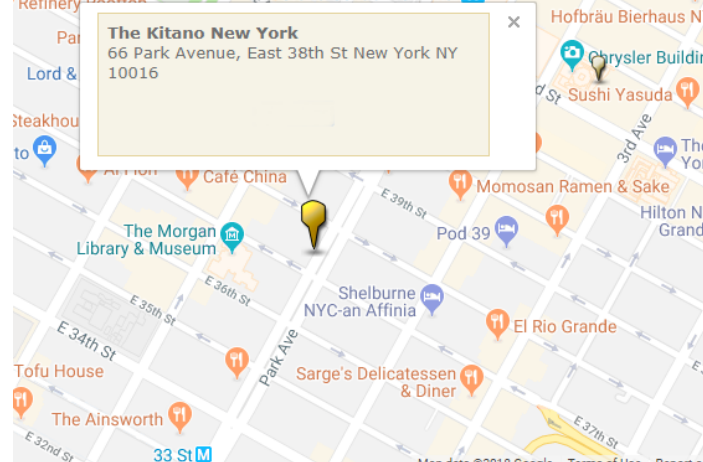
June 13, 2018

12 - 5 pm followed by cocktail reception

**The Kitano Hotel**  
**66 Park Avenue, East 38th St New York NY 10016**

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Here's the confirmed agenda for our Compliance Forum, taking place next Wednesday, June 13 between 12-5pm in New York. The event will include a key-note by Charles Riely, Assistant Director, U.S. Securities and Exchange Commission.



Please join other senior level operations, data management, risk, performance and compliance decision makers for an afternoon of debate, networking, problem-solving and learning, as we navigate through the latest challenges facing the industry. Registration is complimentary for investment managers, banks and insurance companies \*.

## Agenda

- |                       |   |
|-----------------------|---|
| <b>12.00 - 1.00pm</b> | <b>Registration &amp; Lunch</b>   |
| <b>1.00 - 1.15pm</b>  | <b>Opening Remarks</b>  |
| <b>1.15 - 2.10pm</b>  | <b>Keynote Address</b> <ul style="list-style-type: none"><li>- Charles Riely, Assistant Director, U.S. Securities and Exchange Commission</li><li>- Danielle Tierney, Senior Analyst, Aite Group</li></ul>  |
| <b>2.10 - 3.10pm</b>  | <b>Industry Panel Discussion</b> <ul style="list-style-type: none"><li>- Jon Hantler, Senior Compliance Officer, OZ Management</li><li>- Antonia Savaria, Attorney &amp; Founder, Atlantia Advisers</li><li>- Bruno Piers de Raveschoot, COO - Regulatory Division, RIMES</li></ul> |
| <b>3.10 - 3.30pm</b>  | <b>Coffee Break &amp; Networking</b>  |
| <b>3.30 - 4.25pm</b>  | <b>Roundtables / Q&amp;A</b>  |
| <b>4.25 - 4.50pm</b>  | <b>RegFocus Market Surveillance Update</b> <ul style="list-style-type: none"><li>- Bruno Piers de Raveschoot, COO - Regulatory Division, RIMES</li></ul>  |
| <b>4.50 - 5.00pm</b>  | <b>Closing Remarks</b> <ul style="list-style-type: none"><li>- John Farris, EVP Head of Sales - North America, RIMES</li></ul>  |