North American Trading Architecture Summit 2014

April 15, New York
Marriott Marquis Hotel

Bringing together over 400 senior trading and infrastructure executives to discuss the latest business, operational and technological challenges driving the financial IT industry.

- Automated trading technology
- CEP and low-latency
- Intra-day risk management
- OTC derivatives and SEFs
- Infrastructure and emerging technologies
- IT transformation and innovation

Speakers include:

**Morning keynote:**
- Sean Mahon, Senior Vice President and Chief Technology Officer, Technology Services Group, FEDERAL RESERVE BANK OF NEW YORK
- Takayoshi Wiesner, Vice President, MORGAN STANLEY
- Ed Simmons, Executive Director, UBS
- Sreedhar Tulluri, Director, MERRILL LYNCH

**Afternoon keynote:**
- Gregg E. Berman, Ph.D., Associate Director, Division of Trading and Markets, U.S. SECURITIES AND EXCHANGE COMMISSION
- Brij Agarwal, Executive Director, JP MORGAN ASSET MANAGEMENT
- Krupakar Pasupuleti, Vice President, Multi-Asset Algorithmic Trading, WELLS FARGO SECURITIES
- Neeraj Hegde, Vice President, SOCIETE GENERALE

Panel sponsors:

- AZUL SYSTEMS
- EQUINIX
- Redline Trading Solutions
- Software AG
- TIBCO

Co-sponsors:

- Anindimaedicinedoctor
- CenturyLink
- Quartet FS
- Gigaspaces

Hosted by:

waterstechnology.com/natas
Dear Colleague,

On behalf of WatersTechnology, I am honored to announce our 4th annual North American Trading Architecture Summit, to be held on April 15 at the Marriott Marquis hotel in New York.

The financial IT industry is in the midst of technological modernization with a view to boosting front-office productivity. Technology is emerging as a key enabler and differentiator to help you stay ahead of the curve. The regulatory landscape may seem less cloudy now, but it’s certainly still challenging.

The day begins with a morning keynote on lessons learned in combatting cyber threats by Sean Mahon from the FEDERAL RESERVE BANK OF NEW YORK and continues with an exclusive C-level panel which will address the latest IT challenges, IT investment opportunities and technology trends impacting business performance. Also, the afternoon keynote, delivered by Gregg E. Berman from the U.S. SECURITIES AND EXCHANGE COMMISSION (SEC) will discuss the intersection of market technologies and market regulation.

Building on the success of last year, the program comprises two streams. The trading technology stream will address the best of breed technologies in automated trading, the most up-to-date strategies for an efficient trading life cycle and advances in intra-day risk management. The enterprise infrastructure stream examines high performance infrastructure, cloud computing as a business enabler and best strategies for IT transformation.

Attracting 450+ trading technologists and IT leaders, this event offers you an unrivalled opportunity to discuss your business, technological and operational challenges, network with your peers and acquire takeaways to implement back in the office.

I look forward to welcoming you to the event on April 15.

With warm regards,

Anthony Malakian,
US Editor, WATERS and WATERSTECHNOLOGY.COM

Who should attend?

- Chief Information Officer (CIO)
- Chief Technology Officer (CTO)
- Chief Operating Officer (COO)
- Global Head of Technology
- Managing Director/Director/ Vice President of Technology
- Chief Architect
- Head of High Performance Computing (HPC)
- Head of Grid Computing / Grid Program Manager
- Head of Electronic Trading
- Global Head of E-Commerce
- Head of Algorithmic Trading / Product Development
- Head of Quantitative Trading Strategy
- Head of Market Structure
- Head of Electronic Execution
- Head of Client Connectivity
- Head of Risk Technology / Compliance Technology
- Head of Enterprise Architecture
- Head of Operations
- Head of Trade Processing and Settlement
- Global Head of Market Data
- Chief Data Officer / Head of Data Management
- Head of Market Data Services
- Head of Derivatives
- Data Center Manager
- Head of Data Center Infrastructure / Strategy

What’s in it for you?

- Learn from the morning keynote on best practices to advance cyber threat defence by Sean Mahon, Senior Vice President and Chief Technology Officer, Technology Services Group, FEDERAL RESERVE BANK OF NEW YORK.
- Gain insight on the latest IT strategies from key players in the industry at the exclusive C-level panel.
- Hear the afternoon regulatory keynote address on the diverse uses of technology by Gregg E. Berman, Ph.D., Associate Director, Division of Trading and Markets, U.S. SECURITIES AND EXCHANGE COMMISSION.
- Gain competitive advantage by learning stories of success from leading financial institutions, such as UBS, MORGAN STANLEY, DEUTSCHE BANK, AIG, CITI, BANK OF AMERICA MERRILL LYNCH, BARCLAYS, JP MORGAN, SOCIETE GENERALE and RBS.
- Discover the latest trends in the financial IT industry such as Complex Event Processing, intelligent infrastructure, IT transformation, intra-day risk management and SEFs aggregation technologies.
- Network with senior trading and enterprise architecture leaders from global financial institutions across New York and North America.
Morning Program

08.20  Registration and breakfast

08.50  Welcome remarks:  Anthony Malakian, US Editor, WATERS and WATERSTECHNOLOGY.COM

09.00  Morning Keynote: Security is free: What the Fed has learned in combating cyber-threats
       • Best practices for responding to ever more sophisticated attacks on IT systems
       • How can you reinforce your defenses and safeguard your business?
       • Human vs. technology: which is the bigger threat?

       Sean Mahon, Senior Vice President and Chief Technology Officer, Technology Services Group, FEDERAL RESERVE BANK OF NEW YORK

09.30  C-level roundtable: Enabling differentiation through IT transformation and innovation
       • IT budgeting and spending: What are the most profitable investments in trading technology? How much should you spend on maintenance vs. innovation?
       • Driving business capability through the regulatory mandate: upgrading systems to meet risk and regulatory requirements
       • Technology as a differentiator to compete: Transforming your technology to increase infrastructure flexibility and propel your IT agility
       • Tablets and smart phones: Are markets ready for a mobile trader?
       • Changing the culture: Optimizing your cost structures to make commercial decisions

       Moderator: Anthony Malakian, US Editor, WATERS and WATERSTECHNOLOGY.COM
       Nancy Selph, Chief Operating Officer, CIPC ASSET MANAGEMENT
       Enrique Smith, Chief Information Officer, CIFC ASSET MANAGEMENT
       Marc Rieffel, Chief Operating Officer and Chief Technology Officer, WORLDQUANT

10.20  Morning break and opportunity to network

STREAM 1: TRADING TECHNOLOGY

10.45  Chairman's opening remarks:
       Rick Aiere, Enterprise Information Management and Architecture, former CREDIT SUISSE

11.00  Panel: The next wave of innovation in trading
       • The next frontier for trading: Quicker decisions through data-driven analytics and better execution with competitive latency at an affordable cost
       • Leveraging social media sentiment data to make the right decisions
       • Front office demands intelligent infrastructure: Advances in automated trading technology, smart algorithms and machine learning
       • Deploying the right technology: Enabling traders to automatically select and implement the optimal algorithmic strategy
       • High performance trading: What are the current offerings and what is next?

       Moderator: Will Mechem, Managing Director, PAN ALPHA TRADING
       Keyvan Azami, Director, BARCLAYS
       Mark Skalabrin, Chief Executive Officer, REDLINE TRADING SOLUTIONS

11.40  Case study: To be announced

STREAM 2: ENTERPRISE INFRASTRUCTURE

10.45  Chairman's opening remarks:
       Garrett Nenner, Managing Director, ROENBLATT SECURITIES

11.00  Panel: Modernizing your infrastructure to embrace emerging technologies
       • The sky is the limit: Integrating emerging technologies (i.e. cloud, big data) with existing infrastructure
       • Data centers: Improving efficiency, flexibility and responsiveness
       • Implementing cloud computing, NoSQL, what is the next frontier?
       • IT benchmarking: Gaining insights to drive the right IT investments
       • Running IT like a business: Measuring the performance of your technology across the organization

       Moderator: Howard Halberstein, Engineering Lab Manager, MORGAN STANLEY
       Tara L. Castelberry, Head of Architecture - Architecture Services, Americas IT, AIG
       Enrique Hablitschek, Senior Business Development Manager, EQUINIX

12.10  Case study: To be announced

Panel: Cloud as a business enabler
       • The next generation of cloud computing strategies: Leveraging cloud and implementing an efficient and profitable strategy
       • Practical steps to overcome the most common barriers: Costs, cyber security, risks, reliability, integration, stability, compliance
       • Maximize your ROI on cloud: Calculating your real value, costs, risks and savings
       • Outsourcing critical business functions: What are the mission critical business functions being moved to the cloud? What is the business case for moving them there?
       • Using BYOD with cloud: Building a secure and robust BYOD strategy to minimize your IT risk

       Moderator: Graham Hill, Senior Vice President, CITT
       Ed Simmons, Executive Director, UBS
       Prashant Choudhary, Vice President, DEUTSCHE BANK
### Afternoon Program

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
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<tbody>
<tr>
<td>1.00</td>
<td>Lunch break and opportunity to network</td>
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<tr>
<td>2.00</td>
<td><strong>Case study:</strong> To be announced</td>
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<tr>
<td>2.30</td>
<td><strong>Panel:</strong> Effective and intra-day risk management to support your trading and risk decisions</td>
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<td>- Eliminate your risks and optimize your decision making through high quality, clean and accurate data</td>
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<td>- Lessons learned from equities and the 'electronification' of derivatives</td>
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<td>- Aggregating a firm wide view of your key risk indicators via CEP</td>
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<td>- Measuring pre-trade risk and applying predictive analytics to ensure your profitability</td>
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<td>- Overcoming the pre-trade barriers: What are your compliance and performance implications?</td>
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<td><strong>Moderator:</strong> Takayoshi Wiesner, Vice President, MORGAN STANLEY</td>
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<td>Richard Tibbetts, CTO Event Processing, TIBCO</td>
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<td>Chris Steenbock, Head of Sales and Business Development, Americas, QUARTET FS</td>
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<td>Senior Executive, SOFTWARE AG</td>
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<td>3.20</td>
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<td><strong>Panel:</strong> Today's OTC markets landscape and the evolution of derivatives</td>
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<td>- The impact of Swap Execution Facilities (SEF's) six months on - what's been happening?</td>
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<td>- How are SEFs impacting on sell side firms technology requirements?</td>
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<td>- Have SEF’s reduced systemic risk? What tools and technologies are available to help with optimization across the organization?</td>
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<td>- Determining your aggregation strategies: What does the aggregation of SEFs mean for dealers, Buy-Side, prop trading firms?</td>
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<td>- SEFs aggregation technology: Best techniques to manage different streams and optimize your connectivity</td>
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<td><strong>Moderator:</strong> Neil J. Monaghan, Director, Citi Futures &amp; OTC Clearing, CITI</td>
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<td>Hussein Harajli, Vice President, BANK OF TOKYO-MITSUBISHI</td>
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<td>5.10</td>
<td>Chairperson’s closing remarks</td>
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<td>5.15</td>
<td>Cocktail reception</td>
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### Registration

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<tr>
<th>Category</th>
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<tr>
<td>Standard price</td>
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**Qualified financial end-users**

Complimentary

*Qualified financial end-users include investment banks, asset managers, institutional investors and hedge funds*

For more details and to register please visit [waterstechnology/natas](http://waterstechnology.com/natas) or email Sam.Lawson@incisivemedia.com.
Azul Systems delivers low-latency Java solutions for capital markets that meet the needs of today’s real-time business. Designed and optimized for x86 servers and enterprise-level workloads, Azul’s Zing is the only Java runtime that supports highly consistent and pauseless execution for high-throughput and GoS-sensitive Java applications. Azul’s enhanced Java technologies also enable organizations to optimize the value of their capital investments while ensuring that their human capital is free to generate new features, unlocking creativity and driving competitive advantage.

azulsystems.com

Equinix, Inc. (NASDAQ: EQIX) IBX data centers provide a neutral meeting place for the world’s electronic trading community in the top 16 global financial markets. Offering a neutral foundation for competition and collaboration Equinix interconnects some 700+ trading venues, market data providers and market participants inside the world’s largest multi-asset financial ecosystem.

equinix.co.uk

Quartet FS provides business users with instant insight into operational processes for timely and context-aware decision-making. Using our real-time aggregation and analytics engine ActivePivot, business users are able to optimize their activity by extracting actionable intelligence from massive amounts of fast-moving data. Created in 2005, Quartet FS is a privately owned software vendor with offices in New York, Paris, London and Singapore. With over 30 live implementations in large international corporations, the company serves customers in various industries, including financial services.

quartetfs.com

Redline Trading Solutions designs and deploys ultra low latency market data and order execution systems that enable our financial services customers to excel in today’s equities, options, futures, and FX markets. Our InRush 3 Accelerated Ticker Plant directly connects and manages multiple execution feeds and distributes a full-depth view across markets to high-performance client trading applications in less than 1.2 microseconds. Our Execution Gateway provides accelerated order placement, tracking, and management to multiple execution venues simultaneously. With support for 30 foreign exchange liquidity providers around the world, FX traders using Redline have insight to the most up-to-date currency pricing and can submit their orders ahead of competitors. InRush 3 and Execution Gateway are highly optimized for platforms based on the Intel Xeon E5 processor series and advanced network adapter technologies. They can be deployed in both single-server and cross-connected solutions to accelerate the entire tick-to-trade path.

redlinetrading.com

Software AG helps organizations achieve their business objectives faster. The company’s big data, integration and business process technologies enable customers to drive operational efficiency, modernize their systems and optimize processes for smarter decisions and better service. Building on over 40 years of customer-centric innovation, the company is ranked as a “leader” in fourteen market categories, fueled by core product families Adabas-Natural, ARIS, Alfalet, Apana, Terracotta and webMethods. Software AG has more than 5,200 employees in 70 countries.

softwareag.com

TIBCO Software Inc. (NASDAQ: TIBX) is a provider of infrastructure software for companies to use on-premise or as part of cloud computing environments. Whether it’s optimizing claims, processing trades, cross-selling products based on real-time customer behavior, or averting a crisis before it happens, TIBCO provides companies the two-second advantageTM - the ability to capture the right information at the right time and act on it preemptively for a competitive advantage. More than 4,000 customers worldwide rely on TIBCO to manage information, decisions, processes and applications in real time.

tibco.com

CenturyLink Technology Solutions, which operated as Savvis until Jan. 21, 2014, delivers innovative managed services for global businesses on virtual, dedicated and colocated platforms. With deep IT infrastructure experience and an advanced network at the foundation, CenturyLink Technology Solutions services are enhanced by flexible automation and customization choices, enabling enterprises to focus on business results and advancements for their customers. CenturyLink Technology Solutions accolades include being named the No. 2 retail colocation provider by Synergy Research Group and Frost & Sullivan and earning cloud and managed hosting leadership recognition from leading industry analyst firms. CenturyLink Technology Solutions is an operating segment within CenturyLink, an S&P 500 company listed among the Fortune 500 list of America’s largest corporations.

centurylink.com

GigaSpaces Technologies provides software middleware for deployment, management and scaling of mission-critical applications on cloud environments through two main product lines, XAP In-Memory Computing and Cloudify. Hundreds of Tier-1 organizations worldwide are leveraging GigaSpaces’ technology to enhance IT efficiency and performance, from top financial firms, e-commerce companies, online gaming providers, healthcare organizations and telecom carriers. GigaSpaces was founded in 2000 and has offices in the US, Europe and Asia.
gigaspaces.com

Sponsorship Information
If you would like to come on board as a sponsor for the North American Trading Architecture Summit 2014, please contact:

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REGISTRATION

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HOW TO BOOK

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VENUE

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