

American Conference Institute's Conference on:



WOMEN LEADERS IN FINANCIAL SERVICES LAW

Increasing the Prominence of Women in the Financial Services Legal Community through Substantive Legal Discussion, Professional Development, and Woman-to-Woman Networking

June 15, 2015 (Workshops: June 16) • The Carlton • New York, NY

Earn
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ETHICS
Credits

Hear from some of the most influential women enforcing the laws governing financial services companies:

Polly Greenberg
Chief, Major Economic Crimes Bureau
New York County District Attorney's Office

Sharon Cohen Levin
Chief, Money Laundering & Asset
Forfeiture Unit
U.S. Attorney's Office for the Southern
District of New York

Valerie A. Szczepanik
Assistant Director, Asset Management Unit,
Division of Enforcement
U.S. Securities and Exchange Commission

Sung-Hee Suh
Deputy Assistant Attorney General,
Criminal Division
United States Department of Justice

Distinguished Co-Chairs:

Ellen L.S. Koplou
Executive Vice President, General Counsel,
and Secretary
TD Ameritrade Holding Corporation

Wanji J. Walcott
Managing Counsel,
General Counsel's Office
American Express

Jonice Gray Tucker
Partner
BuckleySandler LLP

Network with financial services industry leaders from:

ADP, Inc.	Ingenico Payment Services	Prudential Financial, Inc.
American Express	JPMorgan Chase & Co.	RBC Capital Markets
Bank of America Merrill Lynch	Marqeta, Inc.	TD Ameritrade Holding Corporation
BNY Mellon	MassMutual Financial Group	Thrivent Financial
Citigroup Inc.	National Creditors Connection, Inc.	Tishman Speyer
Deutsche Bank AG	Phoenix Capital, Inc.	Wells Fargo
Fidelity Investments	The PNC Financial Services Group, Inc.	<i>and many more...</i>
Green Tree Servicing LLC		

At this event, a stellar array of General Counsel and leaders of the financial services legal bar unite to empower women in the financial services space:

- Featuring a keynote address by Margaret "Peggy" Foran, Chief Governance Officer, Vice President and Corporate Secretary at Prudential Financial, Inc.
- Issue spotting: updates on the substantive legal developments affecting financial services companies in 2015 and beyond including consumer finance class action trends and cyber security and data protection
- Advancing in the financial services legal community: creating and sustaining a robust network and overcoming implicit gender bias
- Developing natural leadership traits and communication skills necessary for continued success
- Building and cultivating a personal brand to carve out your space
- Defining success for yourself and making the most out of both life and career in the increasingly hectic financial services legal world

Plus two half-day sessions designed for maximum networking and creating a candid dialogue in a less formal setting:

- A** "I Wish Someone Had Told Me": Advice from Financial Services General Counsel on Embracing Influence and Power and Running a Successful Legal Department
- B** Professional Development and Coaching for Women Leaders: Improving Negotiation, Public Speaking, and Crisis Management Skills

In 2014, women lawyers earned approximately 83% of what their male counterparts earned. The financial services legal industry, with its strong representation of women in upper management positions including General Counsel, Chief Legal Officer, and Chief Compliance Officer, is prime ground to stage a cultural shift.

Dear Colleague,

Based on industry demand, ACI is pleased to present its inaugural **Women Leaders in Financial Services Law** conference, a forum aimed at promoting woman-to-woman networking and mentorship and facilitating high-level discussion of the challenges and opportunities facing like-minded women in the financial services legal community. Tailored to empower women in the financial services legal community and to give women the skills necessary for continued success, this is a unique opportunity to network with and engage in candid discussion with leaders from financial services companies including **American Express, Bank of America Merrill Lynch, BNY Mellon, Deutsche Bank AG, JPMorgan Chase & Co., RBC Capital Markets, Wells Fargo**, and more.

Engage in woman-to-woman networking and mentorship aimed at increasing the prominence of women in leadership positions in the financial services legal space.

Despite diversity initiatives and a marked increase in women in leadership roles, the statistics show that full acceptance still manages to elude women in the profession overall. It is time to address the elephant in the room: the legal playing field has been leveled over the course of the last few decades, so why do so many women in the financial services space still feel that they need to work harder than their male counterparts to break into an old boys' club? **It is a clear business imperative that financial services companies and the law firms representing them must attract and retain female talent.** While there are no easy answers, this conference will help form new connections amongst women leaders as well as provide a forum for candid discussion of gender stereotypes and other implicit obstacles to advancement.

Position yourself as a leader while taking part in high-level discussion of the key legal developments for financial services companies.

In addition to the networking opportunities and discussions of professional development issues, this is also an opportunity to hear from women leaders at the DOJ and other government agencies about their key priorities vis-à-vis financial services companies. Take advantage of this collegial atmosphere and engage in discussion of the year's biggest financial services legal developments. All presentations, a mixture of both professional development and substantive legal topics, will be tailored to give women the skills and contacts necessary for continued success in the financial services legal world including updates on **consumer finance class actions, Dodd Frank implementation and regulations, cyber security and data protection, and virtual currency.**

We hope you will join us for the program designed to assist like-minded women in the financial services legal community moving forward in their careers. Register today by calling **888-224-2480**, faxing your form to **877-927-1563** or online at **www.AmericanConference.com/WomenInFinance**.

Very truly yours,



Nicole M. Turner, J.D.
Legal Analyst and Senior Conference Director

Bureau of Labor Statistics, Current Population Survey, "Table 39: Median Weekly Earnings of Full-time Wage and Salary Workers by Detailed Occupation and Sex," *Annual Averages 2014* (2015).

Who You Will Meet:

In-house counsel from:

- Mortgage lenders
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- Banks and thrifts
- Loan servicers
- Loan purchasers
- Investment banks
- Hedge funds
- Private equity

Private practice attorneys specializing in:

- Financial services
- Mortgages
- Bankruptcy
- Securities litigation
- Consumer finance
- Regulations and compliance

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ACI certifies that this activity has been approved for CLE credit by the State Bar of California.

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ACI has a dedicated team which processes requests for state approval. Please note that event accreditation varies by state and ACI will make every effort to process your request.

Questions about CLE credits for your state? Visit our online CLE Help Center at www.americanconference.com/CLE

Day 1 – Monday, June 15, 2015

7:45 Registration and Networking Breakfast

8:30 **Co-Chairs' Introductory Remarks**

Ellen L.S. Koplou

Executive Vice President, General Counsel, and Secretary
TD Ameritrade Holding Corporation (Columbia, MD)

Wanji J. Walcott

Managing Counsel, General Counsel's Office
American Express (New York, NY)

Jonice Gray Tucker

Partner
BuckleySandler LLP (Washington, DC)

8:45 **Welcoming Exercise: Building and Cultivating a Personal Brand to Carve Out Your Space in the Financial Service Legal World**

Danielle Ducre Rawls

Corporate Attorney – Litigation
Green Tree Servicing LLC (St. Paul, MN)

Elizabeth T. Davy

Partner
Sullivan & Cromwell LLP (New York, NY)

In this icebreaking session, our session leaders will take you through an exercise in concisely and effectively communicating who you are and highlighting your unique talents and abilities to your peers, employers, and clients. Maximize your leadership potential and learn how to distinguish yourself based on your strengths, passions, values, and goals.

9:15 **Keynote Address**

Margaret "Peggy" Foran

Chief Governance Officer, Vice President and Corporate Secretary
Prudential Financial, Inc. (Newark, NJ)

10:00 Morning Coffee Break

10:15 **No Ceilings: Increasing the Prominence of Women in Leadership Positions and Empowering Women in the Financial Services Legal Community**

Allison Bishop

Director, Global Client Strategy
Bank of America Merrill Lynch (New York, NY)

Alice S. Wang

Vice President and General Counsel
National Creditors Connection, Inc. (Lake Forest, CA)

Dawn Steele

Vice President, Global Anti-Money Laundering/Trade Sanctions Officer
ADP, LLC (San Dimas, California)

Wanji J. Walcott

Managing Counsel, General Counsel's Office
American Express (New York, NY)

Jana Cohen Barbe

Partner and Member of the Board
Dentons (Chicago, IL)

- Examining the representation of women throughout the financial services legal community: in-house, law firm, government, and consultants
- Reaching the top: taking a current look at the career paths of women in leadership positions throughout the community and hearing their advice on embracing power and getting a seat at the table
- Building and managing relationships with government authorities and regulators
- Exploring the challenges and opportunities for in-house and law firm attraction and retention of female talent
- Hiring managers' perspective: how to replenish the talent pipeline with high-performing lawyers who have the potential and the desire to advance into leadership roles in the future
- Discussing which diversity initiatives are working and designing sustainable diversity programs for financial services companies and the outside law firms representing them

11:15 **Advancing in the Financial Services Legal Community: Overcoming Implicit Gender Bias and Creating and Sustaining a Robust Network**

Alina E. Casner

Managing Director & Managing Counsel
BNY Mellon (New York, NY)

Erika B. Engelson

Director and Counsel, Litigation and Regulatory Investigations
Deutsche Bank AG (New York, NY)

Chinwe I. Esimai

Director and Head of Global Anti-Bribery & Corruption (AB&C) Compliance
Citigroup Inc. (Long Island City, New York)

Pia Flanagan

Vice President, Corporate Secretary and Assistant General Counsel
MassMutual Financial Group (Springfield, MA)

Moderated by:

Abby F. Rudzin

Partner
O'Melveny & Myers LLP (New York, NY)

- Paradigm shift: challenging gender stereotypes and creating an "old girls' network" or "power circle" of women leaders to tap into
- Recognizing seemingly commonplace or unconsciously biased attitudes which may be more damaging than overt acts of discrimination to careers and the bottom lines of businesses
- Candidly discussing the common stereotypes and archetypes facing both men and women in the legal community: what has worked for similarly situated women lawyers in the financial services industry when faced with any gender-specific challenges?
- Examining how personality traits revered in male attorneys (directness, frankness, forthrightness) might be perceived as rude, overly aggressive, or abusive in their female counterparts
- Developing and sustaining sponsorship and mentor and mentee relationships to progress in your career and support future leaders
- The legal sorority: Cultivating relationships with similarly situated women and taking an supportive rather than a competitive approach to facilitate the trust necessary to speak up
- Fostering relationships with our male and female colleagues to work towards a mutually respectful and beneficial working relationship

12:15 **Lunch and Expert Networking Roundtables**

Build your network and learn informally during lunch as you sit at the table of your choice and discuss the financial services substantive law issues that are most important to your daily life. Attendees will have an opportunity to reserve their table at the beginning of the conference

- 1) Regulatory
- 2) Enforcement
- 3) Litigation
- 4) Transactional

1:15 **Spotlight on Women Power Players in Government: Shaping the Future of Financial Services Law**

Polly Greenberg
Chief, Major Economic Crimes Bureau
New York County District Attorney's Office
(New York, NY)

Sharon Cohen Levin
Chief, Money Laundering & Asset Forfeiture Unit
U.S. Attorney's Office for the Southern District of New York
(New York, NY)

Valerie A. Szczepanik
Assistant Director, Asset Management Unit, Division of Enforcement
U.S. Securities and Exchange Commission (New York, NY)

Sung-Hee Sub
Deputy Assistant Attorney General, Criminal Division
United States Department of Justice (Washington, DC)

Moderated by:

Seetha Ramachandran
Special Counsel
Schulte Roth & Zabel LLP (New York, NY)

Do not miss this unique opportunity to gain insights from some of the most influential women leaders in government as they discuss their top priorities vis-à-vis the highly regulated and heavily enforced financial services industry for 2015. Moreover, learn about their career paths as they unite to discuss power, progress, and gender politics in this industry.

2:15 **Issue Spotting: Updates on the Substantive Legal Developments Affecting Financial Services Attorneys in 2015 and Beyond**

Taiesha L. McBroom
Senior Counsel
Thrivent Financial (Minneapolis, MN)

Allyson B. Baker
Partner
Venable LLP (Washington, DC)

Sabrina M. Rose-Smith
Partner
Goodwin Procter LLP (Washington, DC)

D. Jean Veta
Partner
Covington & Burling LLP (Washington, DC)

To best position oneself as an industry leader, women in particular need to have the competitive edge by having the big picture view of the most pressing legal developments currently facing financial services companies. In this session, leading attorneys will give you a rundown on the latest trends affecting the future of financial services industry law. Topics to be discussed include:

- Updates on Dodd Frank implementation and regulations
- Cyber security and data protection
- Risks versus rewards with virtual currency
- Too big to fail? Doing Business Post-Volcker Rule
- Consumer finance class actions: what kinds of claims are being brought successfully?
- Consumer protection updates
- Anti-money laundering

3:15 **Afternoon Coffee Break**

3:30 **Cultivating Natural Leadership Traits: Giving Women Attorneys the Communications Skills Necessary for Continued Success in the Financial Services Legal World**

Deanna Ruddock Lindquist
Senior Vice President, Assistant General Counsel and Head of Employment Section
Wells Fargo (Charlotte, NC)

Milana Salzman
Executive Director, Global Anti-Corruption Compliance
JPMorgan Chase & Co. (New York, NY)

Barbara A. Stettner
Partner
Allen & Overy LLP (Washington, DC)

- Beyond leaning in: Presentation and body language tips for making yourself heard and earning authoritative respect amongst your peers and colleagues in the financial services community
- Showing competence and credibility and remaining confident in the face of outmoded gender stereotypes or when you are the only woman at the table
- Advocating for yourself and getting credit where credit is due
- Making sure your contributions and achievements are known
- Knowing when and how to push back when you aren't getting suitable credit
- Business development: Owning your femininity and maintaining authenticity while doing business in a "man's world"
- Recognizing the distinct communication styles between women and men and channeling and harnessing the "people skills" skills that bring success
 - o The ability to collaborate
 - o The ability to guide a team
 - o Empathy and listening skills
 - o Creativity when finding solutions

4:30 **Open Floor Session: Defining Success for Yourself and Making the Most Out Of Both Life and Career in the Increasingly Hectic Financial Services Legal World**

Moderated by:

Christine Ayotte-Brennan
Vice President, Associate General Counsel
Fidelity Investments (Merrimack, NH)

Melissa Chia
Managing Director
Tishman Speyer (New York, NY)

Wanda M. Richards
Senior Counsel
The PNC Financial Services Group, Inc. (Philadelphia, PA)

Debra Lee Hovatter
Member and Co-Chair
Consumer Finance Litigation Practice Group
Spilman Thomas & Battle, PLLC (Morgantown, WV)

Both law firms and corporate financial services law departments have taken steps to accelerate the advancement of women in leadership and have put policies in place to encourage a happier workforce, but unfortunately, these efforts have yet to see great results. In this session, attendees will have an opportunity to discuss as a group the real world challenges we have encountered and how they were handled. While there are no "one true path" on the road to continue increasing the prominence of women in power at financial services companies and the law firms representing them, it will be beneficial to hear common experiences, to frankly discuss some of the obstacles to advancement, and to talk about what has worked for other similarly situated women lawyers in the financial services industry in the quest for career advancement and personal and professional development.

Topics to be discussed include:

- Understanding how the idea of “having it all” distorts the setting of realistic goals and milestones in a robust career
- Putting an effective support system in place to lighten the load both in the office and at home
- Owning and respecting our choices: a frank discussion of the politics of motherhood within the legal culture and how career choices impact the decision whether and when to start a family
- Conquering the feeling of being “out of the loop.” Strategies for updating skills and contacts and reentering the workforce after a leave of absence

- Learning to say no when you can't give 110% on every front: knowing when to put your career to the forefront and when to put your personal life first
- Re-inventing yourself when you are ready for a new challenge internally or externally: leveraging your credentials, skills, experiences, and network to access new opportunities in the financial services world

5:30 Conference Adjourns

Day 2 – Tuesday June 16, 2015 | Post-Conference Working Group

A

9:00 am –12:00 pm

“I Wish Someone Had Told Me”: Advice from Financial Services General Counsel on Embracing Influence and Power and Running a Successful Legal Department

Gizelle Barany
General Counsel
Marqeta, Inc. (Oakland, CA)

Ellen L.S. Koplow
Executive Vice President, General Counsel, and Secretary TD
Ameritrade Holding Corporation (Columbia, MD)

Leesa Logan
Senior Vice President and General Counsel.
Phoenix Capital, Inc. (Denver, CO)

Micah R. Thorner
General Counsel
Ingenco Payment Services (Amsterdam, Netherlands)

Moderated by:

Elizabeth Prewitt
Partner
Hughes Hubbard & Reed LLP (New York, NY)
(Former Assistant Chief, Antitrust Division, United States Department of Justice)

This session will provide mentoring and guidance for attorneys at all stages in their career on advancing within the ranks of the financial services legal world and navigating any challenges along the way. Our panel of leaders will discuss their road to the GC office, advice for shattering the glass ceiling, skills necessary to thrive at the executive level, what they are looking for in relationships with outside counsel and with their legal teams, and the challenges of balancing management of a successful legal department with those of a robust and full personal life. This is a great opportunity to learn and network from the women driving change and delivering results in the financial services world.

12:00 Networking Luncheon for Attendees of Both Workshops

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Wendy Tyler
Director of Sales, American Conference Institute

Tel: 212-352-3220 x5242
w.tyler@AmericanConference.com

B

1:30 pm – 4:30 pm

Professional Development and Coaching for Women Leaders: Improving Negotiation, Public Speaking, and Crisis Management Skills

Nancy R. Amstadt
Senior Counsel and Associate Director
RBC Capital Markets (Cleveland, OH)

Jana J. Litsey
Deputy General Counsel and
Director of Litigation & Regulatory Inquiries
Bank of America (Charlotte, North Carolina)

Julie Crotty, JD, MBA
Senior Consultant
YSC Ltd. (A Global Leadership Consulting Firm)
(Deputy Director of Mediation and Business Strategy, Financial Industry Regulatory Authority (FINRA), 2004-2014)

Paulette Morgan
Partner
Schoeman Updike Kaufman & Stern LLP
(New York, NY)

This session has been specifically designed to facilitate meaningful and tangible development of three areas key to success in a leader: negotiations, public communications, and crisis management. Attend this session led by multiple executive and communications coaches and go back to your company with increased ability to effectively negotiate, to speak confidently before a group, and to manage difficult situations, bringing great value to both yourself and to your organization as you display your new aptitudes in meetings, trainings, client communications, people management, and negotiations going forward.

- Engaging in impactful communication and negotiations
 - o Dealing with stress and stressful situations
 - o Managing difficult people and difficult communications situations
 - o Answering difficult questions
- Exploring the difference between male and female negotiation and communications techniques
 - o Exhibiting the right non-verbal communication and body language
 - o Setting a goal for a negotiation or a speech and achieving your desired objective
 - o Being fully present and authentic and avoiding falling into a role
- Concrete, real-life examples and success stories, as well as critical mistakes to avoid going forward






WOMEN LEADERS IN FINANCIAL SERVICES LAW

Increasing the Prominence of Women in the Financial Services Legal Community through
Substantive Legal Discussion, Professional Development, and Woman-to-Woman Networking

Hear from:

- General Counsel from five financial services companies
- Keynote speaker Margaret "Peggy" Foran, Chief Governance Officer, Vice President and Corporate Secretary at Prudential Financial, Inc.
- Over a dozen senior in-house counsel
- Government officials from agencies including the SEC, DOJ and New York County District Attorney's Office
- Professional coaches
- Leading financial services counsel from around the nation

5 Easy Ways to Register

 MAIL American Conference Institute 45 West 25th Street, 11th Floor New York, NY 10010	 PHONE 888-224-2480	 FAX 877-927-1563	 ONLINE www.AmericanConference.com/ WomenInFinance	 EMAIL CustomerService@ AmericanConference.com
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Venue: The Carlton Hotel
Address: 88 Madison Ave, New York, NY 10016
Reservations: (800) 601-8500 or 212-532-4100

Registration Fee

The fee includes the conference, all program materials, continental breakfasts, lunches and refreshments.

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