

JOINT CFTC-SEC STAFF ROUNDTABLE

IMPLEMENTATION PHASING FOR FINAL RULES FOR SWAPS AND SECURITY-BASED SWAPS UNDER TITLE VII OF THE DODD-FRANK WALL STREET REFORM AND CONSUMER PROTECTION ACT

LIST OF PARTICIPANTS

Day One – Panel One: *Process for Registering and Making Operational Clearing Entities, Trading Platforms, and Data Repositories*

- Chris Edmonds, ICE Trust
- Dan Maguire, LCH.Clearnet
- Sunil Cutinho, CME Group
- Larry Thompson, The Depository Trust & Clearing Corporation
- Lee Olesky, Tradeweb
- Neal Brady, Eris Exchange
- Adam Cooper, Citadel LLC
- Jamie Cawley, Javelin Capital Markets LLC
- Ronald Levi, GFI Group Inc.
- Raf Pritchard, TriOptima - triResolve
- Gary DeWaal, Newedge USA
- Christopher Moran, Nomura Securities International
- Wally Turbeville, Better Markets Inc.

Day One – Panel Two: *Process of Registering and Making Operational Dealers and Major Participants*

- Dan Roth, National Futures Association
- John Horkan, Bank of America Merrill Lynch
- John Gidman, Loomis Sayles & Co.
- Athanassios Diplas, Deutsche Bank
- Alexandra Guest, Barclays Capital
- Steve O'Connor, Morgan Stanley
- Matt Picardi, Shell Energy North America
- Wally Turbeville, Better Markets Inc.

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Day One – Panel Three: *Connectivity and Infrastructure Issues*

- John Omahen, SunGard
- Jeff Gooch, MarkitSERV
- R.J. Cummings, ICE
- Peter Axilrod, The Depository Trust & Clearing Corporation
- Sunil Cutinho, CME Group
- Doug Friedman, Tradeweb
- Ronald Levi, GFI Group Inc.
- Steve O'Connor, Morgan Stanley
- Adam Cooper, Citadel LLC
- Kathryn Beard, BlackRock Financial

Day Two – Panel One: *Implementation of Clearing Mandates*

- Mark Cox, CME Group
- Chris Edmonds, ICE Trust
- Dan Maguire, LCH.Clearnet
- Bill DeLeon, PIMCO
- Joseph Buthorn, BNP Paribas
- Darcy Bradbury, D.E. Shaw Group
- John Nicholas, Newedge USA
- Sam Petersen, Chatham Financial
- Michael Greenberger, University of Maryland School of Law
- Sharon Brown-Hruska, NERA Economic Consulting
- Garry O'Connor, International Derivatives Clearing Group

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Day Two – Panel Two: *Transaction Processing for Swaps and Security-Based Swaps*

- Rick McVey, MarketAxess
- George Harrington, Bloomberg LP
- Henry Hunter, MarkitSERV
- John Omahen, SunGard
- Yves Denizé, TIAA-CREF
- Martin Chavez, Goldman Sachs
- Shawn Bernardo, Tullett Prebon Americas
- Jamie Cawley, Javelin Capital Markets LLC
- Paul Cusenza, Nodal Exchange
- Garry O'Connor, International Derivatives Clearing Group

Day Two – Panel Three: *Implementation of Data Reporting and Dissemination Rules*

- Marisol Collazo, DTCC
- Jeff Gooch, MarkitSERV
- Raf Pritchard, TriOptima North America
- R.J. Cummings, ICE
- Jiro Okochi, Reval
- Bill Thum, The Vanguard Group
- Merritt Thomas, Barclays Capital
- Jim Moran, CME Group
- Steve Joachim, FINRA
- Shawn Bernardo, Tullet Prebon
- Wally Turbeville, Better Markets
- Karla McKenna, International Organization for Standardization

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Day Two – Panel Four: *Considerations with Regard to End Users*

- Peter Shapiro, Swap Financial Group
- William Donovan, U.S. Steel Pension Fund
- Heather Slavkin, AFL-CIO
- Wally Turbeville, Better Markets Inc.
- Russell Wasson, National Rural Electric Cooperative Association
- Joseph Glace, Exelon Corporation
- Sean Cota, Cota & Cota
- Jiro Okochi, Reval
- Verett Mims, The Boeing Company
- Sam Peterson, Chatham Financial