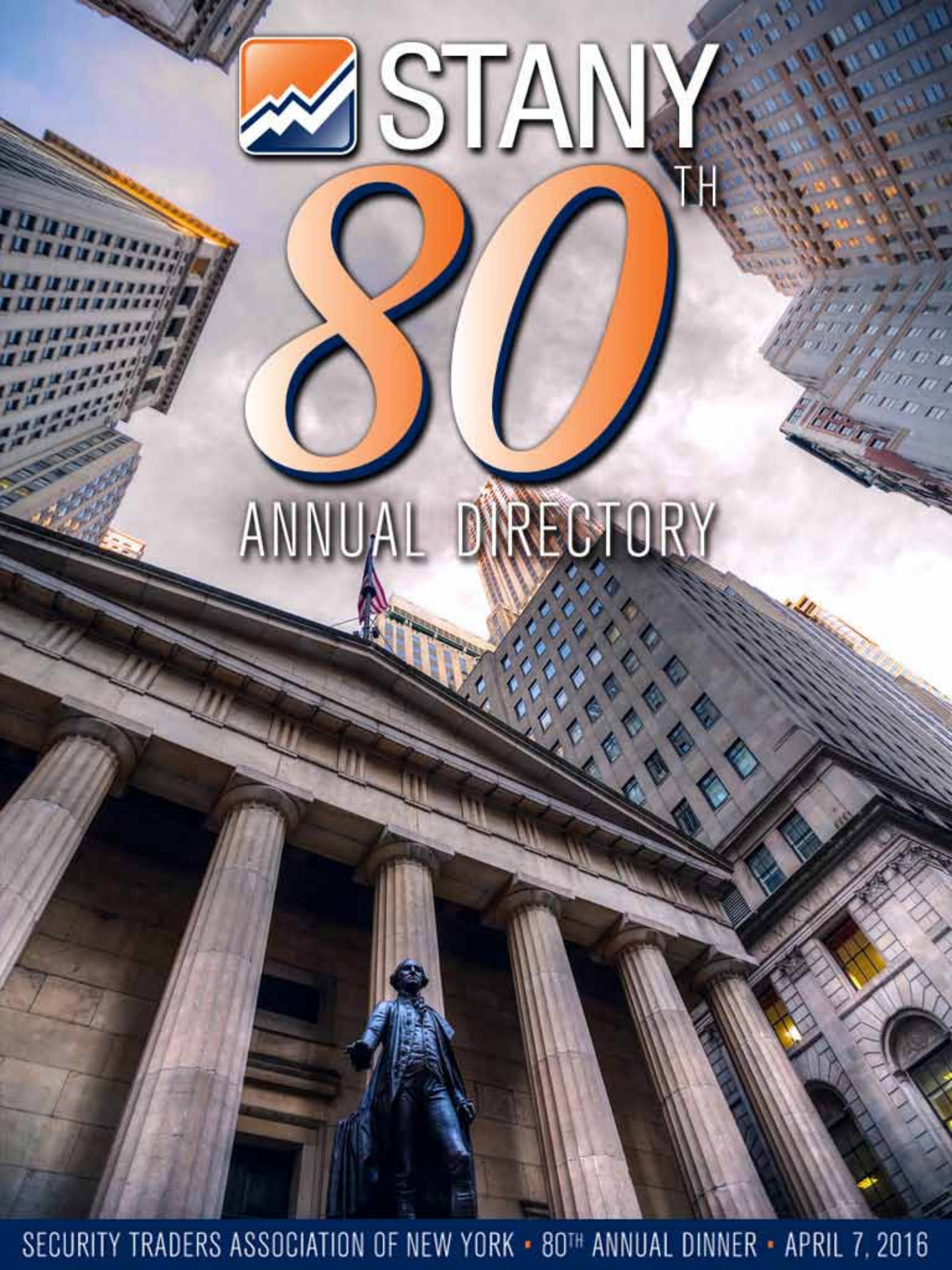




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OTCMarkets



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The Security Traders Association of New York, Inc.

80

2016 Events

80th Annual Conference and Dinner

Three Sixty° | 10 Desbrosses Street | New York, NY
Thursday April 7, 2016

2016 Golf Classic & John Harrington Cup Tournament

Canoe Brook Country Club | Summit, NJ
Monday July 25, 2016

26th Annual International Reception

The Bryant Park Grill | New York, NY
Thursday November 10, 2016

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Chief Executive Officer
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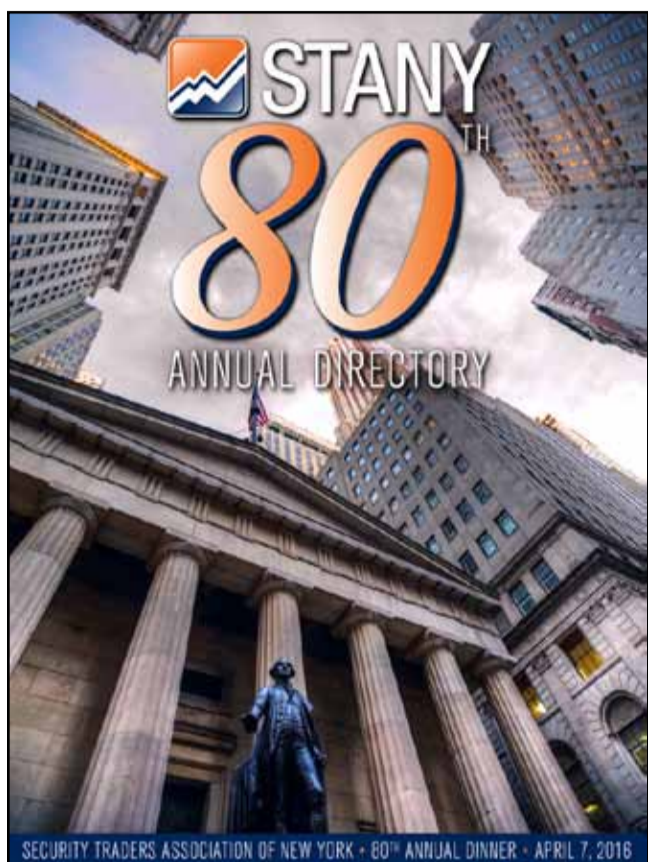
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Security Traders Association of New York

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April 7th, 2016

Dear Friends of the Financial Community,

Today we mark the 80th anniversary of the Security Traders Association of New York with our Annual Conference and Dinner. Given the challenges that our financial community has faced in recent years, we are particularly grateful for the support of the trading community, and our sponsoring firms.

As many of you know, the STANY board has raised the content level provided in our recent conferences, and this year was no exception. We kicked off this year's Conference with an evening event at Google's NY headquarters, featuring a cocktail party and panel discussion on CAT. Corrie Elston, CTO of Google Cloud Platform not only spoke on the CAT panel, but also made a keynote presentation the following day. We examined potential regulatory changes coming soon, including the tick pilot and mark to market. There was an enlightening discussion on the future of crowdfunding and how it may affect raising capital online via Reg D and Reg A+. Our members were given a new perspective on the institutional utilization of ETF's. We took a very close look at the coming changes to the disclosure requirements of Rules 605 and 606. We were treated to an insightful look at the Presidential race and the potential impact it will have to our industry.

We were proud to have our third annual STANY awards to honor Tom Joyce, Executive Chairman at Arxis Capital. Tom was recognized for his lifetime achievement and dedication to STANY. Rick Ketchum, CEO of FINRA, was on hand to accept the award for Outstanding Contribution to the Industry.

This year's "President's Choice Charity", *Madison Square Boys and Girls Club of New York*, provides after-school, Saturday and summer youth development programming to young people ages 6 to 18 in underserved neighborhoods of New York City. At its Clubhouses in Brooklyn and the Bronx, young people build trusting relationships with adults and peers, get academic guidance and emotional support, cultivate their interests, and build a second home that helps them grow and thrive. STANY is proud to be associated with their organization.

I would like to take a moment to thank my fellow board members for their hard work in delivering current and relevant content. I also would like to take a moment to thank Kimberly Unger for her continued dedication to the organization. Lastly, I also would like to thank the panelists for their participation in our conference.

As we face an ever-changing financial environment, I am honored to represent and lead this organization as your President. I hope to see you all back in 2017!

Yours Sincerely,

Chuck Lugay

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April 21, 2016

Dear STANY Members,

It gives me great pleasure, on behalf of the Officers and Governors of the Security Traders Association, to welcome each of you to the Security Traders of New York's 80th Annual Conference. This year's conference continues to focus on the issues confronting trading desks across the US and Canada.

STANY represents a secure anchor in a world of unrelenting financial industry change. This conference brings together the content, contacts and charity that other affiliate conferences strive to match. A diverse association of financial industry practitioners, thought leaders and philanthropists with one goal: Make our Markets Better.

We congratulate Chuck Lugay, the entire STANY Board, Kim Unger and all those that made this conference possible. STA is proud to have two former STANY Affiliate Presidents serve on its National board; William Vance, Imperial Capital and Patrick Armstrong, PrimeEx.

In closing, this year marked the bestowing of the second STANY Lifetime Achievement award. I would like to congratulate Tom Joyce, Chairman of Arxis Capital Advisors LLC and Director of ReFlow Services, LLC and Archipelago, for his dedication to our industry and this association.

Sincerely,

John Russell, Chairman of the Board
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Dear STANY Members, Friends and Generous Sponsors:

The Officers, Directors and staff of STANY wish to offer our sincere appreciation to the members and sponsors who have so generously supported STANY throughout the year. Without your support, STANY could not continue to serve the New York area trading community.

With the help of our members and friends, STANY was able to contribute to multiple worthwhile organizations in 2015- 2016: MDA's Wings Over Wall Street, St. Jude's Children Research Hospital, Susan G. Komen Greater New York City, and Madison Square Boys & Girl's Club among them. We are proud of our charitable efforts and of all our members who contributed their time, resources, and money to these worthwhile causes.

We also wish to thank those of you who participated in, and attended, our programs and events and who supported STANY in countless ways throughout the year. We truly appreciate your continued support and greatly value our relationship with you and your firms.

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80th Annual Conference and Dinner

April 6th, 2016

- 5:00-9:00 **Cocktail Reception with Google**
The Impact of CAT on the Industry: Turning Compliance into Innovation
Moderator: **Bob Pisani**, *CNBC "On-Air Stocks" Editor*
Roman Chwyl, Head of Financial Services Google Cloud, *Google*
Corrie Elston, CTO, Solutions Architect, Financial Services, *Google Cloud Platform*
Joe Mecane, Managing Director, Global Head of Electronic Equities Products,
Barclays
Neil Palmer, CTO, *FIS Advanced Technology*
Brett Redfearn, Global Head of Market Structure Strategy, *JPMC*

April 7th, 2016

- 8:00-8:20 **Registration & Breakfast**
- 8:20-8:30 **Opening Remarks Chuck Lugay, President, STANY**
- 8:30-9:15 **Regulatory Reflections-Perspectives from a Regulator, an Exchange and an Economist**
Moderator: **Tom Jordan**, President and CEO, *Jordan & Jordan*
Frank Hatheway, Chief Economist, *Nasdaq*
Crystal Kroeker, Deputy, Chief Compliance Officer, *Bats Global Markets, Inc.*
David Shillman, Associate Director, Division of Trading and Markets, *U.S. Securities and Exchange Commission*
- 9:15-10:15 **Crowdfunding: The Future of Raising Capital Online via Reg D & Reg A+**
Moderator: **R. Cromwell Coulson**, President & CEO, *OTC Markets Group*
Scott Anderson, General Counsel, *FundAmerica*
Ryan Feit, CEO and Co-founder, *SeedInvest*
Brian Korn, Partner, *Manatt, Phelps & Phillips, LLP*
Anna Pinedo, Partner, *Morrison & Foerster LLP*
- 10:15-10:30 **Networking and Refreshment Break**
- 10:30-11:30 **Institutional Utilization of ETFs: Current Trends and What's Next?**
Moderator: **David LaValle**, *State Street Global Advisors*
Stephen Clarke, CEO, *NextShares*
Samara Cohen, US Head of iShares Capital Markets, *Blackrock*
Damon Walvoord, Co-Head of ETF Group, *Susquehanna International Group*
Doug Yones, Head of Exchange Traded Products, *NYSE*
- 11:30-12:00 **Presentation of 2016 STANY Award**
Presented by Lisa M. Utasi, Director, Senior Trader, *ClearBridge Investments*

Rick Ketchum, CEO FINRA
Outstanding Contribution to the Industry

Security Traders Association of New York

80th Annual Conference and Dinner

April 7th, 2016

Continued from previous page...

- 12:00–12:45 **Presidential Politics 2016 and its Impact of the Markets- a Fireside Chat**
David E. Franasiak, Principal, Williams & Jensen
Matthew Hoekstra, Senior Director of Government Relations, Williams & Jensen
- 12:45–1:45 **Lunch**
- 1:45–2:00 **STA Update** — John Russell, Chairman, STA
- 2:00–2:45 **Equity Market Structure-Mark to Market**
Moderator: **Matthew Lavicka**, COO Equities One Delta Trading, *Goldman Sachs & Co., Inc.*
Stacey Cunningham, Chief Operating Officer, *NYSE (BIO)*
Phil Mackintosh, Head of Trading Strategy & Analysis, *KCG*
Gary Stone, Chief Strategy Officer, *Bloomberg LP*
Dave Weisberger, Managing Director, *Markit*
- 2:45–3:15 **KEYNOTE:**
Gary Chropuvka, Head of the Customized Beta Strategies, Alternative Investment Strategies and Tax-Advantaged Core Strategies, *Goldman Sachs Asset Management*
- 3:15–3:30 **Networking and Refreshment Break**
- 3:30–4:15 **605/606- Is there such a thing as too much disclosure?**
Moderator: **Sayena Mostowfi**, Principal, Head of Equities Research, *TABB Group*
Matt Billings, Senior Vice President Trading Services, *Scottrade*
Michael Harrington, Head of Client Relationships CES, *Citadel Securities*
Simon Spenser, Senior Vice President, *Two Sigma Securities*
Kevin Tyrrell, Director, Head of Quant Solutions Sales, *Bank of America Merrill Lynch*
Joe Wald, CEO, *Clearpool Group*
- 4:15–5:00 **KEYNOTE:**
Corrie Elston, CTO, Financial Services, *Google Cloud Platform*
- 5:00–5:30 **Presentation of 2016 STANY Award**
Presented by Bob Pisani, On-Air Markets Reporter, *CNBC*
- Tom Joyce**
Lifetime Achievement and Dedication to STANY
- 5:30–9:00 **Cocktails and Buffet Dinner and Casino**

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GOLD



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SILVER

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KCG is a securities trading firm committed to innovation, transparency, and always working in our clients' best interests. We have one focus: trading and concentrate on facilitating transactions between buyers and sellers of securities across asset classes. Because we share intellectual capital and technologies across our core competencies – market making, trading services and trading venues – we have the agility to innovate and improve our clients' trading experience.

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BIDS Trading, L.P. is a registered broker-dealer and operator of the BIDS Alternative Trading System (ATS) which was designed to bring counterparties together to anonymously trade large blocks. Developed by a consortium of leading financial services firms, the BIDS ATS resolves the classic paradox of the block trader – the need to find legitimate trading counterparties without prematurely revealing trading intentions. The BIDS sponsorship model offers a low-cost alternative and an excellent commission management tool for the buy-side, providing them the opportunity to find unique liquidity, while paying their sponsoring brokers for research and other services.

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Citi, the leading global financial services company, has approximately 200 million customer accounts and does business in more than 160 countries and jurisdictions. Citi provides consumers, corporations, governments and institutions with a broad range of financial products and services, including consumer banking and credit, corporate and investment banking, securities brokerage, transaction services, and wealth management. Additional information may be found at www.citigroup.com.

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is headquartered in New York and has offices worldwide.

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FIS is a global leader in financial services technology, with a focus on retail and institutional banking, payments, asset and wealth management, risk and compliance, consulting and outsourcing solutions. Through the depth and breadth of our solutions portfolio, global capabilities and domain expertise, FIS serves more than 20,000 clients in over 130 countries. Headquartered in Jacksonville, Fla., FIS employs more than 55,000 people worldwide and holds leadership positions in payment processing, financial software and banking solutions. Providing software, services and outsourcing of the technology that empowers the financial world, FIS is a Fortune 500 company and is a member of Standard & Poor's 500® Index. For more information about FIS, visit www.fisglobal.com

Global Liquidity Partners

Global Liquidity Partners, ("Global") is a technology company providing algorithmic electronic execution services driven by a highly efficient proprietary architecture. Global's trading platform is built on a low latency chassis that eliminates the speed advantage of HFT gamers and combines speed and state-of-the-art decision engine designed to source liquidity while minimizing information leakage. For additional information visit our website at www.globalliquiditypartners.com or call 732-204-8999

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As the equity execution services arm of the Nomura Group, Instinet Incorporated's subsidiaries provide independent, agency-model brokerage services to clients throughout the world. Through its advanced suite of electronic trading tools, experienced high-touch trading group and unparalleled access

to insightful content and liquidity, Instinet helps institutions lower overall trading costs and ultimately improve investment performance. Over the course of its 40+ year history, Instinet has introduced a range of now industry-standard trading technologies as well as the world's first major electronic trading venue and one of the first U.S. ECNs. For more information, please visit www.instinet.com.

Lime Brokerage

LIME BROKERAGE ("Lime") is a financial technology firm focused on providing customized solutions that offer exceptional reliability and scalability with leading low latency access across multiple U.S. markets. Lime offers advanced trading technologies and execution services, providing systematic traders superior access to the most automated, high-volume electronic trading markets. Its mission is to supply its clients with an intelligent trading platform that promotes high-performance through speed, agility, and risk mitigation. Founded in 2000, with offices in New York City, Boston, Chicago, and Los Angeles, Lime was acquired in 2011 by WEDBUSH, Inc., one of the nation's leading full-service financial institutions.

Markit

Markit is a leading global provider of financial information services. We provide products that enhance transparency, reduce risk and improve operational efficiency. Our customers include banks, hedge funds, asset managers, central banks, regulators, auditors, fund administrators and insurance companies. Founded in 2003, we employ more than 4,200 people in 13 countries. Markit shares are listed on Nasdaq under the symbol MRKT. For more information, please visit www.markit.com

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Raptor

Raptor Trading Systems is a leading provider of multi-asset class trading solutions, with over a decade of experience Raptor services a diverse set of clients including broker/dealers, investment and wealth managers providing core services including:

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ADDITIONAL PROFILE

The Nelson Law Firm, LLC

The Nelson Law Firm, LLC provides our clients with expert legal advice in matters of corporate and securities law. Our lawyers provide regulatory counsel and legal representation before the Securities and Exchange Commission, FINRA, the CFTC, and the national securities exchanges. We also have extensive experience in the international securities arena, working with non-U.S. market participants in the U.S. securities markets and with foreign counsel to advise issuers and dealers in overseas markets. Our clients in the financial services industry include

broker-dealers, registered investment advisers, hedge funds, private equity firms, a major securities information service, and individual investors. We also have an extensive background in securities transactions, including public and private securities offerings, formation of public and private investment funds, variable insurance products, and mergers and acquisitions. As a small firm whose attorneys have extensive big firm experience, we combine a sophisticated approach to the practice of law with individual, partner-level attention to each client's matters that our size affords.

A man in a light blue button-down shirt is standing in a trading floor, pointing at a computer monitor. He is smiling and looking towards the monitor. In the background, another man is seated at a desk, looking at a computer screen. The trading floor is filled with multiple computer monitors and desks, with a blurred background showing other people working.

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Presented on April 7th, 2016

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Tom Joyce

Tom Joyce is a recognized leader in the financial services industry with experience in the domestic and international markets, regulatory reform, trading technology and client service. Tom is currently the Executive Chairman of Arxis Capital. Prior to that, he most recently was Chairman and Chief Executive Officer of Knight Capital Group, from which he retired in July of 2013. He joined Knight in June 2002 from Sanford C. Bernstein & Co. where he was Head of Global Trading. Tom is widely credited with rebuilding Knight into an industry leader. Under Tom's leadership Knight became one of the top equity trading firms in the United States, handing over two billion shares daily on a regular basis. He also built up Knight's financial technology expertise, guiding the firm from its manual trading roots to becoming one of the industry's technology leaders. Notably, when the firm suffered a serious trading error in August of 2012, one that jeopardized the firm's future, Tom and his team were able to source several key investors to recapitalize and save the company from bankruptcy. He then led a remarkable comeback, which restored Knight to its preeminent position within the industry.

While at Knight Tom started Direct Edge, now merged with BATs, and its the 3rd largest US stock exchange. Additionally, such successful products as Knight Link, Knight Direct, Hotspot, and Knight BondPoint were developed under his guidance. After a corporate merger with Getco, LLC, Tom decided to retire from Knight.

Prior to his appointment as Sanford Bernstein's Global Head of Trading at the close of 2001, Tom spent close to fifteen years at Merrill Lynch where he managed several major equity businesses.

Tom's most recent position at Merrill Lynch was Head



of Global Equity eCommerce with responsibility for creating the equity trading component of Merrill Lynch's portal for institutional clients. He also co-developed TheMarkets.com, an industry research portal for the institutional equity investor. Tom was responsible for directing the firm's market structure efforts and initiatives with the Securities & Exchange Commission, New York Stock Exchange and NASDAQ. Tom also was involved in many of Merrill Lynch's equity business investments, including acquiring an equity stake in Archipelago and the acquisition of Herzog Heine Geduld. As Head of U.S. Equities for Merrill Lynch from

1996 to 1999, Tom oversaw all aspects of the firm's domestic Institutional equities business which was ranked #1 in the industry. In 1993, Tom inherited a niche cross-border trading business as Head of European Equities in London for Merrill Lynch. By 1996, the operation had expanded and acquired Smith New Court.

Prior to joining Merrill Lynch Tom had held a series of jobs within the securities industry, commencing in 1977 as a stock broker for Kidder Peabody in Boston, MA.

Tom is a former member of the sifma Board of Directors and of the Nasdaq Board of Directors. He was a member of the Archipelago Board of Directors and served as Chairman of Nasdaq's Quality of Markets Committee. He was a member of NYSE's Market Performance Committee and of the Merrill Lynch Europe Executive Committee. Currently he is on the Board of Sandboxx, LLC; Clearpool, Inc; Special Olympics Connecticut; and the Alfred Smith Foundation. He is also a member of SAG-AFTRA. In 1977, Tom received his degree in economics from Harvard College, where he was also elected to the Harvard Varsity Club's Athletic Hall of Fame.



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Rick Ketchum

Richard Ketchum is Chairman and CEO of FINRA.

Prior to becoming CEO of FINRA, Mr. Ketchum was CEO of NYSE Regulation from March 2006 to March 2009. He served as the first chief regulatory officer of the New York Stock Exchange, a position he began in March 2004. From June 2003 to March 2004, Mr. Ketchum was General Counsel of the Corporate and Investment Bank of Citigroup Inc., and a member of the unit's planning group, Business Practices Committee and Risk Management Committee.

Previously, he spent 12 years at NASD and The Nasdaq Stock Market, Inc., where he served as president of both organizations.

Prior to working at NASD and NASDAQ, Mr. Ketchum was at the Securities and Exchange Commission (SEC) for 14 years, with eight of those years as director of the division of Market Regulation.

In January 2015, Mr. Ketchum was named to the SEC Equity Market Structure Advisory Committee, which will focus on the structure and operations of the U.S. equities markets. In February 2014, Mr. Ketchum was appoint-



ed by President Obama to serve on the President's Advisory Council on Financial Capability for Young Americans. In October 2010, he was appointed by President Obama to serve on the President's Advisory Council on Financial Capability — a group established to promote and enhance financial literacy and capability among Americans. He also served on the Joint Advisory Committee on Emerging Regulatory Issues, a committee created by the SEC and CFTC to review emerging regulatory issues, starting with the market events coming out of the May 2010 so-called "flash-crash."

Mr. Ketchum is Chairman of the FINRA Investor Education Foundation. He also serves on the Board of Directors of Applesseed, a non-profit network of 16 public interest justice centers in the United States and Mexico dedicated to advancing the rule of law, promoting effective government and creating opportunities for individuals' economic advancement.

Mr. Ketchum earned his J.D. from the New York University School of Law in 1975 and his B.A. from Tufts University in 1972. He is a member of the bar in both New York and the District of Columbia.



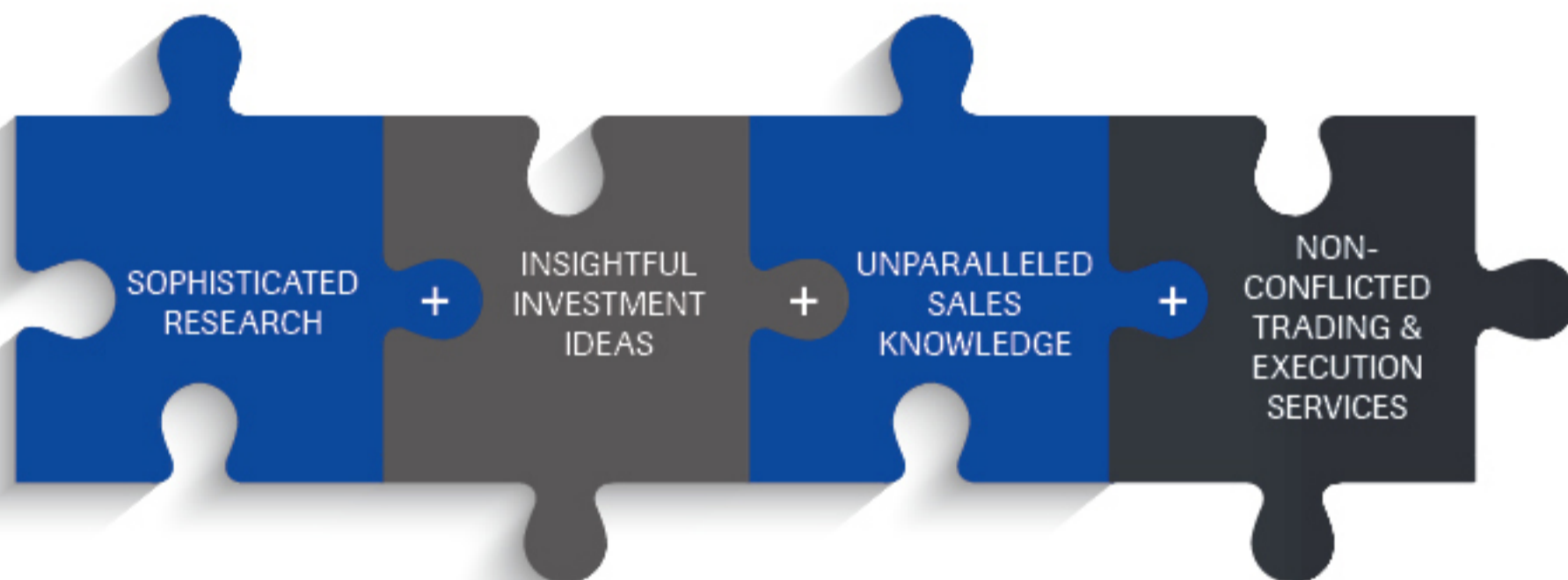
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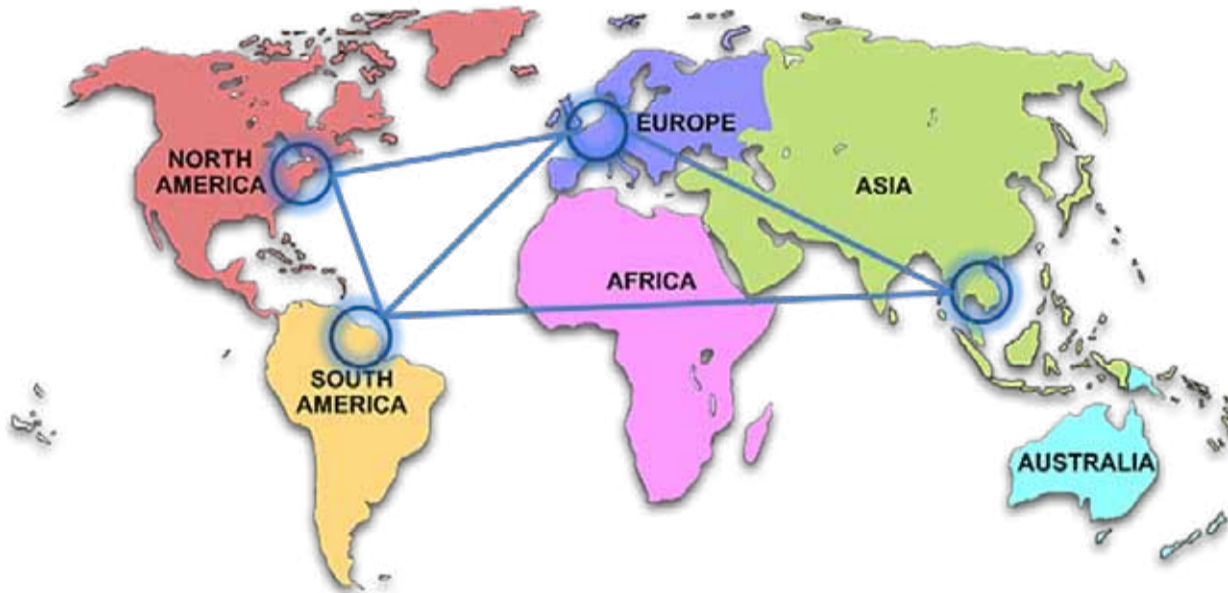
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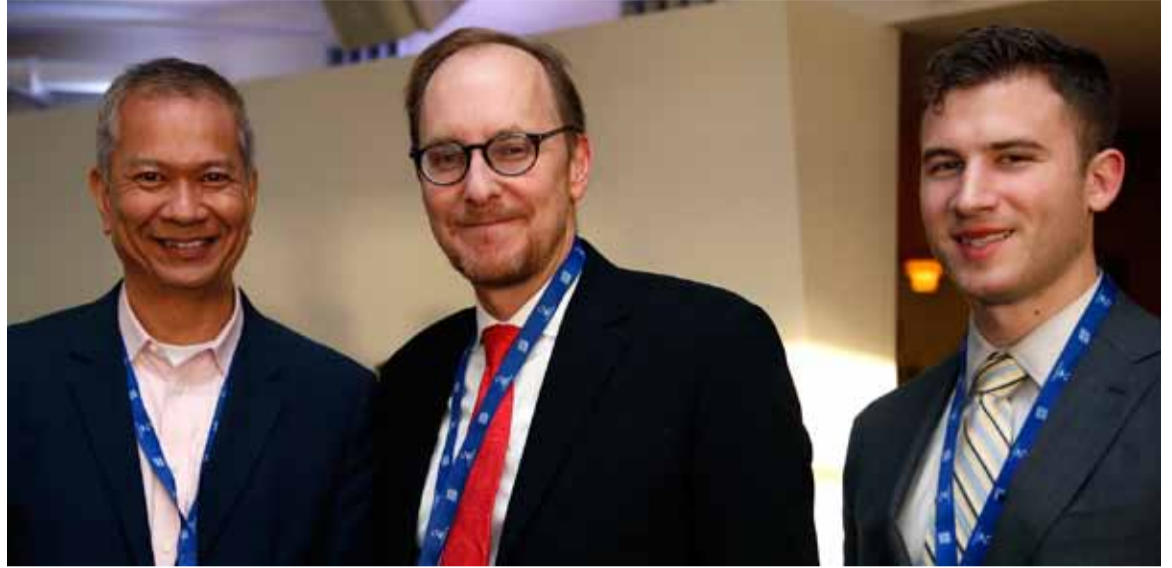


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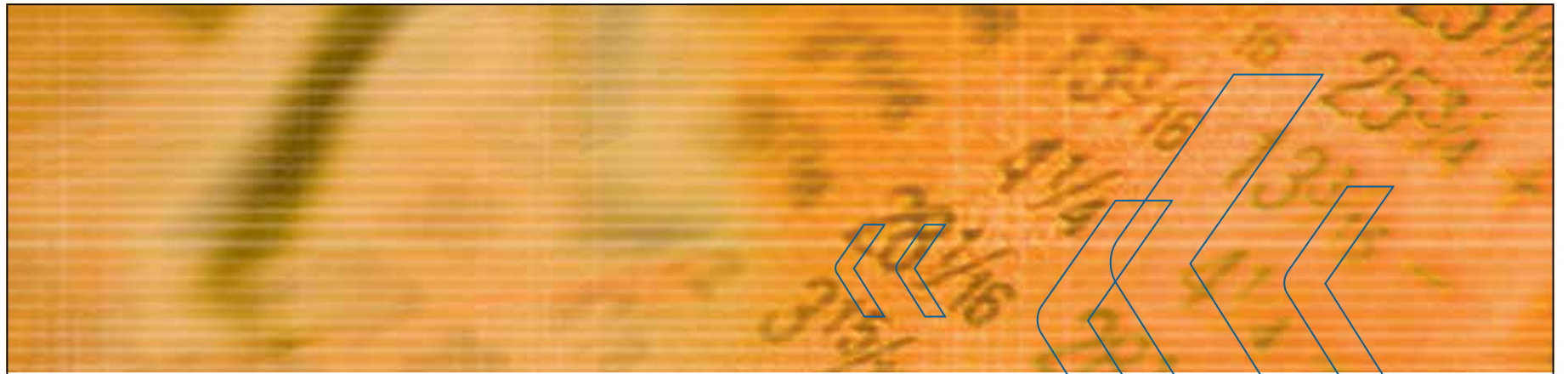
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Security Traders Association of New York

Attendees

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| Adesso, Phillip | Director | E*TRADE Financial Corporation |
| Amari, Greg | Managing Partner | Doshi Consulting Services |
| Andersen, Scott | General Counsel, FundAmerica and Principal, Andersen | FundAmerica & Andersen, PC, a securities law firm |
| Angevine, Chris | Director IEG Trading | Canaccord Genuity |
| Aragones, Doug | Associate Director | UBS |
| Armstrong, Pat | Managing Director | Prime Executions |
| Asciutto, Robert | Manager - Market Technology Sales | CME Group |
| Baine, Marc | Multi Platform Asset Sales | Goldman Sachs |
| Barclay, Mike | Managing Director | ITG Canada |
| Barnes, Meghan | ETF Sales and Trading | Jane Street |
| Barral, Tony | Executive Director | Morgan Stanley |
| Barreiro, John JB | Director of Sales | Bats Global Markets |
| Bartle, Brent | Vice President | Convergex |
| Bassemier, Ryan | Sales Manager | qbeats, inc. |
| Beaver, Mike | Director of Business Development | Lime Brokerage |
| Bega, Jeffrey | Director Business Development and Relationship Management | COR Clearing |
| Bell, Mike | | KCG |
| Benza McDonnell, Kristen | Director of Business Development | Lime Brokerage |
| Billings, Matt | Senior Vice President, Trading Services | Scottrade |
| Black, Thomas | Vice President | Two Sigma Securities |
| Blanche, Taliur | Fox River Execution & SGN Brokerage Services at FIS | FIS Global |
| Bogard, Valerie | Research Analyst | TABB Group |
| Bohrer, James | VP - Enterprise Trading Solutions | Thomson Reuters |
| Bok, Christopher | Consultant | Jordan and Jordan |
| Bonora, Vanessa | Director | Clearpool Group |
| Boone, David | Assistant Publisher | The Bloor Group |
| Boylan, Robert | Equities Division | Goldman Sachs |
| Bracco, Joe | Senior Vice President, Head of Sales | MIAX Options |
| Braun, Armando | Global Head of Sponsorship | qbeats |
| Brodsky, Vlad | Vice President, IT Operations | OTC Markets Group |
| Brown, James | | RBC Capital Markets |
| Bruno, Phil | Head of Sales | National Stock Exchange |
| Buckley, Sean | Managing Director, Sales | Clearpool |
| Bunyatov, Arthur | Vice President, Strategic Sales | ULLINK, Inc. |
| Burke, Bill | Head of Sales and Client Services | Global Liquidity Partners |
| Caley, Ben | Director, CTO | Best Execution and Surveillance Solutions, LLC |
| Callihan, Cody | Vice President, Financial Markets Group | SS&C |
| Canaday, Ed | Director, Corporate Communications | Markit |
| Cannizzaro, Lynn | Director, Trading Services Business Development And Product | Pershing |
| Cappillo, Chris | Director Sales Trader | BTIG LLC |
| Careccio, Toni Ann | Global Equity Sales | Convergex |
| Carleton, Richard | CEO | Canadian Securities Exchange |
| Carolus, Steve | Vice President | INTL FCStone |
| Cashin, Brian | Executive Director / Institutional Sales & Trading | Instinet |

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Attendees

| Name | Title | Company |
|-----------------------|---|---|
| Casuccio, Keith | Managing Director | Goldman Sachs |
| Chropuvka, Gary | Head of Beta Strategies | Goldman Sachs Asset Management |
| Chuck Lugay | Senior Vice Presy | Citadel Securities LLC |
| Clark, Colin | Head Of Equity Strategy And Consolidated Market Data | IntercontinentalExchange NYSE |
| Clark, Doug | Managing Director of Research | ITG |
| Clarke, Stephen | President | NextShares Solutions LLC, an Eaton Vance Company |
| Cochrane, Christopher | Managing Director | Arxis Capital Group LLC |
| Cocuzza, Peter | Business Development / Institutional Sales | Global Liquidity Partners |
| Cody, Bill | Executive Director | Bats Global Markets |
| Cohen, Samara | US Head of iShares Capital Markets | BlackRock |
| Cohen, Steven | | The Lewin Fund |
| Colbath, Clay | Vice President Business Development | EDGAR®Online |
| Connolly, Dan | Global OTC Trader | Citadel Securities |
| Cooleen, Michael | Sales Director | Intercontinental Exchange / IDC |
| Cooper, Jeff | Senior Sales Executive | FIS Global |
| Corr, Gavan | | Ashboru |
| Corrao, Michael | Chief Compliance Officer | OTC Markets Group |
| Coughlin, Sandra | | Lazard Asset Management |
| Coulson, R. Cromwell | President & CEO | OTC Markets Group |
| Cunningham, Stacey | Chief Operating Officer | NYSE |
| Cusumano, Jennifer | Executive Vice President of Operations | Best eXecution and Surveillance Solutions, LLC |
| D'Agostino, Frank | VP_Global Execution Services | Bank of America Merrill Lynch |
| D'Angelo, Nicholas | Vice President | Goldman Sachs |
| Daniels, Richard | Senior Analyst | TABB Group |
| D'Antona, John | | Markets Media |
| D'antuono, Nicole | Director of Sales | Speakerbus |
| DaPuzzo, Peter J. | Former President of Cantor Fitzgerald & CO. Equities | Retired |
| Davidovich, Eugene | Director of Sales | Bats Global Markets |
| De Santis, Pina | VP, Corporate Development | Canadian Securities Exchange |
| Dear, Corbett | | Bloomberg |
| DeMaria, Nick | | |
| DeMaso, Chris | TABB Group | |
| DeNichols, Kaitlyn | Director FX Sales | INTL FCStone |
| Desantis, Jamie | | KCG |
| Di Maria, Roy | Director, Business Development | COR Clearing LLC |
| Dibble, Mary | Founder | Curatia LLC |
| Dolan, Charles | Founder | Global Markets Advisory Group |
| Don, David | Head of Quantitative, Execution and Risk Products | Lime Brokerage |
| Downey, Mike | Senior Director, NYSE Sales & Relationship Management | NYSE |
| Droessler, Joe | COO | Susquehanna International Group |
| Duffy, Daniel | Senior Managing Director, Head of Execution Services | Clearpool |
| Dweck, Jay | | Arxis Capital |
| Eck, Bernie | Sales Trader | Merrill Lynch |

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| Name | Title | Company |
|--------------------|--|---|
| Elphick, Sam | | Markit |
| Engdahl, Eric | Founding Partner | Powerhouse Capital LLC |
| England, Robert | Contributing Writer | Institutional Investor |
| Escott, Emily | Senior Corporate Marketing & Event Management Specialist | CME Group |
| Facchine, Thomas | | |
| Fagenson, Jen | Director Execution Services | Clearpool Group |
| Faust, Randy | Director of Product Development | OTC Markets Group |
| Favors, Dale | Managing Director, Institutional Equities | CastleOak Securities |
| Fazal, Zabi | Senior Sales Executive | FIS Asset Management |
| Feight, Shannon | Electronic Execution Sales & Trading | Bank of America Merrill Lynch |
| Feit, Ryan | CEO and Co-founder | SeedInvest |
| Feng, Julie | | KCG |
| Ferrari, Greg | Managing Director, Transaction Services | NASDAQ OMX |
| Ferstand, Walter | Director | Best Execution & Surveillance Solutions LLC |
| Finkenstadt, Ruth | Director, Head of Americas Electronic Trading | CLSA Americas |
| Finzi, Michel | | |
| Fitzgerald, Walter | CEO | Trafix LLC |
| Flaming, Steven | | TriAct MATCHNow |
| Fleming, Stacie | Director, Communications | Bats Global Markets |
| Flood, David | Best Execution Administrator | The Vanguard Group |
| Flynn, Kerry | | Security Traders Association |
| Franasiak, Dave | Principal | Williams & Jensen |
| Freeman, Mary | Manager-Market Technology Sales | CME Group |
| Friedman, Michael | | Trillium Management |
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| Frisone, Dave | SVP — Head of Sales | Aqua Securities |
| Fugazy, Louis | Publisher—The Mutual Fund Service Guide | SourceMedia |
| Gallagher, Kelly | Electronic Service Group Associate | KCG |
| Garry Thall | Director Financial Services ASMO | Intel |
| Garzon, Laura | Trade Support Analyst | MATCHNow-TriAct Canada |
| Gattoc, Alvin | Vice President | Goldman Sachs |
| Geis, Paul | Account Director | Thomson Reuters |
| Gerace, Anthony | President, Global Financial Services | Perseus |
| Ghorban, Hooman | Director | KCG |
| Gilchrist, John | Executive Vice President | SpeedRoute |
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| Gorder, Mary | Business Development | Vichara Technologies, Inc. |
| Grace, Peter | Managing Director U.S. Equity Sales | NASDAQ OMX |
| Graf, John | Director of US Equity Sales | Bats Global Markets |
| Graham, Bethany | Director Institutional Sales | INTL FCStone Financial Inc. |
| Gregory, Jim | US Sales Director | TNX- Toronto Stock Exchange |
| Grill, Cary | Director of HR/Head Recruiter | Trillium Management |
| Griser, Tobin | | S3 Matching Technologies |
| Hallinger, Tony | Director | Pershing |
| Hamburger, Beth | | |
| Hampton, Johnathan | Director of Sales | REDI Global |

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| Hauck, Alexandra | VP, Product Manager | Pershing |
| Hazzard, Alison | | ULLINK Inc. |
| Hemeid, Jamilla | Sales Executive Institutional and Wholesale Solutions | FIS Global |
| Hempstead, Chris | Head of ETF Sales | KCG |
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| Hock, Steve | Subscriber Services Manager | OTC Markets Group |
| Hodge, Janna | Senior Vice President | NYSE |
| Hogan, Michael | | UBS |
| Hooey, Ron | Director | BNY Mellon Capital Markets |
| Hu, Yue | | |
| Huchro, Ally | | Goldman Sachs |
| Hunnicut, Trevon | Reporter | Thomson Reuters |
| Hutchinson, Julie | US Director - Capital Markets & MarketPrizm | Colt Technology Services |
| Hyde, James | Senior Director | ICE / NYSE Options |
| Iacobelli, Leucio | Director Global Market Making | Arxis Capital Group |
| Iannaccone, Philip | | RBC Capital Markets, LLC |
| Imundi, Frank | | Raptor Trading Systems |
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| Jarnot, Danielle | VP, Institutional Sales & Trading | Aqua Securities |
| Jenkins, Pete | Managing Director Institutional Equities | PDQ ATS, Inc. |
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| Jordan, Tom | President & CEO | Jordan & Jordan |
| Joslyn, Greg | Director of Content | qbeats inc. |
| Joyce, Kevin | Vice President Equity Sales Trader — ADR Desk | Convergex |
| Joyce, Tom | Executive Chairman | Arxis Capital Group LLC |
| Karadenizli, Harun | Managing Director of Products and Services | Raptor Trading Systems |
| Karsh, Bill | Special Advisor | National Stock Exchange |
| Kay, Steve | Managing Director | KCG |
| Keenan, Karen | | William E. Simon Foundation |
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| Kenny, Peter | Senior Market Strategist | Global Markets Advisory Group |

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| King, Brian | Director, ETP Listings | NYSE |
| Klinkowize, Sean | Global Head of Sales | qbeats |
| Kloin, Scott | Chief Compliance Officer | Citadel Securities |
| Koetzner, Patricia | Siebert, Brandford, Shank | |
| Kolinsky, Andy | Managing Director, Head of Retail Market Making | UBS |
| Konstantellis, Steve | VP Broker Dealer Sales & Trading | Instinet |
| Korn, Brian | Partner | Manatt, Phelps & Phillips LLP |
| Kost, Frank | | SS&C Technologies |
| Kostrinsky, Alan | Director- Financial Services Advisory | PwC |
| Krezalek, Bart | Director - Trading Services | OTC Markets Group |
| Krichman, Drew | Managing Director | Jane Street |
| Kroeker, Crystal | Deputy, Chief Corporate Compliance Officer | Bats Global Markets |
| Kurze, Mike | Director | TradeStation Securities |
| Kwiatkowski, Ryan | Head of Broker Dealer Sales | INTL FCStone Financial Inc. |
| Labovitz, Dan | Global Liquidity Partners | |
| Lang, Timothy | CEO | Global Liquidity Partners |
| Lash, Herb | Correspondent | Reuters |
| Lau, Patrick | | Redline Trading Solutions |
| LaValle, David | US Head of SPDR ETF Capital Markets | State Street Global Advisors |
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| Lavin, Jack | | Canaccord Genuity |
| Lewke, Jay Bo | Director International Equity Trading | KCG |
| Lieder, Nick | Director, Business Development | Greenwich Associates — Market Structure and Technology |
| Lin, Aaron | Bilingual Investment Consultant | Scottrade |
| Lindenberger, Michelle | Director - Marketing & Distribution | Security Traders Association |
| Lisowska, Violeta | Associate Vice President, HR & Administration | OTC Markets Group |
| Litwin, Jennifer | Senior Director — Head of Relationship Management | Greenwich Associates |
| Lopez, Todd | | UBS |
| Lugay, Chuck | Senior Vice President | Citadel Securities |
| Mackintosh, Phil | Head of Trading Strategy & Analysis | KCG |
| Man, Richard | Head of Solution Sales — Asia Pacific, Capital Markets | Colt Technology Services |
| Marcziova, Monika | Senior Account Manager, Equities Trading | Toronto Stock Exchange |
| Mariniello, Anthony | Vice President Institutional Sales | INTL FCStone |
| Martell, Will | Equity Trader, Associate | Apis Capital Advisors LLC |
| Martello, Christine | Sales Executive Senior Specialist | NASDAQ OMX |
| Masi, Frank | Legend | Retired |
| Massa, Annie | Reporter | Bloomberg News |
| Masse, Nicole | Vice President | BIDS Trading |
| Matrone, Louis | GRC Leader for Banking & Capital Markets, Americas | Computer Science Corporation |

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|---------------------|---|---|
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| McAllister, Kate | Electronic Sales | ITG |
| McCarthy, Devin | Managing Director - Market Data Sales | NASDAQ |
| McCrank, John | Correspondent | Thomson Reuters |
| McDermott, Mark | Managing Director | Canaccord Genuity |
| McKeon, Brian | Director, Sales | BIDS Trading |
| McNerney, Brendan | Head Of Enterprise Sales | New York Institute Of Finance & Execsense |
| Mecane, Joe | Managing Director and Global Head of Electronic Equities | Barclays |
| Meduri, Mike | | KCG |
| Medvedsek, Denis | | Two Sigma Securities |
| Melmed, Max | | SpeedRoute |
| Mendl, Jeffrey | Business Development | National Stock Exchange |
| Menge, Josette | Marketing Associate | OTC Markets Group |
| Messick, Adam | Product Development Specialist | NASDAQ |
| Miceli, Megan | Director, Business Development | Canadian Securities Exchange |
| Miller, Michael | CEO | qbeats, inc. |
| Misisco, Matt | | NASDAQ OMX |
| Mitchell, Ryan | VP Trading Systems | SpeedRoute |
| Mitterando, Richard | Project Manager | NASDAQ OMX |
| Modeski, Mike | MD — Trading Services | OTC Markets Group |
| Moitoso, Bob | SVP, GM Financial Markets Group | SS&C |
| Montagnino, Chris | | Jordan and Jordan |
| Moran, William | Director | Gibbons PC |
| Morse, Chris | Senior Vice President, Electronic Execution | Fidessa |
| Mostowfi, Sayena | Principal, Head of Equities Research | TABB Group |
| Motta, Cesar | Associate | Morgan Stanley |
| Moustakas, Angela | Vice President | KCG |
| Mueller, Mike | Director | Arxis Capital Group LLC |
| Muller, Tara | Managing Director, Electronic Trading | KCG |
| Murphy, Kevin | Managing Director | Citi |
| Murphy, Ryan | | OTC Markets Group |
| Murray, Thomas | | Bloomberg SSEOMS |
| Nagle, Matt | Business Development — Enterprise Solutions Sales Specialist | Dow Jones |
| Nalval, Thejas | Director, Portfolio Trading Solutions | WallachBeth |
| Neary, Melissa | Vice President | Pershing |
| Nelson, Stephen | Partner | The Nelson Law Firm |
| Neyman, Vlad | Co-Head of US Customer Market Making | KCG |
| Nigro, Tom | Director, Business Development | Perseus |
| O'Connor, Charlie | | Leerink Partners |
| O'Connor, Mark | Director of Sales | Chicago Stock Exchange |
| O'Connor, Michael | | |
| Oellers, Peter | Director | Pershing |
| O'Leary, Lauren | | Michael J. Fox Foundation |
| Omori, Yoko | Director | Mizuho Securities USA, Inc. |
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| Oran, Olivia | Wall Street Banking Correspondent | Thomson Reuters |
| O'Shea, David | Relationship Manager | Intel |

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|-----------------------|--|--|
| Ostrow, Isabelle | Assistant Vice President | Clearpool Group |
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| Palazzo, John | MD Electronic Trading | UBS |
| Panos, Tony | | The ICE/Interactive Data |
| Park, Ellen | | FIS Global |
| Parker, Eric | Senior Relationship Manager | Intercontinental Exchange - Interactive Data |
| Pastina, Lou | Senior Advisor | Global Markets Advisory Group |
| Brassil, Patrick | Client Solutions Director | New York Institute of Finance |
| Patturelli, Jamie | Exchange Traded Products | NYSE |
| Peer, Andy | Director — Institutional Equity Sales & Trading | Rosenblatt Securities |
| Pento, Chris | | Engineers Gate Market Technologies |
| Peters, Lindsey | AVP, Head of Marketing for Global Trading and Market Services | NASDAQ |
| Phillips, Scott | Director - Electronic Brokerage Sales | ITG |
| Pieczara, Pawel | Director | Depository Trust & Clearing Corporation |
| Pinedor, Anna | Partner | Morrison & Foerster LLP |
| Pires, Joseph | Electronic Execution Sales | Scotiabank |
| Pisani, Bob | On-air Stocks Reporter | CNBC |
| Pitio, Walter | | RBC Capital Markets |
| Pollaro, Josephine | | Security Traders Association |
| Presti, John | Senior Manager — North America Sales Engineering | Speakerbus |
| Princiotto, Rachele | Vice President | KCG |
| Pulte, Therese | Sales Director | Perseus |
| Quigley, Sean | | Citi |
| Rabaglia, John | Director, Broker Dealer Sales | ITG |
| Ramsey, Alex | | Citadel Securities |
| Raphael, Eliza | Managing Director | NASDAQ |
| Rappaport, Jacob | Managing Director, Head of Equity Capital Markets | INTL FCStone |
| Rathi, Kapil | VP, Options Business Strategy | Bats Global Markets |
| Redfearn, Brett | Global Head of Market Structure Strategy | JP Morgan |
| Reilly, Gene | CEO | Arxis Capital |
| Remolina, Shane | Sales — Global Enterprise Partnerships/ Trading Solutions | Bloomberg |
| Resch, Kristen | Vice President, ADR Conversions | BNY Mellon |
| Ricciardi, Joe | | |
| Richard, Scott | Transaction Services Sales Director | NASDAQ OMX |
| Rickmers, Bob | Director | UBS |
| Riordan, Rob | International Equity Trader | KCG |
| Romeo, Robert | Vice President | Bank of America Merrill Lynch |
| Rooney, Paul | Director | Barclays |
| Rosenberger, George | SVP - Global Head of Managed Services | Itiviti AB |
| Rosenstein, Frederick | Vice President of Regional Sales | QUODD Financial Information Services |
| Ross, Jennica | Head of Strategic Relationships | WallachBeth Capital |
| Rossdale, Jennifer | Regional Sales Manager | Speakerbus |
| Rubin, Jon | | FIS Global |

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Attendees

| Name | Title | Company |
|---------------------|---|---|
| Russell, John | Senior Vice President, Global Trading | Franklin Templeton |
| Russell, Kimberly | Vice President | Barclays |
| Ryder, Jonathan | Assistant Vice President | Bank of America Merrill Lynch |
| Saltzman, Bruce | | State Street Global Advisors |
| Sanchez, Magaly | Account Executive | Fidessa |
| Sandblom, Johan | | Lime Brokerage |
| Sanfilippo, Anthony | Founder | Seppala Financial |
| Scaplen, Michael | Senior Vice President | COR Clearing LLC |
| Schaeffer, Brian | | Clearpool |
| Scher, Joseph | Vice President | Goldman Sachs |
| Schmid, Paul | Director | TABB Group |
| Schneider, Jon | Director | ITG |
| Schrader, David | Vice President Equity Trading | Canaccord Genuity |
| Schwanewede, Bill | Vice President | NYSE |
| Seaburg, Dave | Head of Sales Trading | The Cowen Group |
| Selit, Howard | Head of Broker Dealer Product and Sales | JP Morgan |
| Sellitto, Joe | CEO | Global Execution Brokers |
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| Shapiro, Norman | | |
| Sheridan, Peter | Managing Director | Goldman Sachs |
| Shillman, David | Associate Director, Division of Trading and Markets | U.S. Securities and Exchange Commission |
| Sidenfaden, Saskia | Vice President of Corporate Communications | OTC Markets Group |
| Silverman, Rob | Off Exchange Liquidity, Electronic Trading Group | KCG |
| Simurra, Vin | | OTC Markets Group |
| Singh, Kamina | | |
| Slomiak, Seth | Director | UBS |
| Sloves, Shawn | CEO, Founder | Fundamental Interactions Inc. |
| Smith, Bart | Co-Head of the ETF Group | Susquehanna International Group |
| Sorrentino, Richard | Compliance Officer | Buckman, Buckman & Reid, Inc. |
| Spencer, Marselen | Director of Business Development | Perseus |
| Spenser, Simon | Senior Vice President Co-Head, Wholesale Market Making | Two Sigma Securities |
| Sperazza, Lou | | KCG |
| Stearns, James | Director, Business Development | PDQ ATS, Inc. |
| Stehli, Mark | Cash Trader | Citadel Securities |
| Stewart, Jamie | VP, Core Products | OTC Markets Group |
| Stone, Gary | Chief Strategy Officer | Bloomberg LP |
| Strack, Daniel | Managing Director | Goldman Sachs & Co. |
| Stratico, Joe | Business Development and Strategy | Citadel Securities |
| Stulley, Angela | Director Strategic Sales | ULLINK, Inc. |
| Sulavka, Mark | CEO | National Stock Exchange |
| Sultan, Bora | | Canaccord Genuity |
| Sweeney, Kevin | Head of Advanced Trading Solutions, Americas | Societe Generale |
| Szakacs, Ryan | iShares Capital Markets | BlackRock |
| Szambel, Rick | Senior Managing Director | Albert Fried & Company |

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Attendees

| Name | Title | Company |
|---------------------|--|-----------------------------------|
| Taback, Matthew | Equity Market Maker | Cantor Fitzgerald |
| Taylor, Grant | DIRECTOR, FOREIGN EXCHANGE | Cantor Fitzgerald |
| Thakarar, Dina | Director, Sellside Account Management | Eze Software Group |
| Themistocles, Todd | Principal, ETF Global Capital Markets Group | State Street Global Advisors |
| Thurley, Stan | Institutional Electronic Trading | UBS |
| Ticse, Michael | Senior Sales Manager | Redline Trading Solutions |
| Tintinaglia, Mike | Toronto Stock Exchange | |
| Toes, James | President and CEO | Security Traders Association |
| Tognino, John | Owner | Pepper Financial Group |
| Tomashoff, Jonathan | | BlackRock |
| Toomey, Patrick | Managing Director, International Equity Trading | KCG |
| Toscano, Kevin | ETF Sales and Trading | Jane Street Capital |
| Trezza, Michael | Managing Director, Institutional Sales | Bayes Capital LLC |
| Trimble, Kevin | Co-founder | Global Markets Advisory Group LLC |
| True, Mac | VP - Automated Trading Strategies | Goldman Sachs |
| Tuccio, Gina | Senior Associate | NYSE |
| Tull, George | Head of Pre/Post Sales North America | Interactive Data |
| Turcotte, Cathleen | Product Specialist & Canadian Product Manager | ITG Canada |
| Tyrrell, Kevin | Director, Head of Quant Solutions Sales | Bank of America Merrill Lynch |
| Unger, Kimberly | Executive Director- CEO | STANY |
| Utasi, Lisa | Director Senior Trader | ClearBridge Investments |
| Valenza, Joseph | Managing Director | Canaccord Genuity |
| Vance, William | | Imperial Capital |
| Vavilis, Eleni | Account Director | Thomson Reuters |
| Vazquez, Sandra | Compliance Officer | Two Sigma Securities |
| Vicioso, Giovanni | Senior Director Equity Products | CME Group |
| Viola, Dan | Partner | Sadis & Goldberg LLP |
| Vlastakis, Alex | Chief of Staff | SpeedRoute |
| VonKaenel, Mary Lou | Managing Director, Financial Information Forum | Jordan & Jordan |
| Vopni, Brad | Director of Capital Markets | NextShares Solutions, LLC |
| Vuong, Shaleen | Assistant Trader-Equities Trading | StockCross Financial Services |
| Wald, Joseph | Chief Executive Officer | Clearpool |
| Wales, Kim | Founder & CEO | Wales Capital and CrowdBureau |
| Walker, Tonya | Sr. Specialist Broker Dealer-Client Services | KCG |
| Walvoord, Damon | Head of ETF Capital Markets & Global Portfolio Trading | Susquehanna International Group |
| Warren, Tom | President, Vice Chairman | UAT, Inc. |
| Weber, Seth | Managing Director | Vandham Securities Corp. |
| Weingarten, Dan | Managing Director | ITG |
| Weisberger, David | Managing Director & Head of Trading & Quantitative Services | Markit |
| Weiss, Matthew | US Sales | TMX |
| Wilder, Michael | Managing Director | ITG |
| Wile, Ellen | Director, Lime/Prime Client Services | Lime Brokerage |
| Wilezol, Zack | Vice President of Sales | SpeedRoute |

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Attendees

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| Wilson, Peter | Sales Trader | KCG |
| Wong, Ormond | Account Manager | REDI Global Technologies |
| Yates, Simon | CEO | Two Sigma Securities |
| Yiu, Vivian | Head of Product Strategy & Management | Bats Global Markets |
| Yones, Doug | Head of Exchange Traded Products | NYSE |
| Yonis, Hunter | Analyst | Goldman Sachs |
| Zeponi, Lindsey | VP, Global Electronic Equity Sales | Convergex |
| Zeponi, Tyler | Global Electronic Sales | Convergex |
| Zinker, Joshua | Vice President - Global Execution Services | Bank of America Merrill Lynch |
| Zinn, Dan | General Counsel | OTC Markets Group |
| Zmuda, Anthony | | KCG |

Save the Dates
We hope you will join us.

Monday July 25, 2016
STANY Annual Golf Classic
Canoe Brook Country Club
Summit, NJ

September 14-16, 2016
STA 83rd Annual Conference
Washington, DC

Thursday, November 10, 2016
**Annual STANY International
Reception and Holiday Party**
Bryant Park Grill
New York, NY

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2016 Member Directory

| Name | Firm Name |
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