



# SIFMA™

Securities Industry and  
Financial Markets Association

## Legal and Compliance Conference

February 7-8, 2006

The Roosevelt Hotel, New York City

### List of Participating Firms and Titles

#### Title

Vice President / Compliance Counsel  
Managing Director  
Sr. Vice President  
SVP, Chief Administrative Officer  
Vice President

Assistant Compliance Director  
Vice President, Director of Compliance  
Chief Compliance Officer  
Assistant General Counsel  
Associate General Counsel  
Associate General Counsel  
Business Supervision Advisor  
Managing Director/Associate General Counsel  
Senior Vice President  
Assistant General Counsel  
Assistant General Counsel  
Associate General Counsel  
Senior Vice President  
Vice President, Senior Fixed Income Trader

Managing Director and Associate General Counsel  
Compliance Executive  
Associate Director  
Associate Director  
Associate Director  
Deputy General Counsel, Americas  
Director  
Director  
Associate Director  
Managing Director  
Senior Managing Director Compliance  
Senior Managing Director  
Compliance Officer  
General Counsel  
Reporter

#### Firm

A.G. Edwards & Sons, Inc.  
ABN AMRO  
ABN AMRO, Inc.  
ABN AMRO, Inc.  
ABN AMRO, Inc.  
ABN AMRO, Inc.  
ABN AMRO, Inc.  
ABN AMRO, Inc.  
Allen & Overy LLP  
Allen & Overy LLP  
Allen & Overy LLP  
B.C. Ziegler and Company  
B.C. Ziegler and Company  
Bain Capital, LLC and Sankaty Advisors, LLC  
Banc of America Securities LLC  
Banc of America Securities LLC  
Banc of America Securities LLC  
Banc of America Securities LLC  
Banc of America Securities LLC  
Banc of America Securities LLC  
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Barclays Capital Inc.  
Barclays Capital Inc.  
Bear, Stearns & Co. Inc.  
Bear, Stearns & Co. Inc.  
Bear, Stearns & Co. Inc.  
Bear, Stearns & Co. Inc.  
Bloomberg L.P.  
Bloomberg L.P.  
BNA

Compliance Officer	BNP Paribas
Director	BNP Paribas
General Counsel	BNP Paribas
Managing Director, Head of Compliance	BNP Paribas
Vice President	BNP Paribas
Vice President	BNP Paribas
Vice President	BNP Paribas
Vice President	BNP Paribas
	BNP Paribas
	BNP Paribas
	Board of Governors of the Federal Reserve System
Senior Supervisory Financial Analyst	BondDesk Group, LLC
Director - Account Management	BondDesk Group, LLC
Director of Communications	BondDesk Group, LLC
President	BondDesk Group, LLC
Senior Director - Account Management	BondDesk Group, LLC
Senior Director - Account Management	BondDesk Group, LLC
Senior Director, Market Transparency Products	BondDesk Group, LLC
Senior Marketing Associate	BondDesk Group, LLC
	BondDesk Group, LLC
	BondDesk Group, LLC
	BondDesk Group, LLC
Associate	Brown Rudnick
Partner	Cahill/Wink LLP
Partner	CAHILL/WINK LLP
Vice President	Calyon Corporate and Investment Bank
Vice President and Assistant General	Cantor Fitzgerald
Vice President and Assistant General Counsel	Cantor Fitzgerald
Vice President, Assistant General Counsel	Cantor Fitzgerald
Executive Director	CIBC World Markets
Director	Citigroup
Director and Associate General Counsel	Citigroup
Director, Chief Compliance Officer	Citigroup
Senior Vice President	Citigroup
Senior Vice President	Citigroup
Senior Vice President	Citigroup
Senior Vice President	Citigroup
Vice President	Citigroup
	Citigroup
	Citigroup
Director	Citigroup Global Markets Inc.
Associate General Counsel	Citigroup Global Markets Inc.
Managing Director	Citigroup Global Markets Inc.
Vice President / Compliance Attorney	Citigroup Global Markets Inc.
	Cleary, Gottlieb, Steen & Hamilton
	Cleary, Gottlieb, Steen & Hamilton
	Cleary, Gottlieb, Steen & Hamilton
Associate	Clifford Chance LLP
Associate	Clifford Chance LLP
Editor	Complinet
Head of Compliance Services	Complinet
	Consultant
	Covington & Burling



Vice President - East Coast Compliance Manager	FTN Financial
Vice President	Garban-Intercapital plc
Counsel	GE Commercial Finance
	Goldman Sachs
Associate	Goldman, Sachs & Co.
Vice President	Goldman, Sachs & Co.
Vice President	Goldman, Sachs & Co.
Vice President	Goldman, Sachs & Co.
Vice President & Assistant General Counsel	Goldman, Sachs & Co.
Vice President and Associate General Counsel	Goldman, Sachs & Co.
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	Goldman, Sachs & Co.
	Goldman, Sachs & Co.
	Goldman, Sachs & Co.
	Goldman, Sachs & Co.
	Goldman, Sachs & Co.
Partner	Hahn & Hessen LLP
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Senior Vice President, CIBM Derivative Compliance	HSBC
Managing Director, Associate General Counsel	HSBC Securities (USA) Inc.
Vice President	HSBC Securities (USA) Inc.
	HSBC Securities (USA) Inc.
Managing Director	ICAP plc
Product Manager	i-Deal LLC
Managing Director	Incapital
Deputy Editor	Incisive Media
Senior Business Development Manager	Infosys
General Counsel and Managing Director	ING Financial Markets
	ING Financial Markets
Associate Publisher	Institutional Investor
Associate Marketing Manager	Institutional Investor News
Marketing Manager	Institutional Investor News
Associate Counsel	Investment Company Institute
General Counsel/ Director of Compliance	J.B. Hanauer & Co.
Managing Director	J.P. Morgan Chase & Co.
Vice President	J.P. Morgan Chase & Co.
Vice President & Assistant General Counsel	J.P. Morgan Chase & Co.
Vice President and Assistant General Counsel	J.P. Morgan Chase & Co.
VP, Compliance	J.P. Morgan Chase & Co.
	J.P. Morgan Chase & Co.
Compliance Manager	J.P. Morgan Securities Inc.
Managing Director	J.P. Morgan Securities Inc.
	J.P. Morgan Securities Inc.
President	Jayne Bowtell Associates
Director	KeyCorp
Managing Editor	KPMG Banking Insider
First Vice President	LaSalle Bank Corp
Senior Vice President	LaSalle Bank Corp
Vice President, Capital Markets, Administration & Compliance	
Senior Vice President, Director of Fixed Income Compliance	LaSalle Bank Corp
Senior Vice President	Lehman Brothers Inc.
Vice President	Lehman Brothers Inc.
Partner	Lehman Brothers Inc.
	Linklaters

Corporate Counsel

Director  
Director  
Director  
Director & Senior Counsel  
Director and Senior Counsel  
First Vice President  
First Vice President & Senior Counsel  
Senior Vice President, OGC  
Vice President  
Vice President, GMI Compliance

Vice President  
Director and Chief Risk Officer  
Manager, Compliance

Chief Compliance Officer  
Managing Director  
Attorney  
Executive Director  
Fixed Income Compliance  
Manager  
Vice President  
Vice President  
Vice President  
Vice President

Regional Counsel  
Compliance Analyst  
Counsel II  
Analyst  
Director, Division of Enforcement  
Senior Trial Counsel, Division of Enforcement  
Trial Counsel  
AVP  
Director of Counsel  
Vice President  
Asst Vice President  
Partner

Fixed Income  
Senior Vice President & General Counsel  
Fixed Income Compliance  
Vice President  
Vice President, Director of Regulatory Affairs  
Associate Vice President

M.L. Stern & Co. , Inc.  
MarketAxess  
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Merrill Lynch & Co., Inc.  
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Mesirow Financial, Inc.  
Metropolitan West Securities, LLC  
Michael Page International  
Michael Page International  
Michael Page International  
Miller Tabak Roberts Securities LLC  
MNA, Inc.  
Morgan Stanley  
Morgan Stanley  
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Morgan Stanley  
Morgan Stanley  
NASD  
NASD Regulation, Inc.  
NASD, Inc.  
New York Stock Exchange, Inc  
New York Stock Exchange, Inc  
New York Stock Exchange, Inc  
New York Stock Exchange, Inc  
Nomura Securities International, Inc.  
Nomura Securities International, Inc.  
Nomura Securities International, Inc.  
Oppenheimer & Co. Inc.  
Orrick, Herrington & Sutcliffe LLP  
Orrick, Herrington & Sutcliffe LLP  
Piper Jaffray  
PPM America  
Raymond James and Associates, Inc.  
Raymond James and Associates, Inc.  
Raymond James and Associates, Inc.  
RBC Capital Markets

Senior Compliance Officer-Fixed Income

Esquire

Senior Vice President, Assistant General Counsel

Senior Compliance Manager

Compliance Officer

Compliance Officer

Vice President and Associate General Counsel

DEFI Compliance Manager - Deputy Director Compliance

Senior Vice President & Director of Operations

Partner

Partner

Associate Marketing Manager

Director

Director, Assistant General Counsel

Director, Securities Classifications

Vice President & Director, Legal & Compliance

Attorney

Attorney

Counsel

CFO/CCO

Senior Compliance Administrator

Director of Variable Rates Services

Associate General Counsel

Director of Research & Marketing

General Counsel

Senior Financial Advisor - Associate Director

Senior Associate General Counsel

Assistant General Counsel

Assistant Director of Compliance

Associate Director

Audit Manager

Corporate Vice President

Director

Executive Director

Associate General Counsel

Attorney

Director

Director and Counsel

Director Corporate Cash, Mgmt. Services

Division Control Officer

RBC Capital Markets

RBC Capital Markets

RBC Capital Markets

RBC Dain Rauscher

RBS Greenwich Capital

Robeco Investment Management

Robert W. Baird & Co.

Robert Walters

Seasongood & Mayer

Securities Industry Association

SG Americas Securities, LLC

Sidley Austin Brown & Wood LLP

Siebert Brandford Shank & Co., LLC

Squire, Sanders & Dempsey L.L.P.

Squire, Sanders & Dempsey L.L.P.

Standard & Poor's

Standard & Poor's

Standard & Poor's

Standard & Poor's

Standard & Poor's

Standard & Poor's

Sullivan & Cromwell LLP

TD Securities (USA) Inc.

Thacher Proffitt & Wood LLP

Thacher Proffitt & Wood LLP

Thacher Proffitt & Wood LLP

The Jeffrey Matthew Financial Group

The Vanguard Group

Thomson Financial

Thomson TradeWeb

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U.S. Department of the Treasury

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UBS Financial Services Inc.

UBS Financial Services Inc.

UBS Financial Services Inc.

UBS Financial Services Inc.

UBS Financial Services Inc.

UBS Financial Services Inc.

Divisional Control Officer	UBS Financial Services Inc.
Executive Director	UBS Financial Services Inc.
Audit Manager	UBS Investment Bank
Director	UBS Investment Bank
Director	UBS Investment Bank
Director	UBS Investment Bank
Executive Director	UBS Investment Bank
Executive Director	UBS Investment Bank
Executive Director	UBS Investment Bank
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Managing Director Fixed Income Compliance	Wachovia Corporation
Senior Vice President and Assistant General	Wachovia Corporation
	Wachovia Corporation
Assistant Vice President, CIB Municipal Compliance	Wachovia Securities, LLC
Vice President-Municipal Compliance	Wachovia Securities, LLC
	Wachovia Securities, LLC
Associate Director, Compliance Officer	WestLB AG
Executive Director	WestLB AG
Executive Director	WestLB AG
Associate	Willkie Farr & Gallagher
Associate	Willkie Farr & Gallagher
Associate	Willkie Farr & Gallagher
Associate	Willkie Farr & Gallagher
Associate	WilmerHale
Partner	WilmerHale