

Official Event
Brochure



C&L ANNUAL SEMINAR

The premier gathering for compliance and
legal leaders in financial services

March 22-25, 2026
Grande Lakes Orlando

sifma.org/clannual

#SIFMACL

The Power of Community. A Legacy of Leadership.

For more than 50 years, SIFMA's C&L Annual Seminar has united compliance and legal professionals to learn, collaborate, and strengthen the integrity of our industry.



Why Attend

Learn. Connect. Discover. Grow.

Connect with 1,800+ compliance and legal professionals from across the financial industry. Representing more than 300 organizations, our attendees include:

330+

Expert Speakers

2,000

Participants

300+

Organizations

70+

Breakout Sessions

Learn

Engage in mainstage discussions and 70+ CLE-eligible sessions featuring the industry's top voices on today's most pressing issues: artificial intelligence, digital assets, regulatory change, enforcement and exams, and more.

Connect

Build meaningful relationships with peers across the industry: general counsels, senior compliance and legal officers, regulators, consultants, and more.

Discover

Explore the latest services, products, and solutions in our interactive Exhibit Hall and intimate Lunch & Learn sessions with leading firms and providers.

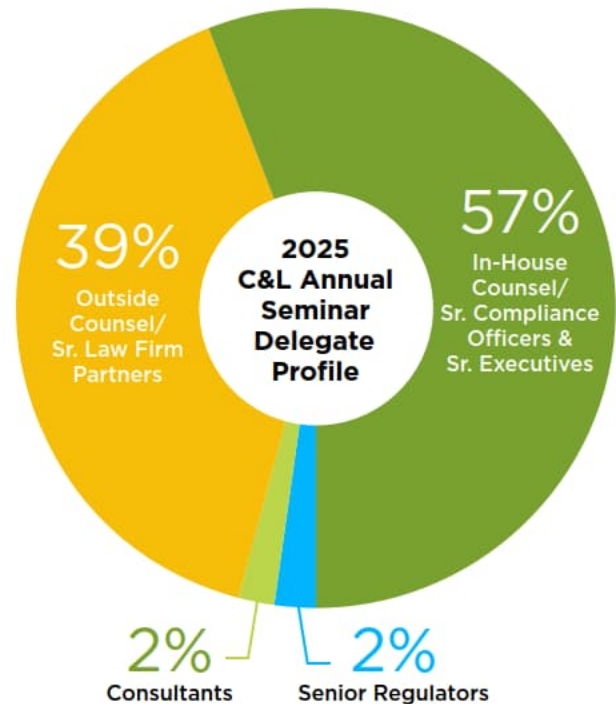
Grow

Gain the insights, connections, and perspectives you need to strengthen your organization and advance your career.

Who You'll Meet

Attendees represent 300+ organizations, including:

- Chief Compliance Officers
- Chief Legal Officers
- General Counsels
- Risk Executives
- Senior Law Firm Partners
- Regulators
- Consultants
- Rising Talent
- And more



Convince Your Manager

Need to make the case? Use our customizable letter template to show why sending you to the Seminar is an investment in your whole organization.

[Download the Letter](#)



Program

By the industry, for the industry

Our program is designed by a dedicated and passionate group of industry leaders.

Program Highlights

70+ Breakout Sessions

Seven focused tracks, each a 60-minute deep dive. Popular sessions are repeated so you don't miss your top picks.

7 Program Tracks

Customize your agenda with tracks covering

- Banking [BKG]
- Capital Markets [CPM]
- Compliance [CPL]
- Ethics [ETHICS]
- Litigation, Enforcement, Legal [LIT]
- Retail, Private Client, Arbitration [RPC]
- Technology [TECH]

CLE Credit

Breakout sessions are CLE-eligible in multiple states. Learn more in our [FAQs](#).

Exhibit Hall

Explore innovative products, services, and solutions built for compliance and legal professionals.

Lunch & Learns

Intimate sessions (50 max) with leading firms and providers—walk away with actionable insights.



[View Program](#)

Meet Our 2026 Keynote Speaker

Zack Kass. AI Futurist.

We're thrilled to welcome Zack Kass to the SIFMA C&L Annual Seminar stage. Zack is one of the world's foremost authorities on applied AI, transforming the technology's immense power into business strategies and applications that expand human potential.

With 16 years in AI, including time as Head of Go-To-Market at OpenAI, Zack has worked with organizations like Coca-Cola, Morgan Stanley, and Samsung to unlock the transformative potential of AI for people, business and government. His work focuses on converting AI's profound possibilities into real, positive impact that expands human potential.



Confirmed Speakers

Experts, Practitioners, and Executives



Paul S. Atkins
Chairman
U.S. Securities and
Exchange Commission



Robert Cook
President and CEO
FINRA



Ronald J. Kruszewski
*Chairman and
Chief Executive Officer*
Stifel



Margaret Ryan
*Director, Division of
Enforcement*
U.S. Securities and
Exchange Commission



Saima S. Ahmed
*Executive Vice President
and General Counsel*
SIFMA



Norm Ashkenas
*Vice President and
Chief Compliance Officer*
Robinhood



Kenneth E. Bentsen, Jr.
President and CEO
SIFMA



Adam Cohen
*Senior Deputy Comptroller
and Chief Counsel*
OCC



Christina Dugger
*Chief Compliance Officer
and Firmwide Operational
Risk Executive*
J.P. Morgan Chase & Co.



Katie Fallon
*Executive Vice President
and Head of Corporate
Affairs*
Fidelity



Richard Gabbert
*Chief of Staff, Crypto Task
Force; Senior Advisor to the
Chairman*
U.S. Securities and
Exchange Commission



Marni R. Gibson
*Commissioner & Securities
Administrator*
Kentucky Department of
Financial Institutions



Confirmed Speakers (continue)

Experts, Practitioners, and Executives



Eric Grossman
*EVP, Chief Legal Officer and
Chief Administrative Officer
Morgan Stanley*



Ben A. Indek
*Partner
Morgan Lewis*



Loretta Lynch
*Former Attorney General
of the United States and
Partner
Paul, Weiss, Rifkind,
Wharton & Garrison LLP*



J. Curtis McCubbin
*Senior Vice President,
Chief Compliance Officer
D.A. Davidson & Co.*



Suzanne Morgan
*Chief Compliance Officer
Wells Fargo*



Greg Ruppert
*Executive Vice President
and Chief Regulatory
Operations Officer
FINRA*

Venue

Grande Lakes Orlando

4040 Central Parkway
Orlando, FL

Enjoy Florida's sunshine at Grande Lakes Orlando, a five-star resort featuring The Ritz-Carlton and JW Marriott Orlando.



“For securities industry lawyers and compliance professionals, no other conference provides such a wealth and concentration of substantive programs, sophisticated professionals, and networking opportunities.”

— Past Attendee

Register

Get Your Seminar Pass Today

Connect with 1,800+ compliance and legal professionals from across the financial industry. Representing more than 300 organizations, our attendees include:

[Register Now](#)

SIFMA Member

SIFMA members include 300+ broker dealers, investment banks and asset managers.

\$1,445

Early Bird Rate (by January 16)

\$1,645

Pre-Seminar Rate (by March 20)

SIFMA Associate Member

SIFMA's associate members include law firms, consultants, technology firms, and more.

\$2,149

Early Bird Rate (by January 16)

\$2,349

Pre-Seminar Rate (by March 20)

Regulator

Organizations eligible for regulator rates include the SEC, CFTC, FINRA, MSRB, NASAA, and more.

\$850

Early Bird Rate (by January 16)

\$950

Pre Seminar Rate (by March 20)

Standard Rate

For other market participants. Interested in the benefits of membership? Visit sifma.org/join.

\$2,549

Early Bird Rate (by January 16)

\$2,849

Pre Seminar Rate (by March 20)

First-time attendee?

The first 50 first-time attendees receive 50% off registration fees. Must be employed by a SIFMA member firm. [Contact us](#) to register today!

Need a hand?

Check out our [FAQs](#) or [contact us](#) - we're happy to help.

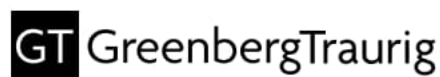
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Executive Vice President and
Chief Legal Officer
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Carla Harris
Vice Chairman and Managing
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Morgan Stanley



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Kristin N. Johnson
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U.S. Commodity Futures Trading
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Attorney
United States Attorney's Office,
Southern District of New York



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First Woman Thunderbird Pilot,
Combat Veteran, Fighter Squadron
Commander, White House Fellow
& Adviser, and Indomitable Spirit



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U.S. Securities and Exchange
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Robert W. Cook
President and CEO
FINRA



Damian Williams
United States Attorney
Southern District of New York



Sally Q. Yates
Former Deputy Attorney General

About the SIFMA C&L Society

The SIFMA C&L Annual Seminar is hosted by SIFMA's Compliance & Legal Society. SIFMA C&L is the leading forum for compliance and legal professionals working in the financial services industry. With a rich 50+ year history, it provides a unique opportunity for industry leaders and regulators to come together to share information and collaborate with the goal of ensuring our capital markets are the most fair, transparent and ethical in the world.

2026 Seminar Planning Leadership



Mark Seffinger
Chairperson
2026 Annual Seminar



MaryBeth Findlay
Co-Chairperson
2026 Annual Seminar



Molly Deere
Co-Chairperson
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Neil Rosolinsky
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2026 Annual Seminar



Karen O'Toole
President
SIFMA C&L Society

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