

The Program on International Financial Systems (PIFS) and
the Comisión para el Mercado Financiero de Chile (CMF)

Policy Seminar Series on Financial Technology: Regulatory Approaches and Enforcement Considerations Program Agenda

March 2024
Via Zoom

MONDAY, MARCH 11, 2024 BIG DATA

9:00am (EDT)¹
10:00am (CST)

Welcome

- [Jonathan Ondrejko](#) (Senior Vice President of Programs at PIFS)

9:00am – 9:10am (EDT)
10:00am – 10:10am (CST)

Opening Keynote Remarks

- [Solange Berstein Jáuregui](#) (Chair of the the Comisión para el Mercado Financiero)

9:10am – 10:30am (EDT)
10:10am – 11:30am (CST)

Lecture: The Role of Artificial Technology, RegTech, and SupTech in Modern Markets

- [Douglas Arner](#) (Kerry Holdings Professor in Law and Associate Dean of the Faculty of Law at the University of Hong Kong)

[10 Minutes]

Break

10:40am – 11:25am (EDT)
11:40am – 12:25pm (CST)

Presentation: Cloud Computing and The Impact of Data Localization Requirements

- [Sireesh Pachava](#) (WW & U.S. Financial Sector Lead for Regulatory Engagement at Amazon Web Services)

¹ Program Times: This agenda reflects times in Eastern Daylight Time (EDT, or UTC-4:00) and Chile Summer Time (CST, or UTC-3:00).

THURSDAY, MARCH 14, 2024
THE DIGITAL ASSET ECOSYSTEM

9:00am – 10:30am (EDT)
10:00am – 11:30am (CST)

Lecture: The Role and Regulation of Digital Asset Markets

- [James Angel](#) (Associate Professor at the McDonough School of Business at Georgetown University)

[10 Minutes]

Break

10:40am – 11:25am (EDT)
11:40am – 12:25pm (CST)

Fireside Chat: View from the Market

- [Jonathan Jachym](#) (Global Head of Policy at Kraken Digital Asset Exchange)
- Moderated by [Jonathan Ondrejko](#) (Senior Vice President of Programs at PIFS)

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MONDAY, MARCH 18, 2024

ENFORCEMENT IN FINTECH AND DIGITAL ASSET MARKETS

9:00am – 10:30am (EDT)
10:00am – 11:30am (CST)

Lecture: Self-Regulation and Enforcement in Digital Asset Markets

- [Yuliya Guseva](#) (Professor of Law and Head of the Blockchain and Fintech Program at Rutgers Law School)

[10 Minutes]

Break

10:40am – 11:25am (EDT)
11:40am – 12:25pm (CST)

Fireside Chat: FinTech Enforcement Considerations

- [Stephanie Avakian](#) (Chair of the Securities and Financial Services Department at WilmerHale and former Director of the Division of Enforcement at the U.S. Securities and Exchange Commission)
- Moderated by [Jonathan Ondrejko](#) (Senior Vice President of Programs at PIFS)

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THURSDAY, MARCH 21, 2024

ENFORCEMENT IN FINTECH AND DIGITAL ASSET MARKETS (CONTINUED)

9:00am – 10:00am (EDT)
10:00am – 11:00am (CST)

**Lecture: Recent Developments in Enforcement
Testing the Perimeter of Financial Regulation:
Lessons from the U.S. Experience**

- [Dan Awrey](#) (Professor of Law at Cornell Law School)

[10 Minutes]

Break

10:10am – 10:55am (EDT)
11:10am – 11:55pm (CST)

**Presentation and Discussion: Global Regulatory
Outlook on Artificial Intelligence**

- [Christian Benson](#) (Market Structure and Risk Strategy Lead for Europe, the Middle East, and Africa at Bloomberg)
- [James Duncan](#) (Head of Government and External Affairs for Growth Markets at Bloomberg)
- [Joseph Alicata](#) (Senior Policy, Government Affairs and Regulatory Strategy at Bloomberg)
- [Patricia Or](#) (Regulatory Affairs Lead for Southeast Asia, India and Japan at Bloomberg)
- Moderated by: [Jonathan Ondrejko](#) (Senior Vice President of Programs at PIFS)

Speaker Biographies

Solange Berstein Jáuregui

Chair of the the Comisión para el Mercado Financiero

Mrs. Berstein holds a PhD in Economics from Boston University; a Master's Degree in Economics from the Ilades/Georgetown University Program; and a Bachelor's degree in Business Administration from Universidad de Santiago. She is a recognized expert in the fields of financial market and pension public policies. Prior to joining the Commission, Berstein headed the Financial Policy Management Division of the Central Bank of Chile from 2017 to 2022, and was a Senior Pension Specialist at the Inter-American Development Bank between 2015 and 2017.

Mrs. Berstein was Head of Studies at the Superintendence of Pensions between 2003 and 2006 and chaired said institution from 2006 to 2014. In the latter period she was part of the International Organization of Pension Supervisors' Technical Committee (as both Vice-President and President). Berstein has also been a member of the Financial Stability Board; the Capital Markets Committee; and the Chilean Risk Classification Commission, where she served as President. Between 2005 and 2007 she worked as a consultant for the World Bank, and was Senior Economist at the Research Division of the Central Bank of Chile from 2001 to 2003.

She has authored several economic publications and participated as a speaker in several national and international forums and conferences, as well as being a board member of the Fulbright Commission and the "Sonrisas" and "Yo Uso Bien Mi Dinero" Foundations. In the academic field, Berstein has been a master's professor at Universidad de Chile and Pontificia Universidad Católica de Chile.

Douglas Arner

Kerry Holdings Professor in Law and Associate Dean of the Faculty of Law at the University of Hong Kong

Douglas W. Arner is the Kerry Holdings Professor in Law, an RGC Senior Fellow, and Associate Dean of the Faculty of Law at the University of Hong Kong. At HKY, he co-founded and is the Faculty Director of the LLM Compliance and Regulation, LLM Corporate and Financial Law, LITE (Law, Innovation,



Technology and Entrepreneurship), and EAIEL (East Asian International Economic Law and Policy) Programmes. Douglas specialises in economic and financial law, regulation and development. Douglas has been a visiting professor or fellow at Duke University, Harvard University, the Hong Kong Institute for Monetary Research, IDC Herzliya, McGill University, Melbourne University, National University of Singapore, Queen Mary University of London, University of New South Wales, Shanghai University of Finance and Economics, and Zurich University, among others.

He holds a BA from Drury College (where he studied literature, economics and political science), a JD (cum lauded) from Southern Methodist University, an LLM (with distinction) in banking and finance law from the University of London (Queen Mary College), and PhD from the University of London.

Sireesh Pachava

Security Assurance US Financial Services Industry Lead at Amazon Web Services

Sireesh Pachava is the US Financial Services Lead for Regulatory Engagement, AWS Security Assurance. He focuses on engaging on Cloud, Digital specific Security, Compliance and, Risk Management areas with the US Regulatory and, Supervisory agencies. He has significant executive level cross functional industry experience across regulatory compliance, market & operational risk management, info-security, regulatory exams and, building/scaling multi-million dollar digital business.

Prior to AWS, he held senior leadership roles at several leading financial institutions, fin-tech and management consulting with deep experience in operationalizing and, building solutions to hard risk, compliance problems at scale. He serves pro-bono on risk & compliance non-profit associations. He has a MS from Columbia University, a CRISC & AWS Security Specialty certification and, has completed the US FedRAMP Level 300 master course. He has been quoted/featured in: State Street Risk 2020 vision whitepaper; Global risk benchmark study 2008, 2010; New Yorker Singapore Economic Development Board survey; Quantitative Finance Journal, and Journal of Regulation & Risk.

He has served as a guide/mentor at the Columbia University Venture Competition, Stanford University Digital Vision fellowship program, University of Washington (UW) Startup Lab, Indian Institute of IT (IIIT). He has served pro bono on the Board of directors at the Reuters Centenary Fund UK and volunteers at PRMIA Seattle, and Mary's Place Seattle.



James Angel

Associate Professor at the McDonough School of Business at Georgetown University

Professor Angel specializes in the market structure and regulation of global financial markets, and he has visited over 70 financial exchanges around the world. He teaches undergraduate, MBA, and executive courses, including Investments and Capital Markets. "Dr. Jim" has testified before Congress about issues relating to the design of financial markets. In addition, he has been quoted in hundreds of newspaper articles and has appeared numerous times on radio and television. Dr. Jim began his professional career as a rate engineer at Pacific Gas and Electric, where he worked on FERC and CPUC related issues. Along the way he has also worked at BARRA (later part of Morgan Stanley) where he developed equity risk models. He has also served as a Visiting Academic Fellow in residence at the National Association of Securities Dealers (NASD – now FINRA) and as a visiting economist at the Shanghai Stock Exchange. He has also been chairman of the Nasdaq Economic Advisory Board, a member of the OTC Bulletin Board Advisory Committee, and has served on the board of directors of the Direct Edge Stock Exchanges (later part of BATS Global Markets). From 2012-2014 he was a visiting associate professor at the Wharton School of the University of Pennsylvania. Professor Angel is a co-inventor on 12 fintech patents.

Dante Disparte

Chief Strategy Officer and Head of Global Policy at Circle Internet Financial

Dante Disparte is the Chief Strategy Officer and Head of Global Policy for Circle, a leading global financial technology firm and the issuer of USDC. USDC has supported more than \$10 trillion in cumulative transactions on the public internet and a global payment network in more than 190 countries. Prior to joining Circle, Dante served as a founding executive of the Diem Association (née Libra), leading public policy, communications, membership, and social impact.

Dante comes to Circle with two decades of experience as an entrepreneur, business leader and global risk expert, most recently as founder and Chairman of Risk Cooperative, a strategic risk advisory and insurance brokerage based in Washington, D.C. He is also a member of the World Economic Forum's Digital Currency Governance Consortium, helping drive global standards and regulatory harmonization for digital currencies. Dante served as an appointee on the Federal Emergency Management Agency's (FEMA) National Advisory Council, the United States' federal emergency response agency.



Dante is a frequent speaker and commentator on business and political issues shaping the world. His views on risk, economic competitiveness and security issues are regularly featured in leading media and publications, such as Harvard Business Review, BBC, Forbes, and Diplomatic Courier, where Dante serves on the editorial advisory board.

Dante is a graduate of Harvard Business School and holds an MSc. in Risk Management from the NYU Stern School of Business and a B.A. in International and Intercultural Studies from Goucher College. He is the co-author of “Global Risk Agility and Decision Making” (Macmillan, 2016) and was recognized as one of the 40 leaders under 40 by the Washington Business Journal and in the inaugural Powermeter 100 list. Dante is also a life member of the Council on Foreign Relations, a member of The Economic Club of Washington, D.C. and the Bretton Woods Committee.

Jonathan Jachym

Global Head of Policy at Kraken Digital Asset Exchange

Jonathan Jachym is the Deputy General Counsel and Global Head of Policy at Kraken, one of the oldest and largest digital asset businesses. He is responsible for developing policy positions, advocacy strategies, and regulatory and political engagement across Kraken's key markets around the world. Prior to joining Kraken, Jonathan held several roles at the London Stock Exchange Group based in Washington, DC, leading their Regulatory Strategy and Government Relations team globally and in London at CME Group leading EMEA government relations. Prior to joining CME, Jonathan was legal and regulatory counsel at the U.S. Chamber of Commerce.

Yuliya Guseva

Professor of Law and Head of the Blockchain and Fintech Program at Rutgers Law School

Professor Guseva serves as the Director of [the Fintech and Blockchain Research Program](#) of the Center for Corporate Law and Governance. She is engaged in extensive academic and policy research on financial regulation, securities law, international law, capital markets, and digital innovation. Professor Guseva's scholarship includes articles and essays published or forthcoming in the *George Washington Law Review*, *Boston College Law Review*, *Stanford Journal of Blockchain Law & Policy* (peer-reviewed), *Journal of Corporation Law*, *Southern California Law Review Postscript*, *Maryland Law Review*, *Law and Contemporary Problems* (peer-reviewed), *Columbia Business*



Law Review, *Cardozo Law Review*, and other journals. Her articles have been selected for republication in the *Securities Law Review*.

Professor Guseva joined Professor Carol Goforth in coauthoring the second edition of *Regulation of Cryptoassets*, a textbook which was published by West Academic in May 2022. Guseva's work has been selected for presentation at the annual meetings of the American Law and Economics Association, the European Association of Law and Economics, the DC Fintech Week, and other prestigious venues. Her recent article was featured as one of the winning papers at the [DC Fintech Week](#). Yuliya Guseva is a frequent speaker at conferences and symposia. She often provides commentary on fintech and crypto and has been quoted in many leading publications, including the *Financial Times*, *Reuters*, *Fortune Magazine*, *Bloomberg*, *The Block*, *CoinTelegraph*, and others.

Professor Guseva served as Vice Dean of Rutgers Law School (Newark) during the Law School's transition from a co-deanship structure to a united governance model. At Rutgers and other schools, Guseva has taught a broad range of courses, including *Securities and Capital Market Regulation*, *Financial Regulation*, *Regulation of Cryptoassets*, *Corporate Finance*, *Commercial Law*, *Transactions*, *Transactional Competition*, *Accounting and Financial Statement Analysis*, and *International Business Transactions*. In the fall of 2015, Guseva was a Visiting Scholar at Cornell Law School. Guseva has replicated Cornell's *Transactional Lawyering Competition* at Rutgers Law. In the spring of 2021, Professor Guseva joined the Department of Legal Studies of the Central European University in Vienna, Austria, as a Visiting Professor.

Prior to her appointment at Rutgers, Professor Guseva was a Visiting Assistant Professor at Fordham Law School, where she taught *Commercial Law* and *International Business Transactions*, postdoctoral research fellow in the Program in the Law and Economics of Capital Markets at Columbia Law School, and Kauffman Legal Research Fellow at Columbia Law School. Professor Guseva holds an S.J.D. from Central European University (*summa cum laude*) and an LL.M. from Columbia University, where she was a Harlan Fiske Stone Scholar.

Stephanie Avakian

Chair of the Securities and Financial Services Department at WilmerHale and former Director of the Division of Enforcement at the U.S. Securities and Exchange Commission

As the former Director of the US Securities and Exchange Commission's Division of Enforcement, Stephanie Avakian is well positioned to help clients address the enforcement, governance and compliance issues presented by today's markets. With decades of experience in government and private practice, she leads the firm's Securities and Financial Services Department in counseling



and defending public companies, investment banks, asset management firms, accounting firms, boards of directors and individual executives through the challenges of government investigations.

As Director of the SEC's Enforcement Division, Ms. Avakian oversaw the Division's approximately 1,400 professionals and staff. During her four years leading the Division, the SEC brought more than 3,000 enforcement actions, obtained judgments and orders for more than \$17 billion in penalties and disgorgement, and returned approximately \$3.6 billion to harmed investors. Matters under Ms. Avakian's direction concerned a wide range of issues including insider trading, financial fraud and disclosure violations, auditor and accounting issues, market structure, asset management, and the Foreign Corrupt Practices Act. She also led the Enforcement Division in confronting novel issues at the forefront of the markets today, such as initial coin offerings, digital assets, and cybersecurity. Throughout her tenure, Ms. Avakian took steps to increase the Division's efficiency by implementing strategies to decrease the length of investigations, streamline the process for returning money to harmed investors, and expedite the review of whistleblower claims. Ms. Avakian also worked closely with other leaders at numerous federal, foreign and state agencies including the Department of Justice, CFTC, FINRA, CFPB, UK Financial Conduct Authority, and Office of the New York Attorney General.

Dan Awrey
Professor of Law at Cornell Law School

Dan Awrey is a Professor of Law at Cornell Law School. Dan's teaching and research interests reside in the area of financial regulation and, more specifically, the regulation of banks, investment funds, derivatives markets, payment systems, and financial market infrastructure. Dan has undertaken research and provided advice at the request of organizations including the Bank for International Settlements, U.S. Treasury Department, Federal Reserve Board, the President's Working Group on Financial Markets, HM Treasury, UK Financial Conduct Authority, Commonwealth Secretariat, and European Securities and Markets Authority. His research has been featured in publications including the Yale Law Journal, New York University Law Review, Georgetown Law Journal, Cornell Law Review, Harvard Business Law Review, and the Journal of Comparative Economics. Dan is a co-author of one of the leading textbooks on financial regulation, Principles of Financial Regulation, published by Oxford University Press. He is also a founding co-managing editor of the Journal of Financial Regulation.

The Program on International Financial Systems (PIFS) and
the Comisión Para El Mercado Financiero (CMF)

Policy Seminar Series on Financial Technology: Regulatory Approaches and Enforcement Considerations Program Participation List

March, 2024
Via Zoom

PARTICIPANT LIST:

Nicolas Eduardo Abarca Oyarce
Fiscalía Nacional Económica

Alfredo Acevendo
*Comisión Para El Mercado
Financiero(CMF)*

Luis Aguila
*Comisión Para El Mercado
Financiero(CMF)*

Eduardo Aguilera
*Comisión Para El Mercado
Financiero(CMF)*

Natalia Alcaino
*Comisión Para El Mercado
Financiero(CMF)*

Carlos Alejandro
*Comisión Para El Mercado
Financiero(CMF)*

José Héctor Alvarado
*Abogado IV of Deputy
Superintendence of Market
Conducts, Superintendencia del
Mercado de Valores (SMV)*

Nicolas Gonzalo Alvarez
*Comisión Para El Mercado
Financiero(CMF)*

Leandro Alvarez Figueroa
Banco Central De Reserva

Jenny Angulo
*Comisión Para El Mercado
Financiero(CMF)*

Yessenia Romané Aravena Cereceda
*Comisión Para El Mercado
Financiero(CMF)*

Guillermo Antonio Aravena Guichard
*Comisión Para El Mercado
Financiero(CMF)*

Manfred Bernardo Araya Leiva
*Comisión Para El Mercado
Financiero(CMF)*

Renato Fabricio Aria Velásquez
*Abogado II, Legal Counsel Office,
Superintendencia del Mercado de
Valores (SMV)*

Miryam Armas
*Analista Legal of Deputy
Superintendence of Market
Conducts, Superintendencia del
Mercado de Valores (SMV)*

Pablo Arriagada Feris

*Comisión Para El Mercado
Financiero(CMF)*

Gonzalo Eduardo Arriaza Guíñez

Ministerio De Hacienda

Sandra Doris Arteaga Jacobo

*Comisión Para El Mercado
Financiero(CMF)*

Felipe Dario Arvena Lavin

*Comisión Para El Mercado
Financiero(CMF)*

María José Ausensi Retamal

*Comisión Para El Mercado
Financiero(CMF)*

Jaime Andres Baez Verdugo

Banco Central de Chile

Mariela Barrenechea

*Comisión Para El Mercado
Financiero(CMF)*

María Manuela Barrera

Banco De La República

Borja Bernasconi Muñoz

*Lawyer, Ministry of Economy,
Development and Tourism*

Alberto Boada

Banco De La República

Elizabeth Macarena Bondarenko

Santibáñez

*Comisión Para El Mercado
Financiero(CMF)*

Luis Alejandro Bravo Veloso

Fiscalía Nacional Económica

Camila Bosch Cartagena

*Comisión Para El Mercado
Financiero(CMF)*

Marco Cabello

*Principal Analyst of Research and
Innovation Department,
Superintendencia del Mercado de
Valores (SMV)*

Eduardo Marcial Calvo Gálvez

Fiscalía Nacional Económica

Paula Andrea Campos Llanos

*Comisión Para El Mercado
Financiero(CMF)*

Alejandra Campusano Gaete

Ministerio De Hacienda

Hernán Castillo

*Comisión Para El Mercado
Financiero(CMF)*

Henry Castro Pacpricon

*Analyst of Deputy Superintendence of
Prudential Supervision,
Superintendencia del Mercado de
Valores (SMV)*

Andrea Celestino

*Abogado I of Deputy
Superintendence of Risks,
Superintendencia del Mercado de
Valores (SMV)*

Marcelo Ivan Chavez Munzenmayer

*Comisión Para El Mercado
Financiero(CMF)*

Guillermo Chimoy

*Professional II of Deputy
Superintendence of Risks,
Superintendencia del Mercado de
Valores (SMV)*

Catalina Coddou Liendo

Ministerio De Hacienda

Vincente Antonio Contuliano Villarroel

*Comisión Para El Mercado
Financiero(CMF)*

Fernando Cortes

Subsecretaría De Economía

Bryan Cotrina Cachay

*Senior Analyst of Deputy
Superintendence of Prudential
Supervision, Superintendencia del
Mercado de Valores (SMV)*

Renzo Dapuelo Rosende
Comisión Para El Mercado
Financiero(CMF)

Beltran De Ramon
Comisión Para El Mercado
Financiero(CMF)

Alejandro Domic Seguich
Fiscalía Nacional Económica

Carolina Del Río
Comisión Para El Mercado
Financiero(CMF)

Cristian Diaz
Strategic Intelligence Analyst
Unidad De Análisis Financiero

Anndres Eric Donders Canto
Comisión Para El Mercado
Financiero(CMF)

Juan Carlos Donoso Yanten
Comisión Para El Mercado
Financiero(CMF)

Clemente Dougnac Mujica
Comisión Para El Mercado
Financiero(CMF)

Cristian Eduardo Escudero Navarrete
Comisión Para El Mercado
Financiero(CMF)

Leonardo Etchegaray
Comisión Para El Mercado
Financiero(CMF)

Sebastián Andrés Farías Burgos
Comisión Para El Mercado
Financiero(CMF)

Karen Fernandez Chavez
Comisión Para El Mercado
Financiero(CMF)

Lilian Figueroa
Comisión Para El Mercado
Financiero(CMF)

Jaime Forteza
Comisión Para El Mercado
Financiero(CMF)

Maria Del Pilar Frias
Comision Nacional De Valores

Daniela Alejandra Fuentes Ibañez
Comisión Para El Mercado
Financiero(CMF)

**Sebastian Andres Yañez Gamboa
Guzman**
Comisión Para El Mercado
Financiero(CMF)

Loreto García
Comisión Para El Mercado
Financiero(CMF)

Daniel García
Head of Research and Innovation
Department, Superintendencia del
Mercado de Valores (SMV)

Marcelo García Rodríguez
Senior Analyst, Comisión Para El
Mercado Financiero(CMF)

Marcelo Orlando García Rodríguez
Comisión Para El Mercado
Financiero(CMF)

Claudia Garcia Zañartu
Senior Legal Analyst of Deputy
Superintendence of Prudential
Supervision, Superintendencia del
Mercado de Valores (SMV)

Liliana Gil Vásquez
Deputy Superintendent of Legal
Counsel, Superintendencia del
Mercado de Valores (SMV)

Alix Godos
Intendente General of Deputy
Superintendent of Market Conducts,
Superintendencia del Mercado de
Valores (SMV)

Pilar Gonzales Mugaburu
Principal Analyst of Deputy
Superintendence of Prudential
Supervision, Superintendencia del
Mercado de Valores (SMV)

Bayardo Goudeau Gómez
*Comisión Para El Mercado
Financiero(CMF)*

Cristina Goyeneche
*Comisión Para El Mercado
Financiero(CMF)*

Andrea Guerra Corvalan
*Comisión Para El Mercado
Financiero(CMF)*

Katerin Guíñez
*Comisión Para El Mercado
Financiero(CMF)*

Roberto Haramboure
*Comisión Para El Mercado
Financiero(CMF)*

Rosemarie Heise
Fiscalía Nacional Económica

Mario Herrada
*Profesional II od Deputy
Superintendence of Risks,
Superintendencia del Mercado de
Valores (SMV)*

Alexandra Dayan Herrera Rossi
*Comisión Para El Mercado
Financiero(CMF)*

Bretchen Geraldine Hoskins Villatoro
*Comisión Para El Mercado
Financiero(CMF)*

María del Rosario Huaco Cateriano
*Abogado III, Legal Counsel Office,
Superintendencia del Mercado de
Valores (SMV)*

Eliana Melisa Huaraz Zuloaga
*Public Accountant of Deputy
Superintendence of Prudential
Supervision, Superintendencia del
Mercado de Valores (SMV)*

Carlos Isensee Rimassa
*Coordinator, Comisión Para El
Mercado Financiero(CMF)*

Sandra Jara
*Comisión Para El Mercado
Financiero(CMF)*

Ursula Beatriz Langer Pavez
*Comisión Para El Mercado
Financiero(CMF)*

Loreto Lara Osorio
*Comisión Para El Mercado
Financiero(CMF)*

Nelson Leal Meneses
*Comisión Para El Mercado
Financiero(CMF)*

María Linares Vasquez
*Principal Analyst of Deputy
Superintendence of Prudential
Supervision, Superintendencia del
Mercado de Valores (SMV)*

Augusto López Ávila
*Comisión Para El Mercado
Financiero(CMF)*

Alvaro Pablo Lopez Guiresse
*Comisión Para El Mercado
Financiero(CMF)*

Olga Andrea Magaña Morales
*Comisión Para El Mercado
Financiero(CMF)*

Sebastián Castro Castro Marchant
*Comisión Para El Mercado
Financiero(CMF)*

Bany Martel
*Analista Principal of Deputy
Superintendence of Market
Conducts, Superintendencia del
Mercado de Valores (SMV)*

Oswaldo Martínez Aranguiz
*Comisión Para El Mercado
Financiero(CMF)*

Alfredo Medina
*Analista Legal Principal of Deputy
Superintendence of Market
Conducts, Superintendencia del
Mercado de Valores (SMV)*

Daniela Mendez Ortiz

Comisión Para El Mercado
Financiero(CMF)

Jose Mendoza

Comisión Para El Mercado
Financiero(CMF)

Carlos Meneses

Especialista en Supervisión of Deputy
superintendence of Market Conducts,
Superintendencia del Mercado de
Valores (SMV)

Christian Metcalfe

Comisión Para El Mercado
Financiero(CMF)

José Carlos Millar Davey

Comisión Para El Mercado
Financiero(CMF)

Andres Montes

Comisión Para El Mercado
Financiero(CMF)

Maria Jose Mora

Comisión Para El Mercado
Financiero(CMF)

Sebastián Morales Maldonado

Operational Intelligence Coordinator
Unidad De Análisis Financiero

José Luis Muñoz

Comisión Para El Mercado
Financiero(CMF)

Catalina Munita Roncagliolo

Head of Financial Intelligence Division
Unidad De Análisis Financiero

Sara Paola Ñopo Fernández

Analista Legal, Legal Counsel Office,
Superintendencia del Mercado de
Valores (SMV)

Eduardo Oñate

Comisión Para El Mercado
Financiero(CMF)

Patricia Belen Ortiz Triviño

Comisión Para El Mercado
Financiero(CMF)

Joao Paco

Profesional I of Deputy
Superintendence of Risks,
Superintendencia del Mercado de
Valores (SMV)

Constanza Parada

Comisión Para El Mercado
Financiero(CMF)

Nelson Rodrigo Paz Falcón

Comisión Para El Mercado
Financiero(CMF)

Paola Peña

Unidad de Proyección Normativa y
Estudios de Regulación Financiera
(URF)

Janne Perea

Banco De La República

Miguel Pereira Bermúdez

Senior Analyst of Deputy
Superintendence of Prudential
Supervision, Superintendencia del
Mercado de Valores (SMV)

Victoria Pérez

Profesional II of Deputy
Superintendence of Market
Conducts, Superintendencia del
Mercado de Valores (SMV)

Millaray Perez Puchi

Comisión Para El Mercado
Financiero(CMF)

Bernardita Piedrabuena

Comisión Para El Mercado
Financiero(CMF)

Patricio Andrés Piñeiro Pino

Comisión Para El Mercado
Financiero(CMF)

Valentina Pino Vergara

Operational Intelligence Analyst
Unidad De Análisis Financiero

Rayen Alejandra Poblete Sandaña

Comisión Para El Mercado
Financiero(CMF)

Alberto Alejandro Puente Gomez
Ministerio De Hacienda

Mariela Quisepe Gutiérrez
*Senior Legal Analyst of Deputy
Superintendence of Prudential
Supervision, Superintendencia del
Mercado de Valores (SMV)*

Claudia Reyes
*Comisión Para El Mercado
Financiero(CMF)*

Rubén Arturo Reyes Sepúlveda
*Comisión Para El Mercado
Financiero(CMF)*

Rodny Rivera
*International Affairs Executive
Coordinator, Superintendencia del
Mercado de Valores (SMV)*

Claudia Rivero
*Comisión Para El Mercado
Financiero(CMF)*

Carlos Rivero
*Deputy Superintendent of Research,
Development and Innovation,
Superintendencia del Mercado de
Valores (SMV)*

Oscar Jesús Riveros
*Comisión Para El Mercado
Financiero(CMF)*

Eduadro Octavio Rodríguez Calderón
*Comisión Para El Mercado
Financiero(CMF)*

Fabián Francisco Rojas Sandoval
*Comisión Para El Mercado
Financiero(CMF)*

Sebastián Andrés Rus Trujillo
*Comisión Para El Mercado
Financiero(CMF)*

Elisa Salas Kantor
*Economist, Ministry of Economy,
Development and Tourism*

Carlos Salomon
Financial Markets Commission

Soraya Sarmiento Peche
*Principal Legal Analyst of Deputy
Superintendence of Prudential
Supervision, Superintendencia del
Mercado de Valores (SMV)*

Daisy Salgado Pueyes
*Operational Intelligence Analyst
Unidad De Análisis Financiero*

Ana Sandra Sepulvda Swidersky
*Comisión Para El Mercado
Financiero(CMF)*

Maria Luz Schachtebeck Morales
*Comisión Para El Mercado
Financiero(CMF)*

Juan Manuel Sepúlveda Tapia
*Comisión Para El Mercado
Financiero(CMF)*

Marcela Seraylan Ormachea
*Supervisor of Deputy
Superintendence of Prudential
Supervision, Superintendencia del
Mercado de Valores (SMV)*

Cecilia Servin
Comision Nacional De Valores (CNV)

Nancy Silva
*Comisión Para El Mercado
Financiero(CMF)*

Carolina Silva Barrera
*Comisión Para El Mercado
Financiero(CMF)*

Nancy Silva Salas
*Director General
Financial Market Commission (CMF)*

Franco Mauricio Solari Ibacache
Fiscalía Nacional Económica

Claudia Sotelo
*Comisión Para El Mercado
Financiero(CMF)*

Rolando Soto
*Lawyer of Research and Innovation
Department, Superintendencia del
Mercado de Valores (SMV)*

Paola Soto Lizana

*Operational Analysis Manager
Unidad De Análisis Financiero*

Luis Soto Muñoz

*Comisión Para El Mercado
Financiero(CMF)*

**Maria Del Los Angeles Sotomayor
Valduvieso**

*Comisión Para El Mercado
Financiero(CMF)*

Luis Ernesto Tapia Ramirez

*Senior Analyst of Deputy
Superintendence of Prudential
Supervision, Superintendencia del
Mercado de Valores (SMV)*

Cristina Toma

*Profesional I Deputy Superintendence
of Risks, Superintendencia del
Mercado de Valores (SMV)*

Catherine Carolina Tornel León

*Comisión Para El Mercado
Financiero(CMF)*

Pedro Tupper García

Fiscalía Nacional Económica

Ignacio Ubilla Grau

*Comisión Para El Mercado
Financiero(CMF)*

Alberto Valdivia Ocampo

*Specialist in Supervision of Deputy
Superintendence of Prudential
Supervision, Superintendencia del
Mercado de Valores (SMV)*

Williams Arturo Valdivia Salazar

*Abogado I, Legal Counsel Office,
Superintendencia del Mercado de
Valores (SMV)*

Angel Estuardo Valladares Panaifo

*Analista Legal Principal, Legal
Counsel Office, Superintendencia del
Mercado de Valores (SMV)*

Kathya Vargas Valladolid

*Analyst of Deputy Superintendence of
Prudential Supervision,
Superintendencia del Mercado de
Valores (SMV)*

Macarena Vasquez Lepe

*Comisión Para El Mercado
Financiero(CMF)*

Anderson Vela

*Intendente General of Deputy
Superintendence of Market
Conducts, Superintendencia del
Mercado de Valores (SMV)*

Diego Ignacio Veroiza Avello

*Comisión Para El Mercado
Financiero(CMF)*

Josefa Vicencio Sanhueza

*Lawyer, Ministry of Economy,
Development and Tourism*

Carlos Gustavo Vilches Hernandez

*Comisión Para El Mercado
Financiero(CMF)*

Cristian Manuel Villalobos Oliveros

*Comisión Para El Mercado
Financiero(CMF)*

Claudia Villena

*Comisión Para El Mercado
Financiero(CMF)*

Sebastián Felipe Viñals Valdés

*Comisión Para El Mercado
Financiero(CMF)*

Diego Yábar

*Professional III of Deputy
Superintendence of Markets
Conducts, Superintendencia del
Mercado de Valores (SMV)*

Rosario Zamora

*Lawyer of Research and Innovation
Department, Superintendencia del
Mercado de Valores (SMV)*

Kevin Zarabia

*Analista of Deputy Superintendence
of Market Conducts,
Superintendencia del Mercado de
Valores (SMV)*