

IOSCO/PIFS-HLS
Fifth Annual Global Policy Development Seminar
The Impact of Artificial Intelligence on Capital Markets

Monday, November 25, 2024
7:00am – 10:00am (Eastern Time)
Via Zoom

PROGRAM AGENDA:

7:00am (EST)¹

Welcoming Remarks:

- [Tajinder Singh](#) (Acting Secretary General of the International Organization of Securities Commissions)

7:05am – 7:45am (EST)

Opening Presentation: Artificial Intelligence – Definitions, Use Cases, and Impact on Capital Markets

- [Alvin Huang](#) (Principal for Capital Markets at Amazon Web Services)
- Moderated by [Jon Ondrejko](#) (Head of Programs at the Program on International Financial Systems)

7:50am – 8:50am (EST)

Panel Discussion: Legal, Policy, and Ethical Considerations in the Use of Artificial Intelligence in the Financial Sector

- [Howell Jackson](#) (James S. Reid, Jr. Professor of Law at Harvard Law School)
- [Jeffrey Saviano](#) (Global Emerging Technology Strategy & Governance Leader at Ernst & Young and Business AI Ethics Leader at the Safra Center for Ethics at Harvard University)
- [Gary Kazantsev](#) (Global Head of Quant Technology Strategy at Bloomberg)
- [Adam Nunes](#) (Head of Business Development at Hudson River Trading)
- Moderated by [John Gulliver](#) (Executive Director of the Program on International Financial Systems)

¹ Program Times: This agenda reflects times in Eastern Standard Time (EST, or UTC-5:00).

8:55am – 10:00am (EST)

Panel Discussion: Regulatory Approaches to the Use of Artificial Intelligence in Capital Markets

- [Carmine Di Noia](#) (Director of Financial and Enterprise Affairs at the Organization for Economic Co-operation and Development)
- [Claudia Guagliano](#) (Head of the Consumer, Sustainability, and Innovation Analysis Unit of the European Securities & Markets Authority)
- [Dirk Jan Grolleman](#) (Deputy Division Chief in the Financial Supervision & Regulation Division of International Monetary Fund)
- [Sholthana Begum](#) (Head of Data and Strategy, United Kingdom Financial Conduct Authority)
- [Valerie Szczepanik](#) (Director of the Strategic Hub for Innovation and Financial Technology (FinHub) Office, U.S. Securities & Exchange Commission)
- Moderated by [Jon Ondrejko](#) (Head of Programs at the Program on International Financial Systems)

10:00am (EST)

Closing Remarks:

- [Hal S. Scott](#) (Emeritus Nomura Professor of International Financial Systems at Harvard Law School and President of the Program on International Financial Systems)

[Discussion is subject to Chatham House Rules]



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Speaker Biographies

Tajinder Singh

Acting Secretary General of the International Organization of Securities Commissions

Tajinder Singh joined IOSCO in January 2010 as Deputy Secretary General. He took over as Acting Secretary General of IOSCO on 7 May 2024.

Before joining IOSCO, Tajinder was head of International Affairs & Human Resource Development at the Securities and Exchange Board of India (SEBI), where he also served as advisor to the chairman. Tajinder was a member of the Indian Administrative Service (IAS) and held various positions in the Indian Government including in the Ministry of Finance. He has 30 years of experience in senior leadership positions at different organizations dedicated to regulation, finance and administration.

Tajinder has a Bachelor's degree in Electrical and Electronics Engineering from the Indian Institute of Technology, Kanpur and a Master's degree in Systems Science and Automation from the Indian Institute of Science, Bangalore.

Alvin Huang

Principal for Capital Markets at Amazon Web Services

Alvin Huang is a Financial Services Specialist for Worldwide Business Development at Amazon Web Services with a focus on artificial intelligence and machine learning. He has over 20 years of experience in the financial services industry, and prior to joining AWS, he was an Executive Director at J.P. Morgan Chase & Co. where he managed the North America and Latin America transaction surveillance teams and led the development of global trade surveillance. In his spare time, Alvin is a part-time lecturer for Rutgers University's Mathematical Finance Master's program.



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Howell Jackson

James S. Reid, Jr. Professor of Law at Harvard Law School

Howell Jackson is the James S. Reid, Jr., Professor of Law at Harvard Law School. His research interests include financial regulation, consumer financial protection, securities regulation, and federal budget policy. Professor Jackson has served as a consultant to the United States Treasury Department, the United Nations Development Program, the World Bank, and the International Monetary Fund. He frequently consults with government agencies and congressional committees on issues related to financial regulation. From 2023 to 2024, he was a Senior Adviser to the National Economic Council. Since 2005, Professor Jackson has been a trustee of College Retirement Equities Fund (CREF). He has also served as a director of Commonwealth, a non-profit dedicated to strengthening financial opportunities for low and moderate-income consumers. Professor Jackson has co-authored three books—*Financial Regulation: Law and Policy* (Foundation Press, 2016; Fourth Edition, forthcoming 2025), *Analytical Methods for Lawyers* (Foundation Press, 2003; Third Edition, 2017), and *Regulation of Financial Institutions* (West, 1999)—and written numerous scholarly articles. He is co-editor of *Fiscal Challenges: An Interdisciplinary Approach to Budget Policy* (Cambridge University Press, 2008). At Harvard University, Professor Jackson has served as Senior Adviser to the President and Acting Dean of Harvard Law School. Before joining the Harvard Law School faculty in 1989, Professor Jackson was a law clerk for Associate Justice Thurgood Marshall and practiced law in Washington, D.C. Professor Jackson received his J.D. and M.B.A. degrees from Harvard University in 1982 and a B.A. from Brown University in 1976.

Jeffrey Saviano

Global Emerging Technology Strategy & Governance Leader at Ernst & Young and Business AI Ethics Leader at the Safra Center for Ethics at Harvard University

Based in Cambridge, Massachusetts Jeff is a Partner (Principal) with EY Consulting and leads EY's *Emerging Technology Strategy & Governance practice*; he is also the Artificial Intelligence (AI) Leader with



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the *EY Center for Board Matters*. Principally, as an AI ethicist, Jeff advises corporate boards, C-Suite executives, and senior government officials on the ethical implications of AI systems. More broadly, Jeff advises these senior leaders on the risks, opportunities, and policy / governance considerations emanating from innovative technology and data systems, with an emphasis on AI and Web3 applications. Jeff holds appointments at three universities: Harvard University, Massachusetts Institute of Technology (MIT), and Boston University School of Law – to research, study, and teach various facets of innovative technology strategy, governance, policy, and ethics. Jeff received a bachelor's degree in accounting from Iona University, a J.D. from Syracuse University College of Law, and an LL.M. in Taxation from Boston University School of Law. He has published articles on technology policy, innovation theory and application, and advanced technology strategy, policy, governance, and ethics.

Gary Kazantsev

Global Head of Quant Technology Strategy at Bloomberg

Gary is the Head of Quant Technology Strategy in the Office of the CTO at Bloomberg. Prior to taking on this role, he created and headed the company's Machine Learning Engineering group, leading projects at the intersection of computational linguistics, machine learning and finance, such as sentiment analysis of financial news, market impact indicators, statistical text classification, social media analytics, question answering, and predictive modeling of financial markets.

Prior to joining Bloomberg in 2007, Gary had earned degrees with distinction in physics, mathematics, and computer science from Boston University. He is engaged in advisory roles with FinTech and Machine Learning startups and has worked at a variety of technology and academic organizations over the last 20 years. In addition to speaking regularly at industry and academic events around the globe, he is a member of the KDD Data Science + Journalism workshop program committee and the advisory board for the AI & Data Science in Trading conference series. He is also an adjunct professor at Columbia University, and a co-organizer of the annual Machine Learning in Finance conference at Columbia University.



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Adam Nunes

Head of Business Development at Hudson River Trading

Adam Nunes is business operations lead at Hudson River Trading, a multi-asset class, quantitative trading and market making firm based in New York with offices in Chicago, Austin, London, Dublin, Singapore, Mumbai, and Shanghai. At Hudson River Trading, Mr. Nunes is focused on the firm's global risk and compliance operations.

Prior to joining Hudson River Trading in 2009, Mr. Nunes was Vice President, Transaction Services and Head of U.S. Options at NASDAQ where he oversaw the acquisition and integration of NASDAQ PHLX and was responsible for the NASDAQ Options Market. Prior to focusing on options, he was responsible for developing policy initiatives, new products, product enhancements and pricing for NASDAQ's equity transaction products.

Mr. Nunes joined NASDAQ in 2000 as a Research Analyst in the Economic Research Department. Mr. Nunes began his career as a Research Associate at Economists Incorporated, an economic consulting firm based in Washington, DC. Mr. Nunes received his BBA in Finance from the George Washington University.

John Gulliver

Executive Director of the Program on International Financial Systems

John Gulliver is the Executive Director of the Program on International Financial Systems. John manages PIFS' staff and activities, including training programs for financial regulators, international events and research. Since 2023, PIFS' trained over 2,000 government officials from more than 75 nations, including programs in partnership with the World Bank, International Organization of Securities Commissions and Harvard Law School Executive Education. PIFS' events include international symposia, US- China (21 years), US-Europe (22 years) and US-Japan (26 years). John collaborates closely with government officials, academics and private-sector experts to design the curriculum for PIFS' training programs and determine the agenda at PIFS' events. John also leads a research team focused on policy issues impact the global financial system. John has testified before the U.S. House of



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Representatives Committee on Financial Services. John has appeared on CNBC and been published in the Wall Street Journal, Financial Times, New York Times and Bloomberg.

Carmine Di Noia

Director of Financial and Enterprise Affairs at the Organization for Economic Co-operation and Development

Previously, he was Commissioner of the Italian Securities and Exchange Commission (CONSOB), beginning in 2016. He was also alternate member of the Board of IOSCO and the Board of Supervisor at the European Securities and Markets Authority (ESMA), Chair of the Committee of Economic and Markets Analysis (CEMA) and of the Post-Trading Standing Committee at ESMA, and Vice Chair of the Corporate Governance Committee at OECD. He had been Deputy Director General at Assonime, member of the Board of the Italian Stock Exchange, Chairman of the Policy Committee of European Issuers and Head of the technical secretariat of the Italian Corporate Governance Committee.

He was a member of various working groups at the European Commission: European Securities Market Expert Group (ESME), Clearing and Settlement Advisory Monitoring Expert Group (CESAME), Forum Group on Auditors Liability, Securities Expert Group on FSAP.

He is Full Professor of Financial Markets and Banking at the Business School of Luiss University in Rome.

He holds a Ph.D. in Economics at the University of Pennsylvania and a Doctorate in Economic Theory and Institutions at Tor Vergata University.

Claudia Guagliano

Head of the Consumer, Sustainability, and Innovation Analysis Unit of the European Securities & Markets Authority

Claudia Guagliano has been working at ESMA since 2014. She is Head of the Consumer, Sustainability and Innovation Analysis Unit at ESMA, responsible for all ESMA analytical and risk assessment work around digital finance, sustainable finance and retail investors. She chairs the Investor trends and



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Research Working Group at ESMA and she is member of FSB and IOSCO Financial innovation task forces. Before ESMA, Claudia has worked for Consob (Italian Securities Markets Authority), the Italian Federation of Cooperative Banks and the Treasury Department of the Italian Ministry of Economy. She authored different publications in the area of financial markets, including on digital finance and sustainable finance topics. Claudia holds a PhD in International Economics and a Degree in Economics from Bocconi University and a MsC in Economics from Pompeu Fabra University.

Dirk Jan Grolleman

Deputy Division Chief in the Financial Supervision & Regulation Division of International Monetary Fund

Dirk Jan Grolleman joined the IMF in 2012 and is now a Deputy Division Chief in the Financial Supervision and Regulation Division of the Monetary and Capital Markets Department. In his current position he contributes to international policy development and coordinates the delivery of capacity development programs to IMF's membership, with a focus on banking supervision, cybersecurity, fintech, and artificial intelligence.

Prior to joining the IMF in Washington, he worked as a regional financial sector advisor in East Africa (2012-2016), as an advisor to the Deputy Governor of the National Bank of Georgia (2010 – 2012), and as a senior supervisor at the Dutch Central Bank (2006 – 2010). Prior to his work with the Dutch Central Bank, Mr. Grolleman had a private sector career with ING Bank NV over the period 1998 – 2006. Mr. Grolleman is an engineer by education and holds a MSc. in risk management.

Sholthana Begum

Head of Data and Strategy, United Kingdom Financial Conduct Authority

Sholthana has held various roles in front line supervision, central banking and finance, bringing 20+ years of valuable experience to the FCA in its mission to become a digital and intelligence led regulator.



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Sholthana is recognised as a thought leader and considered a pioneer of RegTech, Data and Innovation. Sholthana's leadership and expertise has been globally recognised, and as a result her counsel and advice is often sought after by other regulators and private bodies across the globe. Examples of this include being invited to high profile summits such as the G20.

The influence of Sholthana is substantial, she was named in the 2021 DataIQ power list of the most influential people in Data. In January 2023, Sholthana was appointed as the RGP Technology Group Chair at Cambridge University. In 2024, Sholthana was named as one of the top 20 women in data, further solidifying her reputation as an industry leader.

Valeri Szczepanik

Director of the Strategic Hub for Innovation and Financial Technology (FinHub) Office, U.S. Securities & Exchange Commission

Valerie A. Szczepanik is Head of the Strategic Hub for Innovation and Financial Technology at the U.S. Securities and Exchange Commission (SEC). She is also the Senior Advisor for Digital Assets and Innovation and an Associate Director in the SEC's Division of Corporation Finance. Before that, she served as Assistant Director in the Division of Enforcement's Cyber Unit. Ms. Szczepanik served as a Special Assistant United States Attorney at the United States Attorney's Office for the Eastern District of New York. She clerked for federal judges on the United States District Court for the District of Columbia and the United States Court of Appeals for the Federal Circuit and, prior to clerking, practiced patent law. Ms. Szczepanik received her JD from Georgetown University and her Bachelor of Science degree in Engineering from the University of Pennsylvania.

Jon Ondrejko

Head of Programs at the Program on International Financial Systems

Jon Ondrejko is PIFS' Senior Vice President of Programs, where he helps lead international symposia, training programs for regulators, and special events that foster dialogue and promote education on issues impacting the global financial system. Mr. Ondrejko is also a Senior Research Fellow at the



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Committee on Capital Markets Regulation. Before taking on his current roles, Mr. Ondrejko practiced law as a corporate associate in the Boston office of Cooley LLP. At Cooley, he primarily represented technology and life sciences companies and their investors in connection with private financings, M&A transactions, public offerings, securities regulatory compliance, and corporate governance. Mr. Ondrejko received a B.A. in International Relations from Boston University, graduating summa cum laude with concentrations in economics and East Asian affairs. He received a J.D. from the Boston University School of Law, graduating summa cum laude and receiving the Alumni Academic Achievement Award for highest cumulative grade point average.

Hal S. Scott

Emeritus Nomura Professor of International Financial Systems at Harvard Law School and President of the Program on International Financial Systems

Hal S. Scott is the Emeritus Nomura Professor of International Financial Systems at Harvard Law School (HLS), where he taught from 1975-2018. His HLS courses were on Capital Markets Regulation, International Finance, the Payment System and Securities Regulation. He is currently an adjunct Professor of Public Policy at the Harvard Kennedy School of Government where he teaches Capital Market Regulation and a guest lecturer at Tsinghua University. He has a B.A. from Princeton University (Woodrow Wilson School, 1965), an M.A. from Stanford University in Political Science (1967), and a J.D. from the University of Chicago Law School (1972). In 1974-1975, before joining Harvard, he clerked for Justice Byron White.

He is the Director of the Program on International Financial Systems (PIFS), founded in 1986, as part of Harvard Law School, which became independent in 2018. Besides doing research, the Program organizes the annual invitation-only U.S.-China, U.S.-Europe, and U.S.-Japan Symposia on Building the Financial System of the 21st Century, and special event roundtables. HLS is the non-financial sponsor of these events. In addition, PIFS partners with Executive Education at HLS in offering executive education for financial regulators. Professor Scott's books include the law school textbook *International Finance: Transactions, Policy and Regulation* (23rd ed. Foundation Press 2020); *Connectedness and Contagion* (M.I.T. Press 2016) and *The Global Financial Crisis* (Foundation Press 2009). He is the author of numerous journal articles and oped pieces in leading newspapers. Professor Scott is also the President and



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Director of the Committee on Capital Markets Regulation, a bi-partisan non-profit organization organized in 2006, dedicated to enhancing the competitiveness of U.S. capital markets and ensuring the stability of the U.S. financial system via research and advocacy.

He is also an independent director of MEMX, the Members Exchange and a member of the Market Monitoring Group of the Institute of International Finance. He is a past independent director of Lazard, Ltd. (2006-2016), a past President of the International Academy of Consumer and Commercial Law and a past Governor of the American Stock Exchange (2002-2005).

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First Name	Surname	Job Title	Institution	Jurisdiction
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Avilasha	Gunalan	Graduate Management Executive	Securities Commission	Malaysia
Chyi	Lee	Deputy General Manager	Securities Commission	Malaysia
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Wai Yee	Lee	Assistant General Manager	Securities Commission	Malaysia
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Puvaneshwaran	Ramakrishnan	Manager	Securities Commission	Malaysia
Farhana	Halim	Manager	Securities Commission	Malaysia
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Ramiro	Losada	Economist	Comisión Nacional del Mercado de Valores	Spain
Adrian	Gonzalez	Data Analyst	Comisión Nacional del Mercado de Valores	Spain
Alvaro	Lopez	Data Scientist	Comisión Nacional del Mercado de Valores	Spain

Carlos	Soto	Analyst	Comisión Nacional del Mercado de Valores	Spain
Daniel	García-Madrid	Analyst	Comisión Nacional del Mercado de Valores	Spain
Javier	Bonilla	Technician	Comisión Nacional del Mercado de Valores	Spain
JESUALDO	DOMINGUEZ-ALCAHUD	MANAGER	Comisión Nacional del Mercado de Valores	Spain
Óscar	Mateos López	Data Analyst	Comisión Nacional del Mercado de Valores	Spain
María Dolores	Santiago	Analyst at CNMV	Comisión Nacional del Mercado de Valores	Spain
Laura	Montero	Policy officer and Lawyer	Comisión Nacional del Mercado de Valores	Spain
Nieves	Gómez	Strategy and Risk Management deputy director	Comisión Nacional del Mercado de Valores	Spain
Gema	Pedron	Analyst	Comisión Nacional del Mercado de Valores	Spain
MARTA	LORENZO ALVAREZ	ANALYST	Comisión Nacional del Mercado de Valores	Spain
Paula	Millan	Officer	Comisión Nacional del Mercado de Valores	Spain
ANA	FERNANDEZ ARIMANY	TECNICO	Comisión Nacional del Mercado de Valores	Spain
Margarita	Travesi de los Santos	Technician	Comisión Nacional del Mercado de Valores	Spain
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Matilde	Barbo	Senior	Comisión Nacional del Mercado de Valores	Spain
Marta	Redondo	Senior Analyst, Secondary Markets	Comisión Nacional del Mercado de Valores	Spain

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Jorge	Hernandez	Senior Officer	Comisión Nacional del Mercado de Valores	Spain
LAURA	GONZALEZ	Officer	Comisión Nacional del Mercado de Valores	Spain
Raquel	Ramirez Panting	Fintech Dpt	Comisión Nacional del Mercado de Valores	Spain
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Claudia	Terao	Senior legal counsellor	Finansinspektionen	Sweden
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Jonathan	Balcom	Assistant Director	Securities and Exchange Commission	United States of America
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