

MiFID II and the Evolution of the Sell-Side

MiFID II, a European Union regulation, took effect this January, impacting global investment banks and other firms offering sell-side research. These new regulations, together with trends like passive investing and high-frequency trading, are bringing significant changes to the sell-side on both sides of the Atlantic. This lunch program will help IR professionals understand the implications for their companies' investor relations programs.



MARCH 15TH

LOEWS MINNEAPOLIS HOTEL

601 First Ave N
Minneapolis, MN 55403

11:30 AM – 1:00 PM

REGISTRATION: 11:30
LUNCH/PROGRAM: Noon – 1:00

COST

Members: free
Non-members: \$45
Payment accepted at the door.

QUESTIONS

Contact Jane Cracraft at
612-376-7979 or email
jane.cracraft@businesswire.com

**PLEASE RSVP BY
MARCH 12, 2018**

- How is the sell-side adapting its business model due to these regulations?
- How is the buy-side changing its approach to research?
- How are other trends, such as passive investing, high-frequency trading, and activism impacting the sell-side business model?
- What will be the impact on research coverage and corporate access?



Mitch Schacher

Head of Corporate Access, Americas - UBS

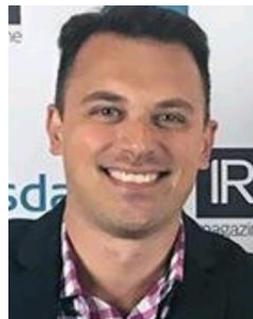
Mitch is an Executive Director at UBS and Head of Corporate Access in the Americas where he advises corporate clients on global investor opportunities. He is a member of the Americas Distribution Committee and is actively involved in diversity initiatives. With 15+ years of experience at UBS, he was most recently US COO of Equities Distribution. Previous to that, he was a Global COO of Sales in Prime Services. Mr. Schacher received his MBA from the Katz Graduate School of Business, University of Pittsburgh and BS in Neuroscience from the University of Pittsburgh.



Dean Ramos

Senior Portfolio Manager - COLUMBIA THREADNEEDLE

Dean is a senior portfolio manager for Columbia Threadneedle Investments and has had a nearly three-decade career in the investment industry, both on the sell-side and buy-side. From 1990 to 2000 he worked in investment banking in both management and as a published research analyst. Since 2000 he has been allocating capital for clients under multiple mandates in equity markets across the Americas, Europe and Asia. He has held the Chartered Financial Analyst designation since 1993 and holds BS and MBA degrees from the University of Minnesota.



Dan Romito

Global Head of Investor Analytics - NASDAQ

Dan's responsibilities include overseeing Nasdaq's Strategic Capital Intelligence team, Insight360 Analytics Platform and managing a global roster of advisory clients. His advisory work focuses on consulting IROs, senior management teams and boards across the globe on optimizing capital allocation strategies, mitigating risk within their shareholder base and identifying opportunistic investors. Dan also created the "Activist Diagnostic," a quant model that gauges the vulnerability of a corporate client based on their respective fundamental and ESG profile.

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