

COPING WITH INSTITUTIONAL ORDER FLOW

Edited by

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Coping With Institutional Order Flow Zicklin School Of Business Financial Markets Series

**Robert A. Schwartz, John Aidan
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Coping With Institutional Order Flow Zicklin School Of Business Financial Markets Series:

Coping With Institutional Order Flow Robert A. Schwartz, John Aidan Byrne, Antoinette Colaninno, 2006-10-16 On April 29 2003 the Zicklin School of Business hosted a trading conference titled Coping With Institutional Order Flow This conference was electronically recorded and later transcribed for this book The text includes the edited transcript of the panel discussions and separate presentations by two major industry executives Richard Ketchum and Robert Mc Sweeney As with the other volumes in this popular series this book is not simply intended to be an historical record of the conference We have edited the manuscript for clarity perspective and context New material was gathered in subsequent interviews with many of the panelists Consequently some remarks and passages in the text were altered and expanded and many footnotes were introduced Our goal was to flesh out the dialogue and presentations and to keep the material as contemporary as possible In doing so we went to great lengths to preserve the essential nature of the original debate We worked closely with the panelists in the editing process and took pains not to distort the meaning of their remarks They have all approved the final draft of the manuscript We thank them for their assistance and patience In my opening remarks at the conference I suggested that effective handling of institutional order flow is one of the most important and difficult At the time of the conference Richard Ketchum was President and Deputy Chairman at The Nasdaq Stock Market Inc Preface xiv challenges facing our equity markets today

Coping with Institutional Order Flow John Aidan Byrne, Robert Alan Schwartz, Antoinette Colaninno, 2005-06 Specialists and floor brokers in direct contact on the trading floor are at the heart of operations at the national U S equity exchanges At the other end of the spectrum electronic trading platforms characterize most other equity markets globally Why have we not followed the international trend and should we Can the unique services offered by the floor be provided as effectively in an electronic environment Which environment would institutional and retail traders each find most suitable to their special needs These are some of the questions that will be addressed In so doing Electronic vs Floor Based Trading will provide perspective on the future direction that exchange market structure is likely to follow in the coming years

Coping With Institutional Order Flow Robert A. Schwartz, John Aidan Byrne, Antoinette Colaninno, 2005-06-24 The sequence of securities markets conferences at Baruch College s Zicklin School of Business in New York City are recorded in this popular series The conferences are hosted by the college for industry professionals regulators and academicians These books are much more than historical documents The transcripts from the conferences were carefully edited for clarity perspective and context Materials were included from subsequent interviews with the panelists and speakers Each book is focused on a well delineated topic but all deliver broader insights into the quality and efficiency of the U S equity markets and the dynamic forces changing them

Electronic vs. Floor Based Trading Robert A. Schwartz, John Aidan Byrne, Antoinette Colaninno, 2006-06-03 Specialists and floor brokers in direct contact on the trading floor are at the heart of operations at the national U S equity exchanges At the other end of the spectrum electronic trading

platforms characterize most other equity markets globally Why have we not followed the international trend and should we Can the unique services offered by the floor be provided as effectively in an electronic environment Which environment would institutional and retail traders each find most suitable to their special needs These are some of the questions that will be addressed In so doing Electronic vs Floor Based Trading will provide perspective on the future direction that exchange market structure is likely to follow in the coming years *Equity Trading Round-Up* Robert A. Schwartz, John Aidan Byrne, Eileen Stempel, 2020-11-16 This book examines the complexity of trading and the creation of liquidity Titled after the Baruch College Financial Markets Conference Equity Market Round Up Proposals for Strengthening the Markets this book explores how regulation has a clear impact on market structure and therefore how market structure impacts efficient trading and capital formation The following questions are analyzed What are the liquidity strategies for pricing and interacting Is liquidity any more available today for an illiquid stock than it was on the floor of the exchange 20 years ago How do we cope with the dynamics of a continuous market How can market structure be improved What are the effects of high frequency trading The Zicklin School of Business Financial Markets Series presents the insights emerging from a sequence of conferences hosted by the Zicklin School at Baruch College for industry professionals regulators and scholars The transcripts from the conferences are edited for clarity perspective and context material and comments from subsequent interviews with the panelists and speakers are included for a complete thematic presentation Each book is focused on a well delineated topic but all deliver broad insights into the quality and efficiency of the U S equity markets and the dynamic forces that are changing them **Rethinking Regulatory Structure** Robert A. Schwartz, John Aidan Byrne, Gretchen Schnee, 2012-07-23 Three dominant forces worldwide are driving change today in our financial markets competition technology and regulation But their collective impact in reshaping the markets though they may be viewed individually as desirable or well intentioned is producing challenging results that are difficult to predict hard to control and not easy to understand Extreme market turbulence has underlined the key issues as much attention turns to the appropriate regulatory response That is the backdrop for this thought provoking book emerging from a Baruch College Conference on equity market structure in the aftermath of the global financial crisis and featuring contributions from an acclaimed panel of international scholars policymakers regulators and industry leaders The result presents emerging perspective and ideas that illuminate the dynamics of financial regulation today and into the future The Zicklin School of Business Financial Markets Series presents the insights emerging from a sequence of conferences hosted by the Zicklin School at Baruch College for industry professionals regulators and scholars Much more than historical documents the transcripts from the conferences are edited for clarity perspective and context material and comments from subsequent interviews with the panelists and speakers are integrated for a complete thematic presentation Each book is focused on a well delineated topic but all deliver broader insights into the quality and efficiency of the U S equity markets and the dynamic forces changing them The Quality of

Our Financial Markets Robert A. Schwartz, John Aidan Byrne, Gretchen Schnee, 2012-11-29 The structure and operations of the US equity markets have evolved dramatically in recent decades with the advent of major technology and regulatory changes Nothing short of a groundbreaking shift has occurred in the securities industry as the transition has been made from predominantly manual human intermediated trading to predominantly electronic trading By many measures commission spreads and market impact costs have been dramatically reduced in recent years But does that mean that market quality has improved That is the key question addressed in this book titled after the Baruch College Conference The Quality of Our Financial Markets Taking Stock of Where We Stand Featuring contributions from a distinguished panel of practitioners academicians and regulators this volume offers a penetrating and timely account of the most current issues in market quality covering such topics as high frequency trading the Flash Crash of May 6th 2010 dark pools lit pools fragmentation disruptive and advanced technologies And very significantly it takes a close look at the impact and influence of regulation The Zicklin School of Business Financial Markets Series presents the insights emerging from a sequence of conferences hosted by the Zicklin School at Baruch College for industry professionals regulators and scholars Much more than historical documents the transcripts from the conferences are edited for clarity perspective and context material and comments from subsequent interviews with the panelists and speakers are integrated for a complete thematic presentation Each book is focused on a well delineated topic but all deliver broader insights into the quality and efficiency of the U S equity markets and the dynamic forces changing them

The New NASDAQ Marketplace Robert A. Schwartz, John Aidan Byrne, Antoinette Colaninno, 2007-06-10 This book is based on the proceedings of The New NASDAQ Marketplace a conference hosted by the Zicklin School of Business at Baruch College on May 3 2005 The text contains the edited transcript of the panel discussions and two major presentations one by Gerald Putnam President and Co Chief Operating Officer of the NYSE Group the other by Robert Greifeld Chief Executive Officer of the NASDAQ Stock Market Putnam was CEO of Archipelago at the time of the conference As with the other books in this popular series this book is more than an historical record The manuscript has been heavily edited for clarity and unity of ideas New material is included from interviews after the conference with many of the speakers The intention has been to round out the discussions while being careful not to sacrifice the essential nature of the 1 original dialogue A paper is included by Pagano and Schwartz and a 2 separate paper by Jeffery Smith on the NASDAQ crosses is also provided The former paper is the basis of Michael Pagano s remarks on the first panel Reengineering a Marketplace All through the editing process we worked closely with the panelists so that we did not to put words in their mouths They have all approved the final draft and we thank them here for their assistance We also gratefully

Volatility Robert A. Schwartz, John Aidan Byrne, Antoinette Colaninno, 2010-11-18 Volatility is very much with us in today s equity markets Day to day price swings are often large and intra day volatility elevated especially at market openings and closings What explains this What does this say about the quality of our markets Can short period volatility be controlled by better

market design and a more effective use of electronic technology Featuring insights from an international array of prominent academics financial markets experts policymakers and journalists the book addresses these and other questions concerning this timely topic In so doing we seek deeper knowledge of the dynamic process of price formation and of the market structure and regulatory environment within which our markets function The Zicklin School of Business Financial Markets Series presents the insights emerging from a sequence of conferences hosted by the Zicklin School at Baruch College for industry professionals regulators and scholars Much more than historical documents the transcripts from the conferences are edited for clarity perspective and context material and comments from subsequent interviews with the panelists and speakers are integrated for a complete thematic presentation Each book is focused on a well delineated topic but all deliver broader insights into the quality and efficiency of the U S equity markets and the dynamic forces changing them

Technology and Regulation Robert A. Schwartz,John Aidan Byrne,Antoinette Colaninno,2009-07-24 This book is an augmented account of Technology and Regulation How Are They Driving Our Markets a conference hosted by the Zicklin School of Business at Baruch College on May 1 2007 The text includes the edited transcript of the full conference four panels and the major presentations of three distinguished industry leaders Ian Domowitz Managing Director ITG Inc Erik Sirri Director of the Division of Market Regulation US Securities and Exchange Commission and John Thain who was CEO of NYSE Euronext at the time of the conference The book also includes a related paper by Paul Davis Mike Pagano and myself Divergent Expectations Journal of Portfolio Management Fall 2007 My co editors and I have worked diligently to make this book like all the other popular books in the series more than an historical record John Byrne Antoinette Colaninno and I have edited the manuscript heavily for clarity and unity of ideas

Competition in a Consolidating Environment Robert A. Schwartz,John Aidan Byrne,Antoinette Colaninno,2009-03-02 Competition between market centers is a driving force for innovation dynamic growth and reasonable pricing structures Consolidating the order flow amasses liquidity sharpens price discovery and lowers trading costs Can competition remain vibrant in a consolidated environment How does inter market competition play out with respect to trading decisions and listing decisions What will the primary sources of competition be in the future What impacts will follow from the NYSE s acquisition of Archipelago and NASDAQ s acquisition of INET Will exchanges further consolidate in Europe What does consolidation imply about the efficient use of technology the effective handling of institutional order flow and overall market quality These are some of the questions that were addressed at this conference

Volatility Robert A. Schwartz,John Aidan Byrne,Antoinette Colaninno,2012-12-28 Volatility is very much with us in today s equity markets Day to day price swings are often large and intra day volatility elevated especially at market openings and closings What explains this What does this say about the quality of our markets Can short period volatility be controlled by better market design and a more effective use of electronic technology Featuring insights from an international array of prominent academics financial markets experts policymakers and journalists the book addresses these and other

questions concerning this timely topic. In so doing, we seek deeper knowledge of the dynamic process of price formation and of the market structure and regulatory environment within which our markets function. The Zicklin School of Business Financial Markets Series presents the insights emerging from a sequence of conferences hosted by the Zicklin School at Baruch College for industry professionals, regulators, and scholars. Much more than historical documents, the transcripts from the conferences are edited for clarity, perspective, and context. Material and comments from subsequent interviews with the panelists and speakers are integrated for a complete thematic presentation. Each book is focused on a well-delineated topic, but all deliver broader insights into the quality and efficiency of the U.S. equity markets and the dynamic forces changing them.

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