CONFERENCE

# 3rd Annual Compliance and Legal Conference

02 October 2019 / The Westin Paris - Vendôme

## Day 1 - Wednesday, 2 October 2019

*17:30 / Registration and refreshments*

18:00

Pre-conference welcome drinks reception – The Winter Garden

# *Day 2 - Thursday, 3 October 2019*

## *09:00 / Breakfast briefing registration and refreshments*

**BREAKFAST BRIEFING**

09:30

Trends in Outsourcing

OVERVIEW

- / Regulators views on outsourcing
- / EBA Guidance
- / ESMA back branching guidelines
- / Client bond building
- / Internal outsourcing

### *Speaker*

**Francesco Mauro**
Head of the EBA Unit on Supervisory Review, Recovery and Resolution, European Banking Authority

## *10:30 / Conference registration and refreshments*

11:00

Opening remarks

11:10

Keynote address

**UPDATE**

11:50

KPMG Surveillance Report

# *Day 2 - Thursday, 3 October 2019*

PANEL DISCUSSION

12:05

**AI, Blockchain and Crypto assets – Compliance Challenges for a Technology-Driven Bank**

OVERVIEW

- Keeping pace with business use of technology and development of new products
- Algorithmic trading and machine learning – how do you manage and enforce against machines?
- Supervisory expectations on the compliance function
- Opportunities to leverage technology for compliance processes

## *Moderator*



**Fiona Willis**
Manager, Global FX and Compliance, AFME

FINANCIAL CRIME

12:05

**New Paradigm for European AML Supervision**

OVERVIEW

- Creation of an Anti-Money Laundering 'Superagency'
- EBA's new powers as part of an improvement of the European supervisory agencies
- Transformation of the Anti-Money Laundering Directives into a Regulation
- Public/private partnerships to tackle Economic Crime

## *Speakers*



**Andrei Stefanuc**
Team leader – anti-money laundering policy, European Commission



**Valerie Tay**
Executive Director, Anti-Money Laundering Department, Monetary Authority of Singapore (MAS)



**William Morgan**
Group Public Affairs, Financial Crime Policy, HSBC

***13:00 / Networking lunch***

# *Day 2 - Thursday, 3 October 2019*

MIFID IN-FOCUS

14:00

## Market Structure

OVERVIEW

- What can we expect to be covered in MiFID III
- Market access, competition and consolidated tape as with existing MiFID II regulations.
- Where are the pressure points following MiFID II implementation?

### *Speaker*



**Patrice Aguesse**
Director, Head of Market Regulation Division, Autorité des Marchés Financiers

LEGAL ISSUES

14:00

## Managing Internal Investigations

OVERVIEW

- An interactive session on handling a regulatory
- investigation
- Scenario based look at the various considerations
- Focus on the overlap between regulatory issues and
- anti-competitive practices.

### *Speakers*



**Antony Whitehouse**
UK Head of Compliance, Natixis

**Martin Mackenzie**
EMEA Head of Antitrust & Competition Compliance, J.P. Morgan

*14:50 / Interval*

# *Day 2 - Thursday, 3 October 2019*

MIFID IN-FOCUS

14:55

**Investor Protection**

Key issues in investor protection, including:

OVERVIEW

- The wholesale/retail split
- The equity/non-equity split
- Costs and charges
- Product governance
- Post-trade transparency

## *Speaker*



**Katsuko Ishizeki-Chaudhari**
Head of UK Global Markets Compliance, Natixis

LEGAL ISSUES

14:55

**Brexit – Remaining Challenges and Future Prospects**

OVERVIEW

- What are the possible scenarios ahead of 31 October?
- What remaining challenges are banks facing?
- Where do we stand on no-deal planning at EU and national level?
- What does the future look like for financial services post-Brexit?
-

## *Moderator*



**Etienne Dessy**
Partner, Linklaters LLP

# *Day 2 - Thursday, 3 October 2019*

FINANCIAL CRIME

14:55

**Financial Crime Technological Trends**

OVERVIEW

- Transforming detection and prevention of financial crime
- Surveillance techniques and financial crime
- AI and proactive AML systems
- Facilitation of the cross-border use of electronic identification (eID) and Know-Your-Customer (KYC) portability

## *Moderator*



**Francesco Vivarelli**
Director - Forensic Data Analytics – Financial Crime Technology

## *Speakers*



**Stéphane Mouy**
Project Leader of the European Commission Expert Group on eID



**Valerie Tay**
Executive Director, Anti-Money Laundering Department, Monetary Authority of Singapore (MAS)

*15:45 / Networking break*

# *Day 2 - Thursday, 3 October 2019*

PANEL DISCUSSION

16:25

**Regulatory Review and Pipeline**

OVERVIEW

- What's coming from the new Commission?
- What's coming from IOSCO?
- What keeps EU regulators awake at night?
- Post Brexit, will the PRA and FCA have any relevance in Europe?

## *Moderator*




**Will Dennis**
Managing Director, Head of Compliance, AFME

17:25

**Keynote address**

18:00

**Day one closing remarks**

***18:05 / Networking drinks reception***

# Day 3 - Friday, 4 October 2019

## 08:00 / Registration and refreshments

BREAKFAST BRIEFING

08:15

**What Compliance Officers Need to Know About Sustainable Finance**

OVERVIEW

- Regulatory initiatives – what are the views from global, European and national level on taxonomy, disclosure, integrated reporting and investor protection (under MIFID II) in the context of sustainable finance?
- Are regulators aligned and consistent in their proposals and obligations – whose advise should market participants follow?
- Do government, regulator and client expectations of 'sustainable finance' match up?
- Best practice reporting standards – what should be expected to be included in the reports?
- Client demand for ESG investments – what are the key sustainability factors for clients and how can the risks be identified? How do clients balance stainability objectives with returns?
- What actions should governments, industry and society be responsible for in taking sustainability forward?

### *Moderator*



**Mats Isaksson**
Head of the Corporate Governance and Corporate Finance Division, OECD

09:10

**Opening remarks**

# *Day 3 - Friday, 4 October 2019*

GLOBAL HEADS OF COMPLIANCE ROUNDTABLE

09:15

**Future of the Compliance Function, Trends in Conduct and Culture**

OVERVIEW

- What keeps global heads of compliance awake at night?
- Do compliance heads get enough support from your senior management / your regulator?
- How will the skillset of your successor differ from yours?
- Will compliance officers ever be replaced by robots?
- How do you change the culture of an organisation?

## *Speaker*

**Tracey McDermott**
Group Head - Corporate Affairs, Brand and Marketing, Group Head – Conduct, Financial Crime and Compliance Standard Chartered Bank

10:05

**Keynote address**

*10:35 / Networking break*

REGULATION IN- FOCUS

11:05

**Navigating the paths to risk-free rates: plans, progress, achievements and challenges**

## *Speaker*



**Frédérick Lacroix**
Partner, Head of Financial Services and Asset Management, Paris Clifford Chance

# *Day 3 - Friday, 4 October 2019*

DATA WORKSHOPS

11:05

**Beyond GDPR**

OVERVIEW

- / Published enforcement decisions
- / Reconciling PSD2 and data protection
- / Usage of data in R&D and sandboxes in the finance sector
- / Transaction data further usage
- / Data analysis and AI
- / EBA outsourcing guidelines from a data protection viewpoint

EMERGING LEADERS' SEMINAR

11:05

**Creating Your Path to Senior Management**

*11:55 / Interval*

REGULATION IN- FOCUS

12:00

**MAR Review**

DATA WORKSHOPS

12:00

**Trends in Surveillance**

## *Moderator*



Paul Tombleson
Partner, KPMG LLP

# *Day 3 - Friday, 4 October 2019*

EMERGING LEADERS' SEMINAR

12:00

Creating a Culture of Diversity and Inclusion

OVERVIEW

- Building LGBT plus and BAME equality within the financial service sector
- What can banks do to be inclusive

## *Speaker*



Katia Merlini
Partner, Hogan Lovells

*12:50 / Networking lunch*

PANEL DISCUSSION

13:50

Fitness and Propriety

## *Speaker*



Ana Rita Campos
Head of the Boards Suitability Assessment Section,
European Central Bank

14:50

Keynote address

# Day 3 - Friday, 4 October 2019

15:30

Closing remarks

## Moderator




**Will Dennis**
Managing Director, Head of Compliance, AFME