

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

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09:00 / Breakfast briefing registration and refreshments

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09:30 / [Breakfast briefing](#)  
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

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10:30 / Conference registration and refreshments

11:00 / Opening remarks

11:10 / Keynote address

11:50 / [Update](#)  
KPMG Surveillance Report

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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



**William Morgan**

Group Public Affairs, Financial Crime Policy, HSBC



**Andrei Stefanuc**

Team leader – anti-money laundering policy, European Commission



**Valerie Tay**

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

13:00 / **Networking lunch**

14:00 / **MiFID in-focus**  
**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

14:00 / **Legal issues**  
**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

**Martin Mackenzie**

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



**Antony Whitehouse**

UK Head of Compliance, Natixis

14:50 / **Interval**

14:55 / **MiFID in-focus**  
**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

14:55 / **Financial crime**  
**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**

16:25 / **Panel discussion**  
**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

## ***Day 2 - Thursday, 3 October 2019***

17:25 / Keynote address

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18:00 / Day one closing remarks

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18:05 / Networking drinks reception

08:00 / Registration and refreshments

08:00 / Registration and refreshments

08:15 / **Breakfast briefing**  
**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 advice 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 sustainability 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

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09:10 / Opening remarks

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# Day 3 - Friday, 4 October 2019

09:15 / **Global Heads of Compliance roundtable**

**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

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**10:05 / Keynote address**

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**10:35 / Networking break**

11:05 / **Regulation in- focus**

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

## SPEAKER



**Frédéric Lacroix**

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

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# Day 3 - Friday, 4 October 2019

11:05 / **Data workshops**  
**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**

12:00 / **Regulation in- focus**  
**MAR Review**

**Data workshops**  
12:00 / **Trends in Surveillance**

## MODERATOR



**Paul Tombleson**

Partner, KPMG LLP

## Day 3 - Friday, 4 October 2019

12:00 / **Emerging leaders' seminar**  
**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

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12:50 / **Networking lunch**

13:50 / **Panel discussion**  
**Fitness and Propriety**

### SPEAKER



**Ana Rita Campos**

Head of the Boards Suitability Assessment Section, European Central Bank

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14:50 / **Keynote address**

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15:30 / **Closing remarks**

### MODERATOR

**Will Dennis**

Managing Director, Head of Compliance, AFME

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