

CONFERENCE

# *4th Annual European Compliance and Legal Virtual Conference*

07 October 2020 / Virtual (BST)

## *Day 1 - Wednesday, 7 October 2020*

08:30 / Opening remarks

### CHAIRS



**James Kemp**

Managing Director, Global FX, Technology and Operations and Policy Divisions, GFMA and AFME



**Bharat P Samani**

Managing Director, Head of Compliance, Europe, BBVA

08:45 / Keynote address

### SPEAKER



**Robert Ophèle**

Chairman, Autorité des Marchés Financiers (AMF)

### PANELLIST



**James Kemp**

Managing Director, Global FX, Technology and Operations and Policy Divisions, GFMA and AFME

09:15 / Networking break

# Day 1 - Wednesday, 7 October 2020

Panel discussion

09:30 / **The Future of The Compliance Function in The Wake of Global Emergencies**

## OVERVIEW

- / What keeps global heads of compliance awake at night?
- / Compliance after COVID-19: lessons learnt and the way forward

## MODERATOR



**Andrew Procter**

Partner, Herbert Smith Freehills

## SPEAKERS



**Seung Earm**

Head of Regulatory and Territory Office, BNP Paribas



**Es Nelson-Jones**

Head of Compliance, Conduct and Financial Crime, Natwest Markets

**Andrew Sowter**

Chief Compliance Officer, EMEA, GB&M and CMB, HSBC

Energy break

10:20 / **How to Thrive and Succeed in the COVID-World:  
Three Simple Science-Based Steps for Success**

## SPEAKER



**Dr Jon Finn**

Founder and Managing Director, Tougher Minds and MePower-TeamPower Coaching Programme

10:40 / **Panel discussion**  
**The EU Regulatory Framework for Sustainable Finance**

## OVERVIEW

- / Recent regulatory reforms: EU taxonomy, disclosure, European green deal and the renewed sustainable finance strategy
- / Coordination and harmonisation between EU, national and international initiatives
- / Developing transition finance and mainstreaming green products
- / The need for transparent, reliable information and adequate methodologies/metrics
- / ESG investments: key sustainability factors, short-termism and risk mitigation

## MODERATOR



**Nicola Higgs**

Partner, Latham & Watkins

## SPEAKERS

**Dora Blanchet**

Team Leader, Convergence, European Securities and Markets Authority (ESMA)



**Judson Berkey**

Managing Director, Group Head of Sustainability Regulatory Strategy, UBS



**Slavka Eley**

Head of Banking Markets, Innovation and Products, European Banking Authority (EBA)

11:30 / **Networking break**

11:45 / **Panel discussion**  
**Financial Crime and The New European Commission's Action Plan**

## OVERVIEW

- / Towards a maximum harmonisation approach in AML legislation
- / AML/CFT risks affecting wholesale markets
- / Developments in AML/CFT supervision in Europe
- / Public-private partnerships to fight financial crime
- / 'De-risking' and its impact on access to financial services

## MODERATOR



**Susannah Cogman**

Partner, Herbert Smith Freehills

## SPEAKERS

**Dr Dirk Haubrich**

Head of Conduct, Payments and Consumers, European Banking Authority (EBA)



**Jo Swyngedouw**

Deputy Director, Head of Financial Stability, AML Supervision and Banking Prudential Policy, National Bank of Belgium



**Maria Stolpe**

Head of Group Public Affairs, Nordea Bank

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12:30 / **On demand session**  
**Outsourcing in Financial Services**

## OVERVIEW

- / Overview of the AFME & Latham & Watkins reference paper designed for those in Compliance and Legal functions
- / Key risks and challenges that firms face in relation to outsourcing
- / Outsourcing in an intra-group and intra-entity context
- / Horizon scanning and the impact of Brexit

## MODERATOR



**Anne Mainwaring**

Senior Associate, Latham & Watkins

## SPEAKERS



**Ollythia Bernard-Stewart**

EMEA Compliance COO and Acting Head of EMEA Compliance, Wells Fargo



**Emily Henderson**

Head of Central Compliance and UK Global Advisory (Corporate Finance) Compliance, Rothschild & Co



**Louise Rodger**

Director, Compliance, AFME

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12:30 / **On demand session**  
**Regulatory Enforcement Cases**

## OVERVIEW

- / An overview of the current and future approaches of regulators in different EU jurisdictions
- / Strategies for interacting with the regulators and courts during the enforcement process
- / What we can learn from recent notable regulatory enforcement case in terms of emerging trends and key considerations

## MODERATOR



**Chris Ninan**

Partner, Herbert Smith Freehills

## SPEAKERS



**Andrew George**

QC, Barrister, Blackstone Chambers



**Guillaume Hannotin**

Lawyer, Council of State and the Court of Cassation



**Martin Le Touzé**

Partner, Herbert Smith Freehills

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13:15 / **Closing remarks**

## CHAIR



**Louise Rodger**

Director, Compliance, AFME

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08:30 / Opening remarks

**CHAIRS**



**Richard Middleton**

Managing Director, Head of Policy Division,  
AFME

**Alastair Stables**

Head of International Regulatory Relations, Bank of  
America and Co-Chair, AFME's Compliance Committee

08:30 / Opening remarks

**CHAIRS**



**Richard Middleton**

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Head of International Regulatory Relations, Bank of  
America and Co-Chair, AFME's Compliance Committee

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08:40 / **Panel discussion**  
**Brexit: The Beginning of The End**

## OVERVIEW

- / Understanding the future relationship
- / What are the biggest remaining challenges for firms?
- / Status of the negotiations
- / What could a deal (or no deal) mean for European financial services?
- / The UK's focus: managing onshoring and in-flight legislation

## MODERATOR



**Caroline Dawson**

Partner, Clifford Chance

## SPEAKERS



**Caroline Boon**

Director, Legal, Barclays



**Arved Kolle**

Associate Director, Brexit, AFME



**Rob Price**

Deputy General Counsel, The Bank of England

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09:30 / **Networking break**

09:45 / **Panel discussion**  
**New Trends in Conduct and Culture**

## OVERVIEW

- / Measuring corporate culture: an impossible operational challenge?
- / Complexity of culture and behaviour: lessons for Senior Management
- / Covid-19: challenges and opportunities
- / An overview of the FCA's 5 Conduct Questions report

## MODERATOR



**Stephen Strombelline**

Managing Director, Capital Forensics

## SPEAKERS



**Alessandro Chiozzi**

Head of European Wholesale Banks Supervision, Financial Conduct Authority (FCA)



**Leslie Coombs**

C&ORC UK and IB Head of Conduct Risk Framework, UBS



**Antony Whitehouse**

Head of Compliance, Natixis

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10:35 / **Energy break**  
**Virtual Mind Reading**

## OVERVIEW

- / Kindly sponsored by Latham & Watkins

## SPEAKER



**Alex Crow**

Mindreader, Alex Crow Ltd.

## SPONSORS



11:05 / **Panel discussion**  
**Leading the Conduct Agenda**

## OVERVIEW

- / The importance of good leadership in driving healthy cultures
- / How to ensure effective approaches to diversity and inclusion
- / How can firms proactively respond to what is on the horizon?

## MODERATOR



**Louise Rodger**

Director, Compliance, AFME

## SPEAKERS



**Catherine Brown**

Partner Board Member, FICC Market Standards Board (FMSB)



**Maurice Evlyn-Buften**

Chief Executive Officer, Armstrong Wolfe



**Tracey McDermott**

Group Head, Corporate Affairs, Brand and Marketing, Conduct, Financial Crime and Compliance, Standard Chartered Bank



**Derville Rowland**

Director General, Financial Conduct, Central Bank of Ireland

11:50 / **Networking break**

12:00 / **Panel discussion**  
**The Market Abuse Regulation Under Review**

## OVERVIEW

- / How effective is MAR in combatting Market Abuse and where do firms face particular challenges?
- / MAR reform: ESMA's technical advice to the Commission
- / Covid-19: how are firms and regulators responding to the new Market Abuse risks?

## MODERATOR



**Nick Bayley**

Managing Director, Compliance and Regulatory Consulting, Duff & Phelps

## SPEAKERS



**Emily Ballisat**

Solicitor, BNP Paribas



**Rodrigo Buenaventura**

Market Directorate General Director, Spanish National Securities Market Commission (CNMV)



**Anne Mainwaring**

Senior Associate, Latham & Watkins

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12:45 / **On demand session**  
**IBOR Transition**

## OVERVIEW

- / Principles for good client communications
- / Client understanding and readiness
- / Impact of Covid-19 on transition timelines
- / The challenges ahead in 2021

## MODERATOR



**Jeremy Walter**

Partner, Clifford Chance

## SPEAKERS



**Helen Boyd**

Head of Markets Policy, Financial Conduct Authority (FCA)



**Katsuko Ishizeki-Chaudhari**

Head of UK Global Markets Compliance, Natixis



**Luca Zaccagnino**

Libor Migration Consultant, UBS

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On demand session

## 12:45 / Recent Developments in The World of Data - What Do They Mean for Financial Services Firms?

### OVERVIEW

- / Life after Schrems II: what are the implications on personal EU-US data transfers?
- / Uncertainty around EU-US data transfers under SCCs
- / Implications for personal data transfers after the end of the transition period/if the adequacy decision is not reached
- / What is the impact on firms' activities that continue to transfer data on the daily basis?

### MODERATOR



Vivienne Artz

Chair, Data Workstream, International Regulatory Strategy Group (IRSG)

### SPEAKERS

#### Anna Buchta

Head of Unit, Policy and Consultation, European Data Protection Supervisor

#### Linda NiChualladh

Head of Privacy (Legal) EMEA and Assistant General Counsel, Citi

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## 13:30 / Closing remarks

### CHAIR



Louise Rodger

Director, Compliance, AFME

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# Day 3 - Friday, 9 October 2020

08:30 / Opening remarks

08:30 / Opening remarks

08:45 / Keynote address

## SPEAKER



**Verena Ross**

Executive Director, European Securities and Markets Authority (ESMA)

## PANELLIST



**James Kemp**

Managing Director, Global FX, Technology and Operations and Policy Divisions, GFMA and AFME

09:15 / Networking break

09:30 / Fireside chat

## SPEAKER



**Tilman Lueder**

Head of the Securities Markets Unit, European Commission

## PANELLIST



**Elisa Menardo**

Director, Public Policy Europe and UK, Credit Suisse

10:00 / Networking break

10:10 / **Panel discussion**  
**MiFID Review and Investor Protection**

## OVERVIEW

- / Current state of play, the new sustainability framework, and the CMU
- / Proportionate calibration of the requirements
- / Inducements, research and product governance

## MODERATOR



**Frédéric Lacroix**

Partner, Clifford Chance

## SPEAKERS



**Simon Andrews**

Executive Director, Group Public and Regulatory Affairs, Standard Chartered Bank



**Rachel Cockshutt**

Head of Regulatory Change, Europe, Royal Bank of Canada



**Martin Parkes**

Managing Director, Global Public Policy Group, BlackRock

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11:00 / **Energy break**  
**Virtual Yoga**

## OVERVIEW

- / Kindly sponsored by Clifford Chance
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11:20 / **Panel discussion**  
**MiFID In-Focus: Market Structure**

## OVERVIEW

- / Market access, competition, and consolidated tape
- / Market structure changes: interaction between the ESMA reports and the Commission consultation

## MODERATOR



**Pedro Pinto**

Director, Advocacy, AFME

## SPEAKERS

**Patrice Aguesse**

Head of Market and Post-Market Regulation Policy Division, Autorité des Marchés Financiers (AMF)



**Claudia Gonzalez Cabanillas**

Executive Director, EMEA Regulatory Affairs, J.P. Morgan



**Stephen Hanks**

Manager, Financial Conduct Authority (FCA)

**Elisa Menardo**

Director, Public Policy Europe and UK, Credit Suisse

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**12:10 / Networking break**

12:20 / **Panel discussion**  
**Surveillance and Governance**

## OVERVIEW

- / How can firms improve STOR identification/submissions?
- / Good practice for surveillance operational governance
- / Overview of EY and AFME paper on the governance of market abuse surveillance controls and STOR submissions

## MODERATOR



**Tom Goodman**

Senior Manager, Financial Crime and Forensics, Ernst & Young

## SPEAKERS



**Sébastien Boetsch**

Senior Surveillance Analyst, Autorité des Marchés Financiers (AMF)



**Steve Clark**

Global Head of ISG and MSIM Trade Surveillance, Morgan Stanley



**Mark Steuer**

Director, Compliance, and EMEA Head of Markets and Information Barrier Surveillance, Citi

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13:05 / **Closing remarks**

## CHAIR



**Louise Rodger**

Director, Compliance, AFME

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13:10 / **End of conference**