

CONFERENCE

4th Annual European Compliance and Legal Virtual Conference

07 October 2020 / Virtual (BST)

Day 1 - Wednesday, 7 October 2020

08:30 / Opening remarks

CHAIR S



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

09:30 / Panel discussion
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

SPEAKER S



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

SPEAKER S

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

SPEAKER S

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

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

SPEAKER S



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

Day 1 - Wednesday, 7 October 2020

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

13:15 / **Closing remarks**

CHAIR



Louise Rodger
Director, Compliance, AFME

08:30 / Opening remarks

CHAIR S



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

CHAIR S



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

Day 2 - Thursday, 8 October 2020

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

09:30 / **Networking break**

Day 2 - Thursday, 8 October 2020

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

SPEAKER S



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

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

SPEAKER S



Catherine Brown

Partner Board Member, FICC Market Standards Board (FMSB)



Maurice Evelyn-Bufton

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

SPEAKER S



Emily Ballisat

Solicitor, BNP Paribas



Rodrigo Buenaventura

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



Anne Mainwaring

Senior Associate, Latham & Watkins

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

SPEAKER S



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

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)

SPEAKER S

Anna Buchta

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

Linda NiChualladh

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

13:30 / Closing remarks

CHAIR



Louise Rodger

Director, Compliance, AFME

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

11:00 / Energy break
Virtual Yoga

OVERVIEW

- / Kindly sponsored by Clifford Chance

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

SPEAKER S

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

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

SPEAKER S



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

13:05 / **Closing remarks**

CHAIR



Louise Rodger
Director, Compliance, AFME

13:10 / **End of conference**