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



Bharat P Samani
Managing Director, Head of Compliance, Europe, BBVA and Co-Chair, AFME's Compliance Committee



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

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

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



Es Nelson-Jones
Head of Compliance, Conduct and Financial Crime, Natwest Markets



Seung Earm
Head of Regulatory and Territory Office, BNP Paribas

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

Day 1 - Wednesday, 7 October 2020

PANEL DISCUSSION

10:40

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

Day 1 - Wednesday, 7 October 2020

PANEL DISCUSSION

11:45

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

Day 1 - Wednesday, 7 October 2020

ON DEMAND SESSION

12:30

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



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



Louise Rodger
Director, Compliance, AFME



Ollythia Bernard-Stewart
EMEA Compliance COO and Acting Head of EMEA Compliance, Wells Fargo

Day 1 - Wednesday, 7 October 2020

ON DEMAND SESSION

12:30

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

Day 2 - Thursday, 8 October 2020

08:30

Opening remarks

Chairs



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



Richard Middleton
Managing Director, Head of Policy Division, AFME

PANEL DISCUSSION

08:40

Brexit: The Beginning of The End

OVERVIEW

- Understanding the future relationship
- What are the biggest remaining challenges for firms?
- Satus 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



Arved Kolle
Associate Director, Brexit, AFME



Caroline Boon
Director, Legal, Barclays



Rob Price
Deputy General Counsel, The Bank of England

09:30 / Networking break

Day 2 - Thursday, 8 October 2020

PANEL DISCUSSION

09:45

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)



Antony Whitehouse
Head of Compliance, Natixis



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

ENERGY BREAK

10:35

Virtual Mind Reading

OVERVIEW

- Kindly sponsored by Latham & Watkins

Speaker



Alex Crow
Mindreader, Alex Crow Ltd.

Sponsors

Day 2 - Thursday, 8 October 2020

PANEL DISCUSSION

11:05

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)



Derville Rowland
Director General, Financial Conduct, Central Bank of Ireland



Maurice Evlyn-Bufton
Chief Executive Officer, Armstrong Wolfe



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

11:50 / Networking break

Day 2 - Thursday, 8 October 2020

PANEL DISCUSSION

12:00

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



Anne Mainwaring
Senior Associate, Latham &
Watkins



Emily Ballisat
Solicitor, BNP Paribas



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

Day 2 - Thursday, 8 October 2020

ON DEMAND SESSION

12:45

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

Day 2 - Thursday, 8 October 2020

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

13:30

Closing remarks

Chair



Louise Rodger
Director, Compliance, AFME

Day 3 - Friday, 9 October 2020

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

Day 3 - Friday, 9 October 2020

10:00 / Networking break

PANEL DISCUSSION

10:10

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



Frédérick Lacroix
Partner, Clifford Chance

Speakers



Martin Parkes
Managing Director, Global Public Policy Group, BlackRock



Rachel Cockshutt
Head of Regulatory Change, Europe, Royal Bank of Canada



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

ENERGY BREAK

11:00

Virtual Yoga

OVERVIEW

- Kindly sponsored by Clifford Chance

Day 3 - Friday, 9 October 2020

PANEL DISCUSSION

11:20

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



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

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

12:10 / Networking break

Day 3 - Friday, 9 October 2020

PANEL DISCUSSION

12:20

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



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



Sébastien Boetsch
Senior Surveillance Analyst, Autorité des Marchés Financiers (AMF)



Steve Clark
Global Head of ISG and MSIM Trade Surveillance, Morgan Stanley

13:05

Closing remarks

Chair



Louise Rodger
Director, Compliance, AFME

13:10 / End of conference