

4th Annual European Compliance and Legal Virtual Conference

07 October 2020

Day 1 - Wednesday, 7 October 2020

08:30 / Opening remarks

CHAIR



Bharat P Samani

Managing Director, Head of Compliance, Europe, BBVA



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

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

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

10:20 / [Energy break](#)
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

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

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



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

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

SPEAKER



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

CHAIR

Alastair Stables

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

08:40 / [Panel discussion](#)
Brexit: The Beginning of The End



Managing Director, Head of Policy Division, AFME

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

SPEAKER



Arved Kolle

Associate Director, Brexit, AFME



Caroline Boon

Director, Legal, Barclays



Rob Price

Deputy General Counsel, The Bank of England

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

SPEAKER



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

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



Catherine Brown

Partner Board Member, FICC Market Standards Board (FMSB)



Derville Rowland

Director General, Financial Conduct, Central Bank of Ireland



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

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



Anne Mainwaring
Senior Associate, Latham & Watkins



Emily Ballisat
Solicitor, BNP Paribas

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



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

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 Kemn

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



Frédérick Lacroix

Partner, Clifford Chance

SPEAKER



Martin Parkes

Managing Director, Global Public Policy Group, BlackRock



Rachel Cockshutt

Head of Regulatory Change, Europe, Royal Bank of Canada

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



Claudia Gonzalez Cabanillas

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

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)



Stephen Hanks

Manager, Financial Conduct Authority (FCA)

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



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