

CONFERENCE

5th Annual European Compliance and Legal Virtual Conference

06 October 2021 / Virtual (BST)

Day 1 - Wednesday, 6 October 2021

09:15 / Opening remarks

SPEAKERS

James Kemp

Managing Director of the Global FX Division, Technology and Operations and CC&A Divisions, GFMA and AFME

Bharat P Samani

Managing Director, Head of Compliance, Europe, BBVA and

Day 1 - Wednesday, 6 October 2021

09:30 / **Panel discussion**
Responding to New Compliance Challenges

OVERVIEW

- / What keeps global heads of compliance awake at night?
- / Compliance in a hybrid/post-covid working environment
- / New models and structures
- / Embracing innovation and technology

MODERATOR



Richard Middleton

Managing Director, AFME

SPEAKERS



Valerio Cencig

Head of Compliance Digital Transformation, Intesa Sanpaolo



Seung Earm

Head of Regulatory and Territory Office, BNP Paribas



Bernadine Reese

Managing Director, Protiviti

10:15 / **Networking break**

10:45 / **Keynote address**

SPEAKER



Laura van Geest

Chair, Dutch Authority for the Financial Markets (AFM)

11:00 / Moderated Q&A

SPEAKERS



Laura van Geest

Chair, Dutch Authority for the Financial Markets (AFM)



Louise Rodger

Director, Compliance, AFME

11:15 / [Panel discussion](#)
Sustainable Finance - ESG Disclosure and Sustainable Corporate Governance

OVERVIEW

- / The European regulatory agenda: directors' duties and due diligence
- / Disclosure and conduct risks: between mitigation and exacerbation
- / Should the ESG due diligence become part of KYC process?

MODERATOR



Nicola Higgs

Partner, Latham & Watkins

SPEAKERS



Julie Ansidei

Head of Strategy and Sustainable Finance Unit, Autorité des Marchés Financiers (AMF)



Pierre-Emmanuel Beluche

Head of Sustainable Finance, Corporate Law, Accounting Standards, and Corporate Governance, French Treasury



Michael Gaynor

Senior Credit Research Analyst, BBVA



Jon Williams

Partner, PwC

12:00 / Networking break

Panel discussion

12:15 / **Revised Framework for Fighting Financial Crime in Europe**

OVERVIEW

- / The new AML/CFT paradigm explained
- / Understanding the new AML Package - challenges and opportunities
- / Why is information sharing essential in the fight against money laundering?

MODERATOR



Jose Arevalo

Director, Compliance Governance, Regulatory Risk and Control, Commerzbank

SPEAKERS



Cédric Perruchot

Head of AML Regulatory Affairs and Advocacy, BNP Paribas



Raluca Pruna

Head of Financial Crime Unit, DG FISMA, European Commission



Jo Swyngedouw

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

13:00 / On-demand session
Spotlight on Surveillance

OVERVIEW

- / Assessing the impact of COVID-19
- / Developing effective surveillance processes
- / Regulatory expectations

MODERATOR



Mark Steuer

Director, Citi

SPEAKERS



Steve Clark

Executive Director, Morgan Stanley



Jordan Domash

General Manager, Relativity Trace

13:00 / On-demand session
Data Protection – current priorities

OVERVIEW

- / Where are we with International data transfers?
- / European Data Protection Board - their recommendations on supplemental measures post-Schrems II
- / The European Commission's work on Standard Contractual Clauses

MODERATOR



Emmanuel Ronco

Partner, Eversheds Sutherland

SPEAKERS



Myriam Gufflet

Head of Activity, Internal Legal Compliance,
European Data Protection Board (EDPB)
Secretariat



Efrain Castaneda Mogollon

Privacy Counsel, OneTrust

Day 1 - Wednesday, 6 October 2021

13:45 / Closing remarks

08:45 / Opening remarks

SPEAKER



Alastair Stables

Head of International Regulatory Relations,
Bank of America and

08:45 / Opening remarks

SPEAKER



Alastair Stables

Head of International Regulatory Relations,
Bank of America and

08:50 / Keynote address

SPEAKER



Robert Ophèle

Chairman, Autorité des Marchés Financiers (AMF)

09:10 / Fireside chat

SPEAKERS

James Kemp

Managing Director of the Global FX Division, Technology and Operations and CC&A Divisions, GFMA and AFME



Robert Ophèle

Chairman, Autorité des Marchés Financiers (AMF)

09:20 / **Paper update**
Conduct Analytics

SPEAKERS



Seema Bhatnagar

Director, Banking and Capital Markets Advisory, PwC



Louise Rodger

Director, Compliance, AFME

09:30 / **Panel discussion**
Conduct, Culture and Accountability

OVERVIEW

- / The journey so far
- / Regulatory expectations and industry best practice
- / Designing appropriate frameworks and measuring effectiveness

MODERATOR



Isabelle Jenkins

Head of Financial Services UK, PwC

SPEAKERS



Florian Narring

Head of Section, Governance and risk management, DG Horizontal Line Supervision, European Central Bank (ECB)



Stephen Strombelline

Managing Director, Capital Forensics



Antony Whitehouse

UK Head of Compliance, Natixis

10:15 / **Networking break**

10:45 / **Panel discussion**
The Post-Brexit Environment - Challenges and Future Prospects

OVERVIEW

- / The evolving EU-UK relationship in financial services (MoU, supervisory cooperation, equivalence, etc.)
- / How firms and markets have been impacted and ongoing challenges
- / How regulation is evolving and prospects for the future

MODERATOR



Lucy McNulty

City Editor, Financial News

SPEAKERS



Zertasha Malik

Head of International, Financial Conduct Authority (FCA)



Pablo Portugal

Managing Director, Advocacy, AFME



Emily Southon

Head of Financial Services Regulatory Law, Standard Chartered Bank

11:30 / **Speed networking break on Meetaway**

12:00 / **Panel discussion**
Leadership and Culture

OVERVIEW

- / The role of the Board in establishing culture
- / Identifying and modifying the key drivers of culture
- / Challenges and opportunities
- / Regulatory expectations

MODERATOR



Michael Cole-Fontayn

Independent Director on the Board, J.P. Morgan Securities PLC

SPEAKERS



Tracey McDermott

Group Head, Conduct, Financial Crime and Compliance, Standard Chartered Bank



Samantha Page

Manager, Sector Team, Wholesale Bank Supervision, Financial Conduct Authority (FCA)



Rosie Warin

CEO, Kin&Co

12:45 / **On-demand session**
Recording requirements for mobile devices and Electronic Communications

OVERVIEW

- / History of the recording requirements
- / The impact of remote working on recording requirements
- / Scope of regulatory framework – regulated firms and beyond
- / Future technological developments

MODERATOR



Katsuko Ishizeki-Chaudhari

UK Head of Global Markets Compliance, Natixis

SPEAKERS



Brandon Carl

Executive Vice President, Product Strategy, Smarsh



Phil Fry

VP, Financial Compliance, Verint



Emily Henderson

Senior European Counsel, Stifel Institutional



Rob Moulton

Partner, Latham & Watkins

13:30 / **Closing remarks**

Day 3 - Friday, 8 October 2021

08:45 / Opening remarks

SPEAKER



Louise Rodger

Director, Compliance, AFME

08:45 / Opening remarks

SPEAKER



Louise Rodger

Director, Compliance, AFME

09:00 / Keynote address

SPEAKER



Natasha Cazenave

Executive Director, European Securities and Markets Authority (ESMA)

Day 3 - Friday, 8 October 2021

09:20 / Fireside chat

MODERATOR



Pedro Pinto

Director, Head of MiFID, AFME

SPEAKER



Natasha Cazenave

Executive Director, European Securities and Markets Authority (ESMA)

09:30 / **Panel discussion**
MiFID: Market Structure

OVERVIEW

- / EU and UK MiFID priorities
- / Priorities for the EU MiFID review
- / Industry consultations

MODERATOR



Pedro Pinto

Director, Head of MiFID, AFME

SPEAKERS



Fabio Braga

Manager, Trading and Wholesale Conduct Policy, Financial Conduct Authority (FCA)



Claudia Gonzalez Cabanillas

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

Tilman Lueder

Head of the Securities Markets Unit, DG FISMA, European Commission



Elisa Menardo

Director, Public Policy Europe and UK, Credit Suisse

10:15 / Networking break

10:45 / **Panel discussion**
MiFID: Investor Protection

OVERVIEW

- / Inducements and conflicts of interest
- / Payments for order flow
- / EU/UK considerations
- / Regulatory priorities

MODERATOR



Julian Allen-Ellis

Director, UK Advocacy and Capital Markets, AFME

SPEAKERS



Rachel Cockshutt

Head of Regulatory Change, Europe, Royal Bank of Canada



Clare Jenkinson

EMEA Co-Head Regulatory Change and Advisory, Markets and Securities Services Compliance, HSBC

Martin Parkes

Managing Director, BlackRock

11:30 / Networking break

Day 3 - Friday, 8 October 2021

12:00 / **Panel discussion**
Market Abuse - Regulatory Priorities and Industry Challenges

OVERVIEW

- / Effectiveness of market abuse controls
- / ESMA guidance and European Commission proposals
- / Practical considerations for firms

MODERATOR

Louise Rodger

Director, Compliance, AFME

SPEAKERS



Emily Ballisat

Head of Regulatory Change, Compliance CIB, BNP Paribas



Steven Clark

Head of Wholesale Market Conduct Framework Implementation and International Coordination Team,
Central Bank of Ireland



Rob Moulton

Partner, Latham & Watkins

12:45 / **Keynote address**

SPEAKER



Rodrigo Buenaventura

Chairman, Spanish National Securities Market Commission (CNMV)

13:15 / **Closing remarks**

13:30 / **End of conference**
