

# *5th Annual European Compliance and Legal Virtual Conference*

06 October 2021

## *Day 1 - Wednesday, 6 October 2021*

09:15 / Opening remarks

### SPEAKER

Bharat P Samani

Managing Director, Head of Compliance, Europe, BBVA and

James Kemp

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

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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

## SPEAKER



Bernadine Reese  
Managing Director, Protiviti



Seung Earm  
Head of Regulatory and Territory Office, BNP Paribas



Valerio Cencig  
Head of Compliance Digital Transformation, Intesa Sanpaolo

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10:15 / Networking break

10:45 / Keynote address

## SPEAKER



Laura van Geest  
Chair, Dutch Authority for the Financial Markets (AFM)

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11:00 / Moderated Q&A

## SPEAKER



Laura van Geest  
Chair, Dutch Authority for the Financial Markets (AFM)



Louise Rodger  
Director, Compliance, AFME

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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

## SPEAKER



Jon Williams

Partner, PwC



Julie Ansidei

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



Michael Gaynor

Senior Credit Research Analyst, BBVA



Pierre-Emmanuel Beluche

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

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12:00 / Networking break

12:15 / [Panel discussion](#)  
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

## SPEAKER



Cédric Perruchot

Head of AML Regulatory Affairs and Advocacy, BNP Paribas



Jo Swyngedouw

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

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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

## SPEAKER



Jordan Domash

General Manager, Relativity Trace



Steve Clark

Executive Director, Morgan Stanley

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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

## SPEAKER



Efrain Castaneda Mogollon

Privacy Counsel, OneTrust



Myriam Gufflet

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

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13:45 / Closing remarks

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## ***Day 2 - Thursday, 7 October 2021***

08:45 / Opening remarks

## SPEAKER



Alastair Stables

Head of International Regulatory Relations, Bank of America and

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08:50 / Keynote address

## SPEAKER



Robert Ophèle

Chairman, Autorité des Marchés Financiers (AMF)

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09:10 / Fireside chat

## SPEAKER

James Kemp

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

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09:20 / [Paper update](#)  
Conduct Analytics

## SPEAKER



Louise Rodger

Director, Compliance, AFME



Seema Bhatnagar

Director, Banking and Capital Markets Advisory, PwC

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

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

## SPEAKER



Emily Southon  
Head of Financial Services Regulatory Law, Standard Chartered Bank



Pablo Portugal  
Managing Director, Advocacy, AFME



Zertasha Malik  
Head of International, Financial Conduct Authority (FCA)

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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

## SPEAKER



Rosie Warin

CEO, Kin&Co



Samantha Page

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



Tracey McDermott

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

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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



## SPEAKER



Brandon Carl

Executive Vice President, Product Strategy, Green

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13:30 / Closing remarks

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## ***Day 3 - Friday, 8 October 2021***

08:45 / Opening remarks

## SPEAKER



Louise Rodger

Director, Compliance, AFME

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09:00 / Keynote address

## SPEAKER



Natasha Cazenave

Executive Director, European Securities and Markets Authority (ESMA)

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09:20 / Fireside chat

## MODERATOR



Pedro Pinto

Director, Head of MiFID, AFME

## SPEAKER



Natasha Cazenave

Executive Director, European Securities and Markets Authority (ESMA)

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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

## SPEAKER



Claudia Gonzalez Cabanillas

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



Elisa Menardo

Director, Public Policy Europe and UK, Credit Suisse



Fabio Braga

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

Tilman Lueder

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

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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

## SPEAKER



Clare Jenkinson

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

Martin Parkes

Managing Director, BlackRock



Rachel Cockshutt

Head of Regulatory Change, Europe, Royal Bank of Canada

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11:30 / Networking break

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

SPEAKER



Emily Ballisat

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12:45 / Keynote address

SPEAKER



Rodrigo Buenaventura

Chairman, Spanish National Securities Market Commission (CNMV)

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13:15 / Closing remarks

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13:30 / End of conference

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