

CONFERENCE

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

**06 October 2021 / Virtual (BST)**

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

**09:15 / Opening remarks**

### **SPEAKER S**

**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

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# 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

## SPEAKER S



**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)

# Day 1 - Wednesday, 6 October 2021

11:00 / **Moderated Q&A**

## SPEAKER S



**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

## SPEAKER S



**Julie Ansiedei**

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**

# Day 1 - Wednesday, 6 October 2021

## 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 S



**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

## SPEAKER S



**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

## SPEAKER S



**Myriam Gufflet**

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



**Efrain Castaneda Mogollon**

Privacy Counsel, OneTrust

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

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

### SPEAKER S

**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

## SPEAKER S



**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

## SPEAKER S



**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

# Day 2 - Thursday, 7 October 2021

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 S



**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

## SPEAKER S



**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

## SPEAKER S



**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

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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)

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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 S



**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

## SPEAKER S



**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

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 S



**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

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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**