

CONFERENCE

# ***6th Annual European Compliance and Legal Conference***

11 October 2022 / Leonardo Royal Hotel Amsterdam

## ***Day 1 - Tuesday, 11 October 2022***

17:30 / Registration and refreshments

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18:00 / Pre-conference welcome drinks reception


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# Day 2 - Wednesday, 12 October 2022

08:30 / Registration and refreshments	08:30 / Registration and refreshments
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09:00 / Opening remarks

**SPEAKER S**

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**James Kemp**

Managing Director, Global FX, Technology and Operations and Policy Divisions, GFMA and AFME
- Bharat P Samani**

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

09:15 / Keynote address

**SPEAKER**


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**Laura van Geest**


Chair, Dutch Authority Financial Markets (AFM)

09:35 / AFME/EY Paper Update

**SPEAKER S**

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**Stuart Crotaz**

Partner, Banking & Capital Markets Conduct and Compliance, EY
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**James Lown**

Partner, EY

Panel discussion

09:45 / ESG: Compliance Considerations

OVERVIEW

- / ESG for Compliance
- / Future pipeline
- / Key areas to focus on

MODERATOR



Nicola Higgs  
Partner, Latham & Watkins

SPEAKER S



Stuart Crotaz  
Partner, Banking & Capital Markets Conduct and Compliance, EY

Javier Munoz

Global Head of Conduct and Reputational Risk, SCIB



Natalie McManus  
Chief of Staff, Independent Compliance Risk Management (Institutional Clients Group), Citigroup

10:40 / Networking break

11:00 / **Panel discussion**  
**Global Heads of Compliance**

## OVERVIEW

- / Upskilling the compliance function
- / Embracing innovation and technology
- / New working models and structures
- / What keeps EU regulators and Heads of Compliance awake at night?

## MODERATOR

**Richard Middleton**

Managing Director, Association for Financial Markets in Europe (AFME)

## SPEAKER S



**Seung Earm**

Head of Regulatory & Territory Office, BNP Paribas



**Jacqueline Joyston-Bechal**

Managing Director, J.P Morgan



**Guillaume Loeuille**

Chief Compliance Officer, Global Financial Services, Natixis

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11:45 / **Keynote address**

## MODERATOR

**Pablo Portugal**

Managing Director, Advocacy, AFME

## SPEAKER



**Rodrigo Buenaventura**

Chairman, Comisión Nacional del Mercado de Valores (CNMV)

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12:15 / **Networking lunch**

Panel discussion

13:15 / Trends in Surveillance

OVERVIEW

- / What are the evolving approaches to surveillance?
- / How will new products and technology influence surveillance considerations?
- / What are the regulatory and supervisory considerations for surveillance?

MODERATOR

Louise Rodger

Director, Compliance Association for Financial Markets in Europe (AFME)

SPEAKER S



Megan Carroll

Head of Global Market Surveillance, Natixis



Julien LEPRUN

Deputy head of Surveillance & Data Dept, Autorité des Marchés Financiers (AMF)



Stephen Strombelline

Managing Director, J.S. Held



Alex Viall

Director of Regulatory Intelligence, Global Relay

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13:15 / **Panel discussion**  
**Compliance and Digital assets**

## OVERVIEW

- / What are the compliance considerations for digital assets?
- / What is the legal and regulatory framework for digital assets and how do firms navigate it?
- / Will the rise of digital assets lead to compliance challenges and/or opportunities?

## SPEAKER S



**Clare Jenkinson**

Partner, Financial Regulation, Deloitte



**Diego Ballon Ossio**

Senior Associate, Clifford Chance



**Christopher Wallace**

Assistant General Counsel and Director, Bank of America

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14:00 / **Panel discussion**  
**The EU AML Package**

## OVERVIEW

- / What is the current state of play for the EU AML Package?
- / How will AMLA operate and supervise AML/CFT
- / How will information sharing support the fight against money laundering?

## MODERATOR



**Johanna Lybeck Lilja**

Executive Adviser, Nordea

## SPEAKERS



**Jose Arevalo**

Director – Compliance Governance, Regulatory Risk and Control, Commerzbank AG



**Nicolo Brignoli**

Policy Officer – AML/CFT, European Commission (EC)



**Cédric Perruchot**

Head of AML regulatory affairs and advocacy, BNP Paribas



**Marcus Pleyer**

Dep. Director General, German Ministry of Finance

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Panel discussion

14:00 / Compliance Issues for Compliance Officers

OVERVIEW

- / What are the biggest challenges and effective solutions for compliance officers?
- / How can compliance manage competing priorities and new ways of working?
- / What are the new ways of working across the lines of defence

MODERATOR



Lucy McNulty  
Editor, Following the Rules

SPEAKER S

Mark Cross

Head of Central Surveillance, StoneX Financial



Georgi Korchev  
UK Global Advisory Compliance Officer, Rothschild & Co

Rob Mason

Global Head of Regulatory Intelligence, Relativity



Ted MacDonald  
Senior Technical Specialist, Financial Markets Standards Board (FMSB)

14:45 / Networking break

# Day 2 - Wednesday, 12 October 2022

Presentation

15:15 / Sanctions and trade compliance –A view on political risk

## OVERVIEW

- / What is the trajectory of Russia/Ukraine and other global flashpoints – can we see an exit?
- / What are the unintended consequences of sanctions?
- / What are the key global compliance and political risks that investors and regulators should watch?

## SPEAKER



Philip Worman  
Senior Managing Director, J.S. Held

15:45 / Day one closing remarks

16:00 / Networking drinks reception

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# Day 3 - Thursday, 13 October 2022

08:30 / Registration & refreshments	08:30 / Registration & refreshments
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09:00 / Conference day two opening remarks

**SPEAKER S**

- Louise Rodger

Director, Compliance, Association for Financial Markets in Europe (AFME)
- Alastair Stables

Head of International Regulatory Relations, Bank of America

09:15 / Keynote address

**MODERATOR**

- James Kemp

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

**SPEAKER**

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Natasha Cazenave

Executive Director, European Securities and Markets Authority (ESMA)

09:45 / Keynote address

## SPEAKER



**Tanya Pieters-Gorissen**

Head of Capital Markets Integrity supervision, Netherlands Authority for the Financial Markets (AFM)

10:10 / [Panel discussion](#)  
**MiFID - The Future of EU Bond Markets**

## OVERVIEW

- / Achieving transparency - a better calibrated framework for corporate and sovereign bonds
- / A consolidated tape for bonds that is meaningful for investors
- / EU bond markets in the global context

## MODERATOR

**Tilman Lueder**

Head of Securities Markets Unit – Directorate General for Financial Services,

## SPEAKER S

**Natasha Adams**

IB Market Structure and Regulatory Adherence, Deutsche Bank



**Matthew Coupe**

Global Head of Cross Asset Market Structure, Barclays

**Matthijs Geneste**

Project Lead CT sandbox, AFM



**Hannah Meakin**

Partner, Norton Rose Fulbright LLP



**Jan-Theo Varkevisser**

Senior Trader Fixed Income, PGGM Investments

10:45 / Networking break

11:10 / **Panel discussion**  
**MiFID - The Future of EU Equity Markets**

## OVERVIEW

- / Market structure and transparency for equity markets
- / Consolidated tape for equities (pre and post trade)
- / EU and UK priorities

## MODERATOR

**Tilman Lueder**

Head of Securities Markets Unit – Directorate General for Financial Services,

## SPEAKER S

**Eleanor Beasley**

Executive Director Securities Division, Goldman Sachs

**Nick Dutton**

Chief Regulatory Officer, Cboe Europe



**Philippe Guillot**

Managing Director, Data and Markets, Autorité des Marchés Financiers (AMF)

**Floortje Nagelkerke**

Norton Rose Fulbright



**Keshava Shastry**

Global Head of Capital Markets, DWS

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11:45 / **Panel discussion**  
**MiFID - Investor Protection**

## OVERVIEW

- / European priorities
- / PfOF and Best Execution
- / Retail Investment Strategy
- / Impact of the UK Consumer Duty on EU wholesale firms

## MODERATOR

Giulia Pecce

Associate Director, MiFID/MiFIR, Association for Financial Markets in Europe (AFME)

## SPEAKER S



**Jean-Philippe Cavois**

Senior Strategic Advisor, Société Générale



**Stephen Hanks**

Manager – Trading Policy, Financial Conduct Authority (FCA)

Elisa Menardo

Director, Public Policy Europe and UK, Credit Suisse

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12:20 / **Networking lunch**

13:20 / **Keynote address**

## MODERATOR

James Kemp

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

## SPEAKER



**Benoît de Juvigny**

Secretary General, Autorité des marchés financiers (AMF)

13:45 / Panel discussion

## Market Abuse: The MAR Review and new areas of focus

### OVERVIEW

- / Anticipated changes to the Regulatory framework
- / Evolution of the Regime
- / New risks and challenges

### MODERATOR



**Rob Moulton**

Partner, Latham & Watkins

### SPEAKERS



**Alessandra Atripaldi**

Deputy Head of Securities Markets Unit – Directorate General for Financial Services,



**Felix Flinterman**

Head of Capital Markets & Data Division, Dutch Authority for the Financial Markets (AFM)



**Natalia Kotarska**

Credit Suisse

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14:20 / Leadership session: Culture, diversity of thought and an inclusive workforce

## OVERVIEW

- / Diversity and inclusion in financial services
- / The role of Leaders in establishing culture
- / Challenges and opportunities
- / Regulators expectations

## MODERATOR

Jacqueline Mills

Managing Director, Head of Advocacy, Association of Financial Markets in Europe (AFME)

## SPEAKER S



**Sarah Caldwell**

Partner, Reed Smith



**Jasmin Kölbl-Vogt**

Head of Legal Germany, Austria & Northern Europe Division Counsel, Citi



**Ted MacDonald**

Senior Technical Specialist, Financial Markets Standards Board (FMSB)

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14:55 / Closing remarks

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15:00 / Conference close