

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

18:00 / Pre-conference welcome drinks reception

Day 2 - Wednesday, 12 October 2022

08:30 / Registration and refreshments

08:30 / Registration and refreshments

09:00 / Opening remarks

SPEAKER S



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



Laura van Geest

Chair, Dutch Authority Financial Markets (AFM)

09:35 / AFME/EY Paper Update

SPEAKER S



Stuart Crotaz

Partner, Banking & Capital Markets Conduct and Compliance, EY



James Lown

Partner, EY

Day 2 - Wednesday, 12 October 2022

09:45 / **Panel discussion**
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**

Day 2 - Wednesday, 12 October 2022

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

11:45 / **Keynote address**

MODERATOR

Pablo Portugal

Managing Director, Advocacy, AFME

SPEAKER



Rodrigo Buenaventura
Chairman, Comisión Nacional del Mercado de Valores (CNMV)

12:15 / **Networking lunch**

13:15 / **Panel discussion**
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

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

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

SPEAKER S



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

Day 2 - Wednesday, 12 October 2022

14:00 / Panel discussion
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**

15:15 / Presentation
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

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



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

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 Cavrois**
Senior Strategic Advisor, Société Générale

 **Stephen Hanks**
Manager – Trading Policy, Financial Conduct Authority (FCA)

Elisa Menardo

Director, Public Policy Europe and UK, Credit Suisse

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

SPEAKER S



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

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)

14:55 / Closing remarks

15:00 / Conference close