### CONFERENCE

# 7th Annual European Compliance and Legal Conference

27 September 2023 / Radisson Collection Hotel

## Day 1 - Wednesday, 27 September 2023

18:00 / Networking drinks
Welcome reception

08:30 / Registration and networking open

09:00 / Opening remarks

### **SPEAKER**



James Kemp

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

09:15 / Keynote address followed by a fireside chat

#### **SPEAKER**



Adam Farkas

CEO, Association for Financial Markets in Europe (AFME)



Martin Merlin

Director, Banking, Insurance and Financial Crime, DG FISMA-D, European Commission

09:45 /

Panel discussion

Global Heads of Compliance

### **OVERVIEW**

- / Key regulatory priorities
- / Upskilling the compliance function
- / Innovation and use of technology
- / What keeps Heads of Compliance awake at night?

### **MODERATOR**



Louise Rodger

Director, Association for Financial Markets in Europe (AFME)

### **SPEAKER**



**Andrew Sowter** 

Group Head of Regulatory Compliance, HSBC

### Madison Gray

Director, Global Head of Regulatory Change Management - Compliance, BNY Mellon



Nicolas Fanucci

Global Head, Conduct, Financial Crime and Compliance - CCIB & Europe and Americas, Standard Chartered



Petra Bukhalenkova

Managing Director, EMEA Head of Regulatory Strategy, J.P. Morgan

### 10:30 / Networking break

### 10:50 / Keynote address

#### **SPEAKER**



Iliana Lani

Head of Department - Conduct Supervision and Convergence, ESMA

## 11:05 / Panel discussion

### A Changing Europe - navigating EU and UK Regulations

#### **OVERVIEW**

- / Assessment of the regulatory framework for financial services 3 years on
- / Continued cooperation
- / Expectations for the future
- / Practical challenges for firms

#### **MODERATOR**



Clare Jenkinson

Partner, Financial Regulation, Deloitte Legal (UK)

#### **SPEAKER**



Camille Blackburn

Director of Wholesale Buy Side, Financial Conduct Authority



Claudia Gonzalez Cabanillas

Head of EMEA Regulatory Affairs, J.P. Morgan



Iliana Lani

Head of Department - Conduct Supervision and Convergence, ESMA



Seung Earm

Head of Regulatory & Territory Office, BNP Paribas

### 12:00 / Networking lunch

Women in Compliance lunch (Invitation only)

### **OVERVIEW**

/ Sponsored by AWS

13:00 / Panel discussion Investor Protection

Track A

### **OVERVIEW**

- / Retail Investment strategy
- / MiFID II
- / Implementing the UK consumer duty

### **MODERATOR**



Alexandria Carr

Managing Director, UK Head of Financial Services Regulation, Société Générale

### **SPEAKER**



Georgi Korchev

UK Global Advisory Compliance Officer, Rothschild & Co



Jan van Ewijk

Senior Policy Advisor, Autoriteit Financiële Markten



**Rupert Dickinson** 

Head of UK CIB Compliance Regulatory Affairs, BNP Paribas

13:00 / Panel discussion
The EU AML Package

Track B

### **OVERVIEW**

- / State of play
- / Steps towards implementation
- / The role of AMLA authority

### **MODERATOR**



Cédric Perruchot

Head of AML regulatory affairs and advocacy, BNP Paribas

### **SPEAKER**



Carolin Gardner

Head of Unit, AML/CFT, European Banking Authority



Jo Swyngedouw

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



Marcus Pleyer

Dep Director General, Federal Ministry of Finance Germany



Raluca Pruna

Head of Financial Crime Unit, European Commission / DG FISMA

13:40 / Panel discussion
Governance and Accountability

Track A

### **OVERVIEW**

- / SMCR Review, SEAR consultations
- / New and existing frameworks
- / Measuring effectiveness
- / Regulatory expectations and industry best practice

### **MODERATOR**



**Andy Atkinson** 

Director, Product Management, StarCompliance

#### **SPEAKER**



John Polanin

Head of Compliance, Macquarie Bank Europe

### Leslie Coombs

Director, UK Senior Managers and Certification Regime (SMCR), Citi



Robert Cain

Partner, Arthur Cox LLP



**Robert Collins** 

Technical Specialist, Prudential Regulation Authority (Bank of England)

13:40 / Pane

Panel discussion

Advancing the Fight Against Financial Crime and AML

Track B

### **OVERVIEW**

- / Views from the FIUs
- / Information sharing and public private partnerships

#### **MODERATOR**



**Robert Mueller** 

Global Head of AFC Framework and Head of AFC Germany, Deutsche Bank AG

### **SPEAKER**



Anuradha Mathur Boyd

Head of FCC, Netherlands Wholesale Banking, ING



**David Langenkamp** 

AML/CFT Awareness Coordinator, FIU - the Netherlands



Marcus Pleyer

Dep Director General, Federal Ministry of Finance Germany

# 14:20 / Panel discussion Upskilling the Compliance Functions

Track A

### **OVERVIEW**

- / What are the drivers of upskilling?
- / How do firms identify the skills gaps?
- / What are the paths and challenges to delivering effective upskilling?

### **MODERATOR**



Fiona Willis

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

### **SPEAKER**



Alessia Primiceri

Director Legal Compliance EMEA, Association of Corporate Counsel (ACC)



Lisa Walker

Head of Compliance UK & Middle East, ING Bank



Liudmila Kiriaku

Compliance Consultant, Freedom Finance Europe Ltd.

### Mytalip Kasami

Head of LC&I Compliance, Nordea

14:20 / Panel discussion
Trends in Surveillance

Track B

### **OVERVIEW**

- / Evolving approaches to surveillance
- / New products and technology
- / Regulatory and supervisory considerations

### **MODERATOR**



**Mark Cross** 

Head of Central Surveillance, StoneX Financial Ltd

### **SPEAKER**



Joep Knook

Senior Supervisor Capital Markets & Data, Dutch Authority for the Financial Markets (AFM)



Sarah Hone

Manager / Market Surveillance, Financial Conduct Authority



Ugne Willard

Global Head of Communications Surveillance, Barclays

### 15:00 / Networking break

### **SPEAKER**



Benoît de Juvigny

Secretary General, AMF

### 15:20 / Keynote address

### **SPEAKER**



Benoît de Juvigny Secretary General, AMF

15:50 / Keynote address

### **SPEAKER**



**Derville Rowland** 

Deputy Governor Consumer & Investor Protection, Central Bank of Ireland

## 16:20 / Panel discussion

### Creating a Culture of Diversity & Inclusion in Financial Services

#### **OVERVIEW**

- / Understanding the research on D&I
- / The importance of data
- / Developing inclusive leadership
- / Reframing allyship
- / Avoiding 'reputation washing'

### **MODERATOR**



Louise Rodger

Director, Association for Financial Markets in Europe (AFME)

### **SPEAKER**



**Daniel Winterfeldt** 

Managing Director & General Counsel for EMEA and Asia, Jefferies

### Mark Cross

Head of Central Surveillance, StoneX Financial Ltd



Rebecca Ormond

EMEA Head of Diversity, Inclusion & Wellbeing, SMBC Bank International Plc

### 17:05 / Day one closing remarks

### 17:15 / Networking drinks receptions

### 08:00 / Registration & refreshments

### 09:00 / Day two opening remarks

### **SPEAKER**

Bharat P Samani

Managing Director, Head of Compliance UK and Europe, BBVA

### 09:15 / Keynote address

### **MODERATOR**



Bharat P Samani

Managing Director, Head of Compliance UK and Europe, BBVA

### **SPEAKER**



Rodrigo Buenaventura

Chair, CNMV

# 09:45 / Panel discussion General Counsels Discussion

#### **OVERVIEW**

- / Legal perspectives on the key challenges facing banks in the EU
- / Priorities for 2024 and beyond
- / How the legal function is changing from a skills and technology perspective

### **MODERATOR**



Clare Jenkinson

Partner, Financial Regulation, Deloitte Legal (UK)

### **SPEAKER**



Ben Macdonald

Head of Group Legal, Rothschild & Co



Chris Allen

General Counsel, HSBC Bank plc

Jussi Koskinen

Chief Legal Officer, Nordea



Sarah Linstead

General Counsel, London and Head of Corporate Finance, Legal Department, Société Générale

### 10:25 / Networking break

10:50 /

Panel discussion

Handling Regulatory Investigations: Perspectives from In-House and External Counsel

Track A

#### **OVERVIEW**

- / Best practices for conducting internal reviews
- / Maintaining independence while satisfying regulator expectations
- / Challenges when representing the company and employees
- / Cooperation Credit
- / Parallel Regulatory Investigations

#### **MODERATOR**



Stephen Strombelline

Managing Director, J.S. Held LLC

### **SPEAKER**



**Daniel Winterfeldt** 

Managing Director & General Counsel for EMEA and Asia, Jefferies



**Nell Perks** 

Partner, Latham & Watkins



**Richard Willis** 

Partner, Arthur Cox LLP

10:50 / Panel discussion

Artificial Intelligence: Opportunities and Challenges for Compliance

Track B

#### **OVERVIEW**

- / Role and strategy for Compliance in firms' use of Al
- / Challenges Compliance is facing in firms' the use of Al
- / Additional tools, processes and capabilities that Compliance needs
- / Responding to the current EU and UK regulatory landscape
- / Opportunities for Compliance to adopt AI

#### **MODERATOR**



Sarah Kidd

Senior Manager, Compliance Transformation, PwC

### **SPEAKER**



Balaji Krishnamurthy

Partner, Compliance Transformation, PwC



Céline Lunet

Head of CPL AI team, Credit Agricole Corporate and Investment Bank



Katsuko Ishizeki-Chaudhari

Managing Director, the Chief Compliance Officer UK, Bank of Montreal London Branch and BMO Capital Markets Limited

### Panel discussion

11:30 / Where to next on Conduct & Culture MI? A discussion with the FMSB

### Track A

#### **OVERVIEW**

- / What do we want to know?
- / Are we measuring the right things?
- / Are we even asking the right sort of questions?
- / Do we understand what the result of our work so far is telling us?
- / Are we properly skilled and resourced?

#### **MODERATOR**



Louise Rodger

Director, Association for Financial Markets in Europe (AFME)

### **SPEAKER**



**Christian Hunt** 

Founder, Human Risk Limited



Ted MacDonald

Senior Technical Specialist, Financial Markets Standards Board

11:30 / Panel discussion

Operational Resilience Challenges in a Digital Era - What Compliance Officers Need to Know

Track B

### **OVERVIEW**

- / What are the steps that Compliance function can take to contribute to a robust Operational Resilience framework?
- / What are the future trends that Compliance needs to be aware of?

### **MODERATOR**



Fiona Willis

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

### **SPEAKER**



**Bob Wardrop** 

Professor University of Cambridge and CEO RegGenome



Eduardo Vilela

EMEA Supervisory Enablement Lead, AWS

### 12:10 / Networking Lunch

13:10 / Keynote address

#### **SPEAKER**



Carlo Comporti

Commissioner, Consob

13:45 /

Panel discussion

Market Abuse Regulation: Latest Developments

#### **OVERVIEW**

- / Impact of proposed EU legislative changes
- / Regulatory and Supervisory expectations
- / Interplay between MAR and new products
- / UK plans to review its market abuse framework

### **MODERATOR**



**Rob Moulton** 

Partner, Latham & Watkins

#### **SPEAKER**



Alessandra Atripaldi

Deputy Head of Securities Market Unit, European Commission



Anja Felten

Deputy Director-General Market Surveillance and Head of Division Market Surveillance Banks and Insurance Companies, BaFin



Katsuko Ishizeki-Chaudhari

Managing Director, the Chief Compliance Officer UK, Bank of Montreal London Branch and BMO Capital Markets Limited

### 14:30 / Closing remarks