

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

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

SPEAKERS



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)

SPEAKERS



Petra Bukhalenkova

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



Nicolas Fanucci

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

Madison Gray

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



Andrew Sowter

Group Head of Regulatory Compliance, HSBC

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)

SPEAKERS



Camille Blackburn

Director of Wholesale Buy Side, Financial Conduct Authority



Claudia Gonzalez Cabanillas

Head of EMEA Regulatory Affairs, J.P. Morgan



Seung Earm

Head of Regulatory & Territory Office, BNP Paribas



Iliana Lani

Head of Department - Conduct Supervision and Convergence, ESMA

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

SPEAKERS



Rupert Dickinson

Head of UK CIB Compliance Regulatory Affairs, BNP Paribas



Jan van Ewijk

Senior Policy Advisor, Autoriteit Financiële Markten



Georgi Korchev

UK Global Advisory Compliance Officer, Rothschild & Co

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

SPEAKERS



Carolin Gardner

Head of Unit, AML/CFT, European Banking Authority



Marcus Pleyer

Dep Director General, Federal Ministry of Finance Germany



Raluca Pruna

Head of Financial Crime Unit, European Commission / DG FISMA



Jo Swyngedouw

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

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

SPEAKERS

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)



John Polanin

Head of Compliance, Macquarie Bank Europe

13:40 / **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

SPEAKERS



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)

SPEAKERS



Liudmila Kiriaku

Compliance Consultant, Freedom Finance Europe Ltd.

Mytalip Kasami

Head of LC&I Compliance, Nordea



Alessia Primiceri

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



Lisa Walker

Head of Compliance UK & Middle East, ING Bank

14:20 / **Trends in Surveillance**

Panel discussion

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

SPEAKERS



Sarah Hone

Manager / Market Surveillance, Financial Conduct Authority



Joep Knook

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



Ugne Willard

Global Head of Communications Surveillance, Barclays

15:00 / **Networking break**

SPEAKER



Benoît de Juvigny

Secretary General, AMF

Day 2 - Thursday, 28 September 2023

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

Day 2 - Thursday, 28 September 2023

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)

SPEAKERS

Mark Cross

Head of Central Surveillance, StoneX Financial Ltd



Rebecca Ormond

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



Daniel Winterfeldt

Managing Director & General Counsel for EMEA and Asia, Jefferies

17:05 / **Day one closing remarks**

17:15 / **Networking drinks receptions**

Day 3 - Friday, 29 September 2023

08:00 / Registration & refreshments

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

Day 3 - Friday, 29 September 2023

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)

SPEAKERS



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



Ben Macdonald

Head of Group Legal, Rothschild & Co

10:25 / **Networking break**

Panel discussion

10:50 / **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

SPEAKERS



Nell Perks

Partner, Latham & Watkins



Daniel Winterfeldt

Managing Director & General Counsel for EMEA and Asia, Jefferies



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 AI
- / Challenges Compliance is facing in firms' the use of AI
- / 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

SPEAKERS



Katsuko Ishizeki-Chaudhari

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



Balaji Krishnamurthy

Partner, Compliance Transformation, PwC



Céline Lunet

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

11:30 / **Panel discussion**
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)

SPEAKERS



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)

SPEAKERS



Eduardo Vilela

EMEA Supervisory Enablement Lead, AWS



Bob Wardrop

Professor University of Cambridge and CEO RegGenome

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

SPEAKERS



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**
