CONFERENCE

7th Annual European Compliance and Legal Conference

27 September 2023 / Radisson Collection Hotel

Day 1 - Wednesday, 27 September 2023

NETWORKING DRINKS

18:00 - 19:30

Welcome reception

Day 2 - Thursday, 28 September 2023

08:30 / Registration and networking open

09:00 - 10:00

Opening remarks

Speaker



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

09:15 - 10:30

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

Day 2 - Thursday, 28 September 2023

PANEL DISCUSSION

09:45 - 11:15

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



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

Day 2 - Thursday, 28 September 2023

PANEL DISCUSSION

11:05

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



Iliana Lani
Head of Department - Conduct Supervision and Convergence, ESMA



Seung Earm
Head of Regulatory & Territory Office, BNP Paribas

12:00 / Networking lunch

Day 2 - Thursday, 28 September 2023

TRACK A PANEL DISCUSSION

13:00

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



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

Day 2 - Thursday, 28 September 2023

TRACK B **PANEL DISCUSSION**

13:00

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



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

Day 2 - Thursday, 28 September 2023

TRACK A PANEL DISCUSSION

13:40

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



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)

Day 2 - Thursday, 28 September 2023

TRACK B PANEL DISCUSSION

13:40

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

Day 2 - Thursday, 28 September 2023

TRACK A PANEL DISCUSSION

14:20

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



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

Day 2 - Thursday, 28 September 2023

TRACK B PANEL DISCUSSION

14:20

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

Speakers



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

15:20

Keynote address

Speaker



Benoît de Juvigny
Secretary General, AMF

Day 2 - Thursday, 28 September 2023

15:50

Keynote address

Speaker



Derville Rowland
Deputy Governor Consumer & Investor Protection, Central Bank of Ireland

PANEL DISCUSSION

16:20

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



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

Day 3 - Friday, 29 September 2023

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

PANEL DISCUSSION

09:45

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



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

Day 3 - Friday, 29 September 2023

TRACK A 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



Daniel Winterfeldt
Managing Director & General Counsel for EMEA and Asia, Jefferies



Nell Perks
Partner, Latham & Watkins



Richard Willis
Partner, Arthur Cox LLP

Day 3 - Friday, 29 September 2023

TRACK B **PANEL DISCUSSION**

10:50

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



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

TRACK A 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)

Speakers



Christian Hunt
Founder, Human Risk Limited



Ted MacDonald
Senior Technical Specialist, Financial Markets Standards Board

Day 3 - Friday, 29 September 2023

TRACK B PANEL DISCUSSION

11:30

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



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

Day 3 - Friday, 29 September 2023

PANEL DISCUSSION

13:45

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