CONFERENCE

AFME's 8th Annual European Compliance and Legal Conference

23 September 2024 / etc.venues St. Paul's

Day 1 - Monday, 23 September 2024

08:30 / Registration and refreshments

09:00

Opening remarks

Speaker



Louise Rodger
Managing Director,
Compliance, AFME

09:05 - 09:15

Welcome remarks

Speaker



Bharat P Samani
Managing Director, Head of
Compliance UK, Continental
Europe & Middle East BBVA

Day 1 - Monday, 23 September 2024

09:15

Keynote address

Moderator



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

Speaker



Sébastien Raspiller
Secretary General, AMF

PANEL DISCUSSION

09:45 - 01:30

Global Heads of Compliance

OVERVIEW

- Key regulatory priorities
- Current trends affecting the compliance function
- What keeps Heads of Compliance awake at night?

Moderator



Rob Moulton
Partner, Latham & Watkins

Speakers



Christine Lowthian
Chief Compliance Officer, Europe, HSBC



Karen Reece
Managing Director, SCIB Global Regulatory Compliance, Santander



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

10:30 / Networking break

Day 1 - Monday, 23 September 2024

11:10

Keynote address

Moderator

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

Speaker



Verena Ross
Chair, European Securities and Markets Authority

Day 1 - Monday, 23 September 2024

PANEL DISCUSSION

11:30

Global Regulatory Landscape

OVERVIEW

- Progress on key files in the UK and EU
- Practical challenges for firms operating across borders
- Expectations for the future

Moderator



Nick Bradbury
Partner, A&O Shearman

Speakers



Alison Johnston
EMEA Team Leader, Legal Regulatory, BNP Paribas

Ben Pott
Managing Director and International Head of Public Policy and Government Affairs, BNY Mellon



Simon Jowers
Head Governmental Affairs EMEA, UBS

Zertasha Malik
Head of International Policy & Strategy Division, Bank of England

12:15 / Networking lunch

Day 1 - Monday, 23 September 2024

TRACK A PANEL DISCUSSION

13:15 - 13:55

Investor Protection

Track A

OVERVIEW

- Current areas of focus in the EU and UK
- Navigating the wholesale/retail split
- Supervisory expectations

Moderator



Penny Miller
Head of the Financial Services Regulatory practice, Simmons & Simmons

Speakers



Alexandria Carr
Head of Financial Services Regulation SEGL/JUR, Société Générale

Elizabeth Purdy
Financial Markets Advisory Compliance, Lloyds Bank

Stefano Alifano
Compliance Investor Protection, Mediobanca

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TRACK B PANEL DISCUSSION

13:15 - 13:55

Anti Money Laundering Reform

Track B

OVERVIEW

- Implementation of the EU AML Package
- Global standards and alignment
- The role of AMLA

Moderator



Richard Middleton
Managing Director, AFME
Frankfurt

Speakers

Endija Springe
Policy Expert, European Banking Authority



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



Jose Arevalo
Director, Regulatory Risk & Control Oversight, Commerzbank



Marcus Pleyer
Dep Director General, Federal Ministry of Finance Germany

Day 1 - Monday, 23 September 2024

TRACK A PANEL DISCUSSION

13:55 - 14:35

Market Abuse Regulation: Latest Developments

Track A

OVERVIEW

- Progress on EU changes to MAR
- Assessing the UK landscape
- Challenges arising from new products

Moderator



Rob Moulton
Partner, Latham & Watkins

Speakers



Carlo Milia
Director, Head of Market Abuse Investigation Unit, CONSOB



Charlotte Bellamy
Director, Banking & Markets Regulatory Reform Legal, Bank of America



Jerome Lambert
EMEA Solution Director, Financial Market Compliance, NICE Actimize

Raul Navarro Lozano
Deputy Manager Equities Trading, CNMV

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TRACK B PANEL DISCUSSION

13:55 - 14:35

Advancing the Fight Against Financial Crime and AML

Track B

OVERVIEW

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

Moderator



Mark Taylor
Partner, Co-Founder, Ibex

Speakers



Anuradha Mathur Boyd
Head of FCC, Wholesale Netherlands, ING



David Langenkamp
Team manager, FIU-the Netherlands

Paul Roden
Head of Financial Crime Intelligence Unit, Deutsche Bank

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TRACK A PANEL DISCUSSION

14:35 - 15:30

Trends in Surveillance

Track A

OVERVIEW

- Surveillance data management
- Regulatory and supervisory considerations
- Impact of technological advancements

Moderator



Lucas Ocelewicz
Partner, KPMG

Speakers



Mark Gillert
Head of Division, BaFin



Mark Cross
Head of Central Surveillance, StoneX

Mike Coats
Chief Technology Officer, TradingHub

Steve Clark
Global Head of Trade Surveillance, Morgan Stanley

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TRACK B **PANEL DISCUSSION**

14:35 - 15:30

Governance & Accountability

Track B

OVERVIEW

- Post-implementation reflections on SEAR
- Progress on the UK Edinburgh Reforms changes to SMCR

Moderator



Nikunj Kiri
Partner, Linklaters

Speakers



Aaron Caplan
Head of Central Compliance and SMCR, Nomura



Andy Atkinson
Director of Product Management, StarCompliance



Leslie Coombs
Director, UK Senior Managers & Certification Regime (SMCR), Citi



Paul Brione
Head of Division, PRA Authorisations, Bank of England

15:30 / Networking break

Day 1 - Monday, 23 September 2024

15:55

Keynote address

Moderator



Louise Rodger
Managing Director, Compliance, AFME

Speaker



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

PANEL DISCUSSION

16:15

Diversity & Inclusion

OVERVIEW

- State of play on the UK D&I proposals
- Views from industry leaders on what works – and what doesn't
- What does the industry need to focus on next?

Moderator



Clare McMullen
Partner, Linklaters

Speakers



Abisola Sherwood
Global Head of Program Oversight, AML KYC, Citi



Annie Ren
Director of Governance and Executive Board Member, WiBF



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



Majella Walsh
European Head of Compliance, Scotiabank

Day 1 - Monday, 23 September 2024

17:00

Closing remarks

Moderator



Louise Rodger
Managing Director,
Compliance, AFME

17:15 / Drinks reception

Day 2 - Tuesday, 24 September 2024

08:45 / Registration and refreshments

09:10 - 09:15

Welcome Remarks

Speaker

Louise Rodger
Managing Director,
Compliance, AFME

09:15

Opening remarks

Speaker



Lisa Walker
Head of Compliance UK &
Middle East, ING Bank

Day 2 - Tuesday, 24 September 2024

PANEL DISCUSSION

09:30

General Counsels Discussion

OVERVIEW

- Legal perspectives on the key challenges facing banks in the EU
- Priorities for 2025 and beyond
- How the legal function is changing from a skills, risk and technology perspective

Moderator



Robert Cain
Partner, Arthur Cox

Speakers



Ben Macdonald
Head of Group Legal, Rothschild & Co



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

William de Vreede
Global Head Legal Wholesale Banking, ING

10:15 / Networking break

Day 2 - Tuesday, 24 September 2024

TRACK A PANEL DISCUSSION

10:45 - 11:30

2LoD Alignment - Compliance & Risk

Track A

OVERVIEW

- How are roles and expectations changing?
- How can second line functions work together most effectively?

Moderator



Clare Jenkinson
Partner, Deloitte Legal

Speakers

Chris Stevens
Global Sales, Executive Head, Cube



Georgi Korchev
Director, Co-Head of UK GA Compliance Advisory, Rothschild & Co



Michael Phillips
Head of UK Wholesale Banking Compliance, Société Générale



Seung Earm
Partner, Co-Founder, Ibex

Day 2 - Tuesday, 24 September 2024

TRACK B PANEL DISCUSSION

10:45 - 11:30

Trends in Enforcement

Track B

OVERVIEW

- What can we learn from recent regulatory actions
- Where to focus in 2025 and beyond

Moderator

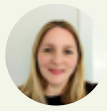
Thomas Makin
Managing Associate, Simmons & Simmons

Speakers

Dee O Sullivan
Interim Head of Department, Enforcement & Market Oversight, Financial Conduct Authority



Sian Lewin
Regulatory Lead, Acin



Susie Mackenzie
Head of Legal and Regulatory Analysis, Corlytics

TRACK C

10:45 - 12:20

Future Leaders Round Table

Track C

OVERVIEW

- Equipping yourself for the Compliance & Legal functions of the future
- Developing yourself by making the most of mentors
- Building career networks

Speakers

Lucy Ellis-Keeler
Vice President, Business Development & Innovation Compliance, Citi

Rachel Mann
Co Chair of the Future Leaders Network, WiBF

Shannon Oleson
Account Executive Financial Services, AlphaSense

Day 2 - Tuesday, 24 September 2024

TRACK A PANEL DISCUSSION

11:30 - 12:15

ESG Compliance Implications

Track A

OVERVIEW

- Assessing the regulatory landscape
- Interoperability of standards
- Key challenges for Compliance & Legal functions

Moderator

Peter Bevan
Global Head of FRG,
Linklaters

Speakers

Bobby Schrader
Barclays



David Knott
Director, TD Securities

Jaime Comunión Artieda
Financial Markets &
Sustainability Compliance
Director, BBVA



Rachel Sumption
Manager, Sustainable
Finance, AFME

TRACK B PANEL DISCUSSION

11:30 - 12:15

Handling Regulatory Investigations

Track B

OVERVIEW

- Best practices in conducting internal, government & cross-border investigations
- Managing contentious enforcement enquiries and disputes from their earliest stages through settlement
- Crafting solutions that address regulatory implications and potential follow-up litigation
- Use of robust data analytics to minimize settlements

Moderator



Stephen Strombelline
Managing Director, J.S. Held

Speakers



Nell Perks
Partner, Latham & Watkins



Richard Willis
Partner, Arthur Cox



Rupal Patel
Co-Head of Business Development, Acin

12:15 / Networking lunch

Day 2 - Tuesday, 24 September 2024

13:15

Keynote address

Moderator



Adam Farkas
CEO, AFME

Speaker



Therese Chambers
Joint Executive Director of Enforcement & Market Oversight, Financial Conduct Authority

PANEL DISCUSSION

13:45

The Culture Journey

OVERVIEW

- Taking stock of culture and behavioural change in the industry
- Cultivating a good risk culture
- Identifying and addressing non-financial misconduct

Moderator



Tim Payne
Partner, Financial Services, KPMG

Speakers



Aurélien Dubus
UK Head of Compliance, BNP Paribas



Christopher Simon
Manager, Wholesale Banks Sector Team, Financial Conduct Authority



Neta Meidav
CEO and Founder, Vault



Ted MacDonald
Senior Technical Specialist, Financial Markets Standards Board

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PANEL DISCUSSION

14:30

Impact of Technology on Compliance & Legal

OVERVIEW

- Developing a strategy for embedding technology
- Governance and conduct considerations

Moderator

Lucy McNulty
Editor, Following the Rules

Speakers

Clare Jenkinson
Partner, Deloitte Legal



Pankaj Anand
Head of Governance
Technology Solutions, StoneX



Rachel Cockshutt
Head of Capital Markets
Compliance, Europe, RBC
Capital Markets



Shaun Hurst
EMEA Principal Regulatory
Advisor, Smarsh

15:15 / Closing remarks