# 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 / Welcome remarks

### **SPEAKER**



Bharat P Samani

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

# 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

09:45 / Panel discussion 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

#### **SPEAKER**



### **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

# 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

11:30 / Panel discussion
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

#### **SPEAKER**



# 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

13:15 / Panel discussion 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

## **SPEAKER**



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

# 13:15 / Panel discussion 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

# **SPEAKER**

# **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

# Panel discussion

13:55 / 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

### **SPEAKER**



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

\_ \_ Panel discussion

13:55 / 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

# **SPEAKER**



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

# 14:35 / Panel discussion Governance & Accountability

Track B

### **OVERVIEW**

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

#### **MODERATOR**

Nikunj Kiri

Partner, Linklaters

#### **SPEAKER**



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

# 14:35 / Panel discussion Trends in Surveillance

Track A

### **OVERVIEW**

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

### **MODERATOR**



Lucas Ocelewicz

Partner, KPMG

# **SPEAKER**



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

# 15:30 / Networking break

# 15:55 / Keynote address

#### **MODERATOR**

Louise Rodger

Managing Director, Compliance, AFME

#### **SPEAKER**



**Derville Rowland** 

Deputy Governor Consumer & Investor Protection, Central Bank of Ireland

16:15 / Panel discussion
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

#### **SPEAKER**



# 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

# 17:00 / Closing remarks

# **MODERATOR**

Louise Rodger

Managing Director, Compliance, AFME

# 17:15 / Drinks reception

# 08:45 / Registration and refreshments

09:10 / Welcome Remarks

# **SPEAKER**

Louise Rodger

Managing Director, Compliance, AFME

# 09:15 / Opening remarks

### **SPEAKER**



Lisa Walker

Head of Compliance UK & Middle East, ING Bank

# 09:30 / Panel discussion 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

### **SPEAKER**



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

# 10:45 / 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

### **SPEAKER**

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

10:45 / Panel discussion 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

#### **SPEAKER**

**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

10:45 / Panel discussion
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

#### **SPEAKER**

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

# 11:30 / Panel discussion 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

# **SPEAKER**

**Bobby Schrader** 

Barclays



**David Knott** 

Director, TD Securities

# Jaime Comunión Artieda

Financial Markets & Sustainability Compliance Director, BBVA



**Rachel Sumption** 

Manager, Sustainable Finance, AFME

# 11:30 / Panel discussion 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

#### **SPEAKER**



**Nell Perks** 

Partner, Latham & Watkins

Richard Willis

Partner, Arthur Cox

# Rupal Patel

Co-Head of Business Development, Acin

# 12:15 / Networking lunch

# 13:15 / Keynote address

#### **MODERATOR**



Adam Farkas

CEO, AFME

#### **SPEAKER**



**Therese Chambers** 

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

13:45 / Panel discussion
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

# **SPEAKER**



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

# 14:30 / Panel discussion Impact of Technology on Compliance & Legal

#### **OVERVIEW**

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

## **MODERATOR**

**Lucy McNulty** 

Editor, Following the Rules

#### **SPEAKER**

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

## **MODERATOR**

Louise Rodger

Managing Director, Compliance, AFME