

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

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09:05 / Welcome remarks

### **SPEAKER**



**Bharat P Samani**

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

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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 S



Petra Bukhalenkova

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



Christine Lowthian

Chief Compliance Officer, Europe, HSBC



Karen Reece

Managing Director, SCIB Global Regulatory Compliance, Santander

10:30 / Networking break

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 S



Alison Johnston

EMEA Team Leader, Legal Regulatory, BNP Paribas



Simon Jowers

Head Governmental Affairs EMEA, UBS

Zertasha Malik

Head of International Policy & Strategy Division, Bank of England

Ben Pott

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

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 S

Stefano Alifano  
Compliance Investor Protection, Mediobanca



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

Elizabeth Purdy  
Financial Markets Advisory Compliance, Lloyds Bank

Panel discussion

13:15 / 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 S



Jose Arevalo  
Director, Regulatory Risk & Control Oversight, Commerzbank



Marcus Pleyer  
Dep Director General, Federal Ministry of Finance Germany

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

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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 S



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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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 S



**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



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

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Panel discussion

14:35 / 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 S



**Andy Atkinson**  
Director of Product Management, StarCompliance



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



**Aaron Caplan**  
Head of Central Compliance and SMCR, Nomura



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

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Panel discussion


14:35 / Trends in Surveillance

Track A

OVERVIEW

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


MODERATOR



Lucas Ocelewicz

Partner, KPMG

SPEAKER S



Mark Cross

Head of Central Surveillance, StoneX

Mike Coats

Chief Technology Officer, TradingHub

Steve Clark

Global Head of Trade Surveillance, Morgan Stanley



Mark Gillert

Head of Division, BaFin

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 S



Annie Ren

Director of Governance and Executive Board Member, WiBF



Abisola Sherwood

Global Head of Program Oversight, AML KYC, Citi



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

08:45 / Registration and refreshments	08:45 / Registration and refreshments
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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

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

SPEAKER S



Ben Macdonald  
Head of Group Legal, Rothschild & Co

William de Vreede  
Global Head Legal Wholesale Banking, ING



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

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 S

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

Panel discussion

10:45 / 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 S



Seung Earm  
Partner, Co-Founder, Ibex



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



Michael Phillips  
Head of UK Wholesale Banking Compliance, Société Générale

Chris Stevens  
Global Sales, Executive Head, Cube

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Panel discussion

10:45 / 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 S



Sian Lewin

Regulatory Lead, Acin



Susie Mackenzie

Head of Legal and Regulatory Analysis, Corlytics

Dee O Sullivan

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

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Panel discussion

11:30 / 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 S

Jaime Comuni3n Artieda

Financial Markets & Sustainability Compliance Director, BBVA



David Knott

Director, TD Securities

Bobby Schrader

Barclays



Rachel Sumption

Manager, Sustainable Finance, AFME

Panel discussion

11:30 / 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 S



Nell Perks  
Partner, Latham & Watkins

Rupal Patel  
Co-Head of Business Development, Acin

Richard Willis  
Partner, Arthur Cox

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 S



Aurélien Dubus  
UK Head of Compliance, BNP Paribas



Neta Meidav  
CEO and Founder, Vault



Ted MacDonald  
Senior Technical Specialist, Financial Markets Standards Board



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

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

SPEAKER S



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

Clare Jenkinson

Partner, Deloitte Legal

15:15 / Closing remarks

MODERATOR

Louise Rodger

Managing Director, Compliance, AFME