

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

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

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

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 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

13:55 / **Panel discussion**
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

13:55 / Panel discussion
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

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 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

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 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**

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

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

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

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 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

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 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

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 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

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 S

Jaime Comunión Artieda

Financial Markets & Sustainability Compliance Director, BBVA



David Knott

Director, TD Securities

Bobby Schrader

Barclays



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 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

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 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