

CONFERENCE

AFME's European Compliance and Legal Conference 2026

21 September 2026 / The Pullman, Montparnasse

Day 1 - Monday, 21 September 2026

08:45 / Welcome Registration

09:20 - 09:40

Opening Remarks

Speaker



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

09:40 - 09:45

Welcome Remarks

Speaker



Lisa Walker
Head of Compliance, ING

Day 1 - Monday, 21 September 2026

09:45 - 10:15

Keynote Address: Hanzo Van Beusekom Member of Executive Board, Dutch Authority Financial Markets

EU Financial Markets and Supervision; A Dutch Perspective

Speaker



Hanzo Van Beusekom
Member of Executive Board,
Dutch Authority Financial
Markets

PANEL DISCUSSION

10:15 - 11:00

Global Heads of Compliance – Views From The Top

OVERVIEW

- / Current trends and emerging risks
- / Evolution of the Compliance function
- / What keeps Heads of Compliance awake at night?

Moderator



Sarah Thompson
Partner, Arthor Cox

Speakers



Christine Lowthian
Global Head of Compliance,
Corporate and Institutional
Banking



Christopher Singh
Group Head of CWR
Compliance, Barclays



Claudia Tarantino
Chief Compliance Officer



Es Nelson-Jones
Head of Conduct and
Compliance

11:00 / **Networking Break**

11:00 / Exhibition Hall **Open Stage - Interview with the committee chairs**

Day 1 - Monday, 21 September 2026

11:30 - 12:00

Keynote Session: Dr. Markus Nielsen, Director General Operational Measures Collective Consumer Protection, BAFIN

Speaker



Markus Nielsen
Director General Operational
Measures Collective
Consumer Protection, Federal
Financial Supervisory
Authority

PANEL DISCUSSION

12:00 - 12:45

The Evolving Regulatory Landscape

OVERVIEW

- / Managing global regulatory change
- / Key priorities for firms operating on a global scale
- / Understanding the influence of global politics

Moderator



Florent Bonnard
Senior Legal Counsel,
European Central Bank

Speakers



Claudia Gonzalez Cabanillas
Head of EMEA Regulatory
Affairs



Florent Palaysi
Managing Director, Global
Head of Global Markets
Compliance, Credit Agricole



Iliana Lani
Head of Conduct Supervision
and Convergence Department
at European Securities

12:45 / Networking Lunch

13:30 - 14:00

Open Stage

TRACK A

PANEL DISCUSSION

13:45 - 14:25

Delivering Effective Surveillance

OVERVIEW

- / Ownership & governance: Who's accountable for surveillance and how oversight works
- / Data & technology: Data quality, integration, and vendor risk
- / Regulatory focus: E-comms, recordkeeping, off-channel communications
- / Human judgment: Turning alerts into meaningful risk decisions

Moderator



Alex de Lucena
Director of Product &
Governance Strategy, Shield

Speakers



Anish Kalraiya
Executive Director, Head of
Surveillance UK, Crédit
Agriculture



Carolina Montiel Alocen
Head of Governance,
Compliance UK, Rabobank



Christophe Bonnet
Head of Data & Surveillance,
Autorité des Marchés
Financiers



Paul Clulow-Philips
Global Head of Market Abuse
Surveillance

TRACK B PANEL DISCUSSION

13:45 - 14:25

Digital Assets - Compliance and Legal Issues

OVERVIEW

- / Demonstrating MiCA Compliance
- / Authorisation notification frameworks
- / Regulatory developments

Moderator



Nick Bradbury
Partner

Speakers



John Siena
Associate General Counsel
and Co-Head of Regulatory
Strategy



Mark Frith
Director, Global Markets &
Securities Services
Compliance, HSBC



Pedro Casanova
Legal Front EU New Markets
and Digital Assets, BBVA

TRACK A CLOSED SESSION

14:25 - 15:05

From Alert to Action: Managing Surveillance Workshop

OVERVIEW

- / Set the scene – introduce scenario: a trade, comms or market conduct alert has been triggered
- / Breakout analysis – split into smaller groups (5-8) and answer questions
- / Group discussion & debrief (groups to present)
- / Takeaways & actionable guidance – panellist(s) summarise practical tips

Moderator



Mark Cross
Director of Central
Compliance

Speaker



James Burgess
Compliance and Surveillance
Technology Specialist,
Behavox

TRACK B PANEL DISCUSSION

14:25 - 15:05

AI - Compliance and Legal Challenges

OVERVIEW

- / Regulatory challenges – the EU AI Act
- / Getting governance and accountability right
- / Deploying and managing AI agents
- / Compliance and Legal implications of developments in Frontier AI

Speakers



Antonia Walters
Head of Legal Engineering
and Operation, Blee



Helena Vieiria
Head of UK Compliance
Advisory for Functions



Yasmine Benyelles-Rodio
Head of Continental Europe
Advisory

TRACK A PANEL DISCUSSION

15:05 - 15:45

Data: The role of Legal and Compliance functions

OVERVIEW

- / Risks and governance
- / Data quality and operational challenges
- / Regulatory expectations and enforcement
- / Key trends and areas of focus
- / Compliance and Legal considerations

Speaker



Bert Verdoodt
Head of Compliance Large
Corporates & Institutions and
Sustainability

TRACK B PANEL DISCUSSION

15:05 - 15:45

DORA and Operational Resilience – what Compliance & Legal Need to Know

OVERVIEW

- / Demonstrating DORA compliance
- / Leveraging DORA in UK operational resilience

Speakers



Camilla McCloskey
Technology Regulatory Lead,
EMEA & Asia, Morgan Stanley



Reena Patel
Head of Data Legal EMEA,
UBS

15:45 / *Networking break*

PANEL DISCUSSION

16:05 - 16:50

2LoD Alignment – Legal, Compliance & Risk

OVERVIEW

- / How are roles and expectations changing?
- / Compliance and Risk – challenges and opportunities
- / The role of in-house legal

Speakers



Greg McEneny
Director, Legal Policy &
Regulation, ING



Jonathan Stone
Head of EMEA Compliance
and Swap Dealer Chief
Compliance Officer, Nomura



Michael Phillips
Head of UK Wholesale
Banking Compliance



Nicholas Hickman
Executive Director,
Compliance and Operational
Risk

PRESENTATION

16:50 - 17:00

Navigating the Impact of Geopolitical events

Speaker



Livia Paggi
Senior Managing Director,
J.S. Held

Day 1 - Monday, 21 September 2026

PANEL DISCUSSION

17:00 - 17:30

Navigating the Impact of Geopolitical events

OVERVIEW

- / Understanding the drivers and key challenges
- / Responding to increased global regulatory divergence
- / Reacting to emerging geostrategic events
- / The role of compliance (and other) functions

Speakers



Alistair Wellmann
Chief Compliance Officer,
Legal, AML & Privacy



Livia Paggi
Senior Managing Director,
J.S. Held

17:30

Closing remarks

17:35 / 10th Anniversary Drinks reception

Day 2 - Tuesday, 22 September 2026

08:30 / Welcome Registration

09:00 - 09:05

Opening remarks

09:05 - 09:15

Welcome Remarks

09:15 - 09:45

Keynote address: Marie-Anne Barbat-Layani, AMF

PANEL DISCUSSION

09:45 - 10:30

General Counsels Discussion

OVERVIEW

- / Key legal and regulatory challenges facing banks in the EU and UK
- / Coordination and collaboration: across the business and with external law firms
- / Priorities for 2027 and beyond
- / How the legal function is changing from a skills, risk and technology perspective

Moderator



Becky Critchley
Partner, Latham & Watkins

Speakers



Emmanuel Caradec
General Counsel, Europe,
Natixis Corporate and
Investment Banking



Matthias Bock
Managing Director and
General Counsel, Goldman
Sachs Bank Europe SE



Sarah Linstead
General Counsel, EMEA, TP
ICAP



William de Vreede
Global Head Legal Wholesale
Banking, ING

10:30 - 11:00

Fireside Chat: Natasha Cazenave Executive Director, ESMA & James Kemp, Managing Director, AFME

Speaker



Natasha Cazenave
Executive Director, European
Securities and Markets
Authority

11:00 / *Networking Break*

TRACK A PANEL DISCUSSION

11:30 - 12:15

Governance & Accountability

OVERVIEW

- / SMCR Review – assessing the impact of the changes
- / Lessons from SEAR, 3 years on
- / EU expectations on governance and suitability

Speakers



Bernd Rummel
Senior Policy Expert,
European Banking Authority



Neil McKeever
Head of Senior Managers
Office



Sophie McCarroll
Head of SMCR and Conduct,
HSBC

TRACK B PANEL DISCUSSION

11:30 - 12:15

Global Trends in Enforcement

OVERVIEW

- / What can we learn from recent regulatory actions
- / Key trends
- / What to expect from Enforcement in 2027

Moderator



Rob Moulton
Partner, Latham & Watkins

Speaker



Sarah Varley
Director, European Head of
Regulatory Relations, Ireland
Central Compliance

TRACK C

11:30 - 13:00

Future Leaders Round Table : Intentional Impressions

OVERVIEW

- / Becoming international with every interaction and relationship
- / Developing your network intentionally
- / Using body language to get across your message
- / Becoming impactful with small talk
- / Getting across who you are and what you offer

TRACK A PANEL DISCUSSION

12:15 - 13:00

MiFID Conduct

OVERVIEW

- / EU RIS
- / UK Client Categorisation
- / Conflicts of Interest
- / Regulatory Developments

Speakers



Giulia Pecce
Director, Head of Secondary
Capital Markets and
Wholesale Investor Protection



Laurent Pauline
Public & Regulatory affairs,
BNP Paribas Global Market



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

TRACK B

12:15 - 13:00

Handling Internal and Regulatory Investigations

OVERVIEW

- / Best practices for conducting internal reviews, enforcement inquiries and remediation efforts
- / Maintaining independence while satisfying regulator expectations
- / Challenges when representing the company and employees

Moderator



Stephen Strombelline
Managing Director

Speaker



Shaun Hurst
Principal Regulatory Advisor,
Smash

13:00 / Kindly sponsored by Latham & Watkins
Women in Compliance Networking Lunch

**Sponsored
by** LATHAM & WATKINS

13:00 / **Networking Lunch**

PANEL DISCUSSION

14:00 - 14:50

Simplification and Competitiveness

OVERVIEW

- / Challenges with divergent regimes
- / Assessing the cost for markets
- / Opportunities for reform and better outcomes for market participants
- / Views from regulators

Speakers



Guillaume Loeuille
Chief Compliance Officer,
Wholesale Banking, Société
Générale



Matthew Harley
Associate Director, UK
Advocacy, AFME

PANEL DISCUSSION

14:50 - 15:15

Conduct and Behavioural Change in Financial Services

OVERVIEW

- / Where the industry stands today
- / What should be the next focus to deliver better outcomes
- / Leadership responsibility for behaviour and culture

Speakers



Javier Munoz
Technical Director, Financial
Markets Standards Board



Robert Cruz
Vice President, Regulatory &
Information Governance,
Smash

Day 2 - Tuesday, 22 September 2026

15:15
Closing Remarks