FINANCIAL SERVICES

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ncial Institutions Speaking. 1 Day

Bullet Proof Operational Resilience Frameworks: Implement a bulletproof business continuity framework designed to adapt to disruption, remain agile and deliver critical services

Interpret New Regulations Quickly & Effectively: Strengthen your business model to consume new guidance and meet ever-changing regulatory requirements

Proactively Respond To Upcoming ESG & Climate Regulation: Drive initiatives forward, prioritise senior exec support and navigate the complexity of the evolving ESG and climate

Maximise New Technologies. Al & Drive Cloud Adoption: Leverage the right digital tools which suit your policies, procedures, and controls to deliver bottom-line results

Combat Ever-Increasing Cyber Crime & Security Threats: Act fast, mitigate vulnerability and power collaborative resistance with high-impact cyber risk strategies

Deter Misconduct, Raise Standards Of Governance & Encourage A Culture Of Responsibility: Protect firm

reputation with appropriate systems and controls in place which improve accountability and conduct awareness

Protect & Support Vulnerable Customers &'Combat Inequality: Implement tailored policies which ensure increased focus on better customer outcomes and fair treatment of

customers at all touchpoints

Practical & Proactive AML & Financial Crime Strategies: Refresh your risk and compliance strategies to combat new types of financial crime risk and improve efficiencies

Translate Risk Data Into Actionable Insights! Analyse and measure risk data to better understand model limitations for targeted responses which protect customerstouchpoints

Risk Forecasting For A Strategic Advantage: Best prepare for the unexpected with efficient and fit-for-future R&C models

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- 3 Interactive Panels:
 - New Regulations
 - Cloud, Al & New Technology
 - The Future Of Risk & Compliance • 3 Informal Networking
 - Discussions

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Robust, Refreshed & Resilient Risk & Compliance Strategies For Financial Services

Embed Robust Risk Frameworks Which Adapt To Operational Disruption, Prepare For New Regulations, Respond To ESG & Climate Guidelines, Combat AML, Finance Crime, Misconduct & Cyber Threats, Protect Vulnerable Customers, Embrace Cloud, Al & New Technologies, Raise Standards Of Governance & Encourage A Culture Of Responsibility



Dave Montgomery Chief Risk Officer for Revolut Wealth & Trading Ireland

REVOLUT



Mark Chaplin Chief Risk Officer, UK Life

AVIVA



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Swati Jain Global FX Chief Risk Officer

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BlackRock

Antonello Russo EMEA Head of Risk Management, ETF & Index Investments

BLACKROCK



Head of Risk & Compliance







Siddhartha Medappa Chief Risk Officer





Stefana Brown Head Of Operational Risk

LEGAL & GENERAL INSURANCE



Louise Johnston Chief Compliance Officer **AMERICAN EXPRESS UK**





Martin Lewis Director, Chief Operating Office & Third Party Risk, Internal Audit

CREDIT SUISSE





Operational Resilience Strategist, Corporate

J.P. MORGAN





Enrico Massignani Chief Risk Officer

GENERALI GROUP INVESTMENT





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Sarah Bennett-Nash M.D, Head of Compliance Europe

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Sanjay Sharma Global Co - Head of FICC Compliance



Leanne Bridges CCO Risk Lead: Specialist Risk Functions

NATIONWIDE BUILDING SOCIETY





Principal (Vice President), Legal Entity Risk &

BNY MELLON



ATRATO GROUP

John, Mahony

Head of Compliance



Head of Risk Modelling **ZURICH**

Cian Reynolds





Manoi Bhaskar, Global Head of Enterprise Risk Analytics, Enterprise Risk Management

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Mohit Dhingra UK & International Risk Director

RSA





Elizabeth Martine Head of Risk

CLOSE BROTHERS MANAGEMENT



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Organised By:



Risk & Compliance Professionals Share Practical & Proactive Insights To Establish Robust Risk & Compliance Frameworks, Prepare For New Regulations, Respond To Upcoming ESG & Climate Guidelines, Combat Cyber Threats, AML & Financial Crime, Protect Vulnerable Customers, Optimise Data, Cloud, AI & New Technologies, Deter Misconduct & Encourage A Culture Of Responsibility Across R&C Teams

Registration, Informal Networking & GIC Opening Remarks

Morning Co-Chairs' Opening Remarks 09.00



John Mahony Head of Compliance

Atrato Group



Mohit Dhingra UK & International Risk Director

RSA



OPERATIONAL RESILIENCE

09.10 Unearth Critical Insights To Employ A Bulletproof Business Continuity Plan & Framework Designed To Adapt To Disruption. Remain Agile & Deliver Critical Services

- With new resilience requirements announced in light of Covid-19, what key lessons from the pandemic will continue to drive business continuity throughout 2022 and beyond?
- · Where risk prevention is not always feasible, investment in vigilance and resilience can reduce the impact of risk! Design, manage and deliver operational resilience improvements which fit your business priorities
- Build robust models through testing control frameworks which protect against fraudsters, change and new regulations
- How can you identify gaps in your frameworks in order to build and implement a successful business continuity plan which aligns with the broader strategic agenda?



Mark Chaplin Chief Risk Officer, UK Life

Aviva



ESG & CLIMATE CHANGE

Case Study

09.30 Proactively Respond To Upcoming ESG & Climate Regulation With Risk & Compliance Business Models Which Support Sustainable Finance & Green Initiatives

- Meet and exceed regulators' increasing requirements with a risk model which responds and quickly interprets updated ESG standards and quidelines
- · How are financial services best monitoring MI in order to forecast a sustainable
- Third parties and climate risk: do your vendor's climate resilience plans align with your organisations push for net-zero?
- · Securing stakeholder buy-in: how can you ensure senior executives prioritise and support new environmental initiatives in the race to net-zero?
- Data availability and ESG reporting: how can you drive net-zero initiatives further in your financial organisation by backing up claims with tangible data and insights?



Ionathan Grant Global Head of Compliance Risk. Retail Bank

HSBC



CLOUD. AI & NEW TECHNOLOGIES

09.50 Combat & Mitigate The Threat Of Disruption By Maximising Emerging Technologies, Innovation Al & Cloud Adoption Within Risk & Compliance Models To **Deliver Bottom-Line Results**

- Keep pace with tech innovations for smarter digital approaches to risk and compliance models which suit your policies, procedures, and controls and deliver tangible results
- Explore the risks of cloud adoption: how will risk profiles change for financial organisations when they start utilising the cloud?
- Ensure full compliance across the board by preventing AI data bias to reduce costs and reduce errors
- Evaluate the importance of blockchains to determine safer risk and compliance mitigation actions with digital assets
- · How will tech, digital, Al and the cloud continue to disrupt risk and compliance teams in the future?



Leanne Bridges CCO Risk Lead: Specialist Risk **Functions**

Nationwide Building Society



Enrico Massignani Chief Risk Officer

Generali Group Investment Asset & Wealth Management



Swati lain Global FX Chief Risk Officer

Bank of America

Bonus Session Reserved For Exclusive Conference Partner

Morning Refreshment Break With Informal Networking

CYBER CRIME & SECURITY

11.20 Act Fast, Identify Risks & Power Collaborative Resistance To Combat Ever-Increasing Cybersecurity Threats With High-Impact & Robust Cyber Risk Strategies

- Tighten control models with tried-and-tested risk strategies so that your financial institution can react fast and continue to protect consumers even throughout silent
- Mitigate vulnerability by investing in the right technologies and effectively educating teams to identify threats quickly in order to respond and protect the organisation
- Cyber risk culture has evolved in the new hybrid workplace, how can you ensure your cyber culture aligns with your organisation's culture?
- From market abuse and terrorism funding to the growth of ransomware attacks are IT departments communicating with the right risk and compliance functions to create a robust umbrella of controls which keeps customers protected?

CUSTOMER OUTCOMES & VULNERABLE CUSTOMERS

Develop & Implement Flexible & Tailored Policies Which Reflect New Consumer Protection Legislations, Combat Inequality & Protect & Support Vulnerable Customers

• Ensure an increased focus on better customer outcomes and vulnerable customers by reviewing current regulation to quarantee fairer treatment of customers and higher levels of customer care



- As vulnerability rises in the UK as a result of Covid-19, what forbearance measures are necessary for each individual customer in a post-Covid world?
- · Identify the key areas of vulnerability which are prominent for more targeted operational and conduct risk and determine the value of effective KYC approaches for your financial institution
- Protect the fair treatment of customers at all touchpoints by improving communication channels with customers for clearer explanations of products, services and terms which fulfil risk and compliance obligations

11.40

Q&A

A Nationwide

BANK OF AMERICA

Building Society

Chloe Stuttard Head of Risk & Compliance





Sarah Bennett-Nash M.D. Head of Compliance Europe

Standard Chartered Bank





NEW REGULATIONS

12.20 Implement An Aligned, Robust & Resilient Operating Model Which Can Quickly Interpret & Keep Up With Rapidly-Changing Risk & **Compliance Regulations**



- How will regulation be adapted in a post-pandemic world, and how can financial institutions keep up with changes in order to consume and interpret regulation quickly and effectively?
- As financial regulation changes as the UK diverts from EU regulation and adjusts to the post-Brexit transition period, what divergences are to be expected, and what new opportunities will arise for risk management and compliance teams?
- As firms' quality of governance and culture models are placed under the regulatory spotlight, how can your organisation make critical decisions which consider fairer treatment of customers and employees?



Dave Montgomery Chief Risk Officer for Revolut Wealth & Trading Ireland



Revolut



Elizabeth Martine Head of Risk

Close Brothers Asset Management



Martin Lewis Director, Chief Operating Office & Third Party Risk, Internal Audit

Credit Suisse



CREDIT SUISS





Mark Satterthwaite Chief Compliance Officer Europe Citi





Operational Resilience • ESG & Climate Change • Cloud, AI & New Technology • Cyber Crime & Security • Customer Outcomes & Vulnerable Customers • New Regulations • New Risk Frameworks • Data Management & Transformation • Risk Culture, Conduct & Governance • Financial Crime & AML • The Future Of Risk & Compliance



Sanjay Sharma Global Co - Head of FICC Compliance

HSBC



13.10 Lunch & Informal Networking For Speakers, Delegates & Partners

13.40 Informal Breakout Discussions

A) Covid Impact

B) Post-Brexit





Martin Lewis Director, Chief Operating Office & Third Party Risk, Internal Audit



PEER-TO-

Credit Suisse

14.10 Afternoon Co-Chairs' Opening Remarks



Louise Johnston Chief Compliance Officer

American Express UK & Nordics



MERICAN



Mohit Dhingra UK & International Risk Director

RSA



NEW RISK FRAMEWORKS





- How should risk and compliance functions evolve on strategic and tactical levels to ensure they consistently keep up with regulatory changes?
- Ensure your risk frameworks are well tested to identify weaknesses and limitations in order to create more robust models which secure stakeholder buy-in
- Review ways to seamlessly integrate your frameworks for a unified ecosystem of models amongst risk and compliance teams

14.20

Dave Montgomery Chief Risk Officer for Revolut Wealth & Trading Ireland







Cian Reynolds Head of Risk Modelling

Zurich Insurance plc



DATA MANAGEMENT & TRANSFORMATION

15.00 Maximise Data & Overcome Challenges To Accessibility To Translate Results Into Actionable Insights By Ensuring It Is Fit-For-Purpose & Outcome Driven

- Uncover new and innovative ways to measure risk data to better understand model limitations for targeted responses which protect consumers
- For multijurisdictional banks how can you keep pace with regulatory changes around data?
- With the new data protection regime what should risk and compliance teams look out for?
- How can R&C teams better implement tech and AI to reduce the security and data breaches to reduce impact on customers and improve data handling efficiencies
- Explore your options using open data to export new models in finance to the rest of the world and modify it to fit the needs of your financial institution

RISK CULTURE, CONDUCT & GOVERNANCE

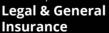
15.20 Equip Yourself With Appropriate Systems &
Controls In Order To Promote Confident Cultures,
Deter Misconduct, Raise Standards Of Governance
& Encourage A Culture Of Responsibility



- As SM responsibility increases, design and develop a successful and compliant internal system which improves individual accountability and awareness of conduct issues
- Measuring risk culture: how have other financial services approached measuring and evidencing progress and culture?
- Ensure teams aren't making decisions in silo and define what information should be shared between functions to align with organisational structures and avoid firm liability
- Understand the interplay between culture and governance and why it is important for improving risk-related decision making



Stefana Brown Head of Operational Risk







Suresh Sankaran
Head of Model Risk Governance
Metro Bank (UK)

O Afternoon Refreshment Break With Informal Networking

16.30 Bonus Session Reserved For Exclusive Conference Partner

FINANCIAL CRIME & AML

7.00 Implement Practical & Proactive AML & Financial Crime Strategies With Effective Processes & Technologies Which Mitigate Adverse Effects Of Criminal Activity & Protects Customers

- Uncover business-critical insights to refresh your risk and compliance strategies to combat new types of financial crime risk
- Develop strategic approaches to financial crime risk which assess data management, budgeting and reporting for better risk-led decision making.
- Assess the interplay between operational risk and financial crime and its impact on customers in order to boost efficiencies and combat threats
- Review necessary changes and adaptions to anti-fraud and anti-money laundering models in light of the pandemic and new hybrid ways of working

THE FUTURE OF RISK &



7.20 Uncover Critical Insights For A Strategic Advantage!
Best Prepare For The Unexpected With Efficient &
Fit-For-Future Risk & Compliance Models



- During the recovery phase of the pandemic how can financial services continue to monitor and re-structure risk models to suit hybrid ways of working?
- Re-emphasis around risk culture and individual accountability regimes will continue

 how can organisations best reflect this in future risk models?
- Smarter systems are here to stay explore reliable digital and automated solutions which monitor risk continuously
- What new financial and non-financial risks should financial institutions prepare for in 2022 and beyond?



Siddhartha Medappa Chief Risk Officer

Zurich Insurance plc



Frama Aboh Principal (Vice President), Legal Entity Risk & Controls





Elizabeth Martine Head of Risk

Close Brothers Asset Management



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Generali Group Investment Asset & Wealth Management



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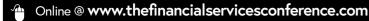








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