

Financial Risk & Compliance Conference 2022

08.30 Registration, Informal Networking & GIC Opening Remarks

09.00 Morning Chair's Opening Remarks

Louise Johnston

Chief Compliance Officer

American Express UK & Nordics

OPERATIONAL RESILIENCE

9.10 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

NEW REGULATIONS

Panel

Q&A

9.30 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

Mark Satterthwaite

Chief Compliance Officer Europe

Citi

ESG & CLIMATE CHANGE

10.00 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 guidelines
- How are financial services best monitoring MI in order to forecast a sustainable future?
- 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?

Jonathan Grant

Global Head of Compliance Risk, Retail Bank

HSBC

10.20 Bonus Session Reserved For Exclusive Conference Partner

10.50 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 cyber attacks
- 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

11.40 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 guarantee 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 Chloe Stuttard

Head of Risk & Compliance

LV= Financial Services

12.00 Sarah Bennett-Nash
M.D, Head of Compliance Europe
Standard Chartered Bank

CLOUD, AI & NEW TECHNOLOGIES

Panel

Q&A

12.20 Combat & Mitigate The Threat Of Disruption By Maximising Emerging Technologies, Innovation AI & 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, AI and the cloud continue to disrupt risk and compliance teams in the future?

Swati Jain
Global FX Chief Risk Officer
Bank of America

Enrico Massignani
Chief Risk Officer
Generali Group Investment Asset & Wealth Management

Steven Vischer
Director - Equity Derivatives and Prime Brokerage Risk Development Lead
Bank of America

12.50 Bonus Session Reserved For Exclusive Conference Partner

13.10 Lunch & Informal Networking For Speakers, Delegates & Partners

13.40 Informal Breakout Discussions

- A) Covid Impact
- B) Post-Brexit
- C) Reporting

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

14.10 Afternoon Chair's Opening Remarks

Corner flag: Chair's Remarks

Louise Johnston
Chief Compliance Officer
American Express UK & Nordics

NEW RISK FRAMEWORKS

Double Perspective

Robust

14.20 Refresh & Update Your Risk & Compliance Models! Integrate Impactful & Robust Frameworks Which Better Identify Emerging Risks & Best Prepare Your Organisation For The Unexpected

- 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

Dave Montgomery

Chief Risk Officer for Revolut Wealth & Trading Ireland

Revolut

Cian Reynolds

Head of Risk Modelling

Zurich Insurance plc

DATA MANAGEMENT & TRANSFORMATION

14.40 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

15.00 Bonus Session Reserved For Exclusive Conference Partner

15.30 Afternoon Refreshment Break With Informal Networking

RISK CULTURE, CONDUCT & GOVERNANCE

SMCR

16.00 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

16.00 Stefana Brown

Head Of Operational Risk

Legal & General Insurance

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

FINANCIAL CRIME & AML

16.40 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 adaptations to anti-fraud and anti-money laundering models in light of the pandemic and new hybrid ways of working

THE FUTURE OF RISK & COMPLIANCE

Panel

Q&A

17.00 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

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

Elizabeth Martine
Head of Risk
Close Brothers Asset Management

Manoj Bhaskar
Global Head of Enterprise Risk Analytics, Enterprise Risk Management
Standard Chartered Bank

Enrico Massignani
Chief Risk Officer
Generali Group Investment Asset & Wealth Management

17.30 Afternoon Chair's Closing Remarks

17.40 Official Close Of Conference