

## REGISTRATION, INFORMAL NETWORKING & GIC OPENING REMARKS

08.30 – 09.00 (GMT)

## MORNING CHAIR'S OPENING REMARKS

09.00 – 09.10 (GMT)

John Mahony, Head of Compliance, **Atrato**

## OPERATIONAL RESILIENCE

09.10 – 9.30 (GMT)

### **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

09.30 – 09.50 (GMT)

### **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**

## CLOUD, AI & NEW TECHNOLOGIES - PANEL & Q&A

09.50 – 10.25 (GMT)

### **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 Q&A 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?

Leanne Bridges, CCO Risk Lead: Specialist Risk Functions **Nationwide Building Society**

Steven Vischer, Director, Equity-linked Technology, **Bank of America**

Francesco De Matteis, Head of Enterprise Risk Management, **Generali Group**

Dana Simberkoff, Chief Risk, Privacy and Information Security Officer, **AvePoint**

Matt Middleton-Leal, Managing Director UK, Ireland and Africa, **Qualys**

## EXCLUSIVE INSIGHTS FROM CAMMS GROUP

10.25 – 10.40 (GMT)

### **How Technology Can Help Financial Services Organisations Mitigate Risk and Uncover Strategic Value**

GRC professionals are often so focused on reducing risk and meeting regulatory requirements that they can overlook the strategic value in their organisation. This traditional approach could stifle opportunities, and risks that are worth taking to grow the business can end up being missed.

In this session we look at how technology can not only support businesses to meet regulatory requirements and address key risks, but how you can use the data in conjunction with your corporate strategy to uncover opportunities for efficiencies and growth guiding the business towards its strategic goals.

Discover how technology can support your business to:

- Break down your strategic goals into key tasks aligned to your risk data to measure objectives
- Use risk & compliance data to track against KPI's to monitor business performance
- Set up a control framework to understand when you are non-compliant, nearing your risk tolerance or are deviating from your strategic goals
- Extract business insights from risk & compliance data to support strategic decision making

Daniel Kandola, Vice President, EMEA, **Camms Group**

### **MORNING REFRESHMENT BREAK WITH INFORMAL NETWORKING**

10.40 – 11.10 (GMT)

### **EXCLUSIVE INSIGHTS FROM ONETRUST**

11.10 – 11.25 (GMT)

#### **Reimagining Risk Assessments: Bridging the Gap Between Best Practices and Execution**

Do you spend countless hours assessing businesses risk, stuck in spreadsheets, sift through emails to find the most up-to-date information? After gathering all the necessary information from your line of business, you still need to review, validate, analyze, and assigned a risk score. All of this must be done before actionable insights can be drawn or mitigation efforts can take place. There is a significant gap in how risk is assessed and rate at which your business operates today.

As your programme evolves, the need to simplify the risk assessment process becomes unavoidable. But a common reality is that as your business continues to develop, risk assessment practices and resources have largely remained the same. It's not as simple as getting a risk management tool; it's about finding the right technology to adapt your processes in line with your current risk landscape and business objectives. In this session, we'll review risk assessment best practices businesses should consider based leading industry standards from ISO 31000, NIST CSF, and the latest DOJ Corporate Compliance Guidance. OneTrust will explore these concepts through the lens of modern-day technology that can help to alleviate the manual and subjective nature of risk assessments.

#### **Key Takeaways:**

- Familiarise yourself with proven best practices and new perspectives on risk assessments
- Identify opportunities to collect risk insights in context through an automated questionnaire process
- Streamline risk identification with automation rules tied to your risk methodology

Charles Allen, GRC Consulting Manager, CIPP/E, **OneTrust**

### **CUSTOMER OUTCOMES & VULNERABLE CUSTOMERS**

11.25 – 11.45 (GMT)

#### **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.

Chloe Stuttard, Head of Risk & Compliance, **LV= Financial Services**

### **EXCLUSIVE INSIGHTS FROM VIXIO**

11.45 -12.00 (GMT)

#### **The Paradigm Shift Towards Growth - How Compliance Is Evolving To Be At The Forefront Of Payments Strategy**

The regulatory landscape is becoming increasingly complex. VIXIO interviewed 100+ of the world's leading legal, compliance and regulatory executives to uncover their key priorities for this year and we discovered a noticeable shift toward growth.

The pandemic accelerated existing trends, which has created new opportunities and payments firms must also adapt to stave off new competitors. Get clarity on the current landscape and understand the major shifts that have taken place in the past 2 years.

- What are the new consumer demands and emerging industry trends to look out for?
- Key insights into the current regulatory landscape and how it has quickly evolved in the past 2 years
- Why has there been a significant shift from firefighting towards prioritising growth?
- A closer look at the priorities of compliance and how they deliver on key business strategy

Andrew Neeson, Managing Editor and Research Director, **VIXIO Regulatory Intelligence**

### **NEW REGULATIONS – PANEL & Q&A**

12.00 – 12.35 (GMT)

#### **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?

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**

#### **DECISION TIME CASE STUDY**

12.35 – 12.50

#### **Choosing The Right Tools To Embed Better Risk Management**

Embedded risk management is critical to an organisation achieving its objectives and meeting the growing demands of regulators and stakeholders. The key to effective risk management is to have a flexible framework, the right tools in place, and expert support on hand to react and respond quickly.

- Why do Risk Management Professionals need better tools to succeed?
- What key principles of Risk Management must you consider when choosing the right tool?
- How can your organisation transition from basic tools such as Excel to a modern cloud-based system?

Geoff Higgins, Managing Director, **Decision Time**

#### **LUNCH & INFORMAL NETWORKING FOR SPEAKERS, DELEGATES & PARTNERS**

12.50 – 13.50 (GMT)

#### **INFORMAL BREAKOUT DISCUSSIONS**

13.20 – 13.50 (GMT)

#### **A) Reporting**

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

#### **B) Covid Impact**

#### **C) Post-Brexit**

#### **AFTERNOON CHAIR'S OPENING REMARKS**

13.50 – 14.00 (GMT)

Tom Hammond, Operational Resilience Director & 1st Line Risk and Control Director, **Monzo Bank**

#### **EXCLUSIVE INSIGHTS FROM MITRATECH**

14.00 – 14.15 (GMT)

## **Navigating in the dynamic landscape of third-party risk management in the light PRA and DORA regulations**

Working with third-party vendors is a necessity in today's digital-first and interconnected world. Whilst they are both necessary and critical, to enable businesses to provide their services, these relationships also expose organizations to a variety of operational, security, and financial risks. In our session, we will look into the ever-changing vendor risk management environment, in the light of the context of hitting the start date for PRA and preparing for DORA (Digital Operational Resilience Act) regulations.

### Key learning points:

- Overview of the implications of working with third-parties in the context of regulatory pressures from DORA & PRA.
- Provide actionable guidance on next steps and best practices organizations can implement in order to keep up with the pressurized and rapidly evolving vendor risk landscape.
- Long-term strategies for building a future-proof and agile vendor risk management program that you can put your name behind.

Henry Umney, Managing Director | GRC Strategy, **Mitrtech**

## **NEW RISK FRAMEWORKS**

14.15 – 14.35 (GMT)

### **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

Cian Reynolds, Head of Risk Modelling, **Zurich Insurance plc**

## **EXCLUSIVE INSIGHTS FROM NICE**

14.35 – 14.50 (GMT)

### **Building a Next-Gen Compliance Program: A Customer Example**

Chad Billing, Solutions Engineer, **NICE**

## **RISK CULTURE, CONDUCT & GOVERNANCE**

14.50 – 15.10 (GMT)

**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, **Legal & General Insurance**

**AFTERNOON REFRESHMENT BREAK WITH INFORMAL NETWORKING**

15.10 – 15.40 (GMT)

**EXCLUSIVE INSIGHTS FROM CLAUSEMATCH**

15.40 – 15.55 (GMT)

**Learn how a bank and a FinTech have invested in policy management technology to develop their compliance programmes**

- The 5 maturity stages and how to assess your current status
- Why achieving policy management maturity is important to your compliance programme
- 2 real life examples on how to set up a policy management model and build maturity
- Benefits realised for the compliance programmes

Freddie Frith, Head of Financial Services, **Clausematch**

**RISK CULTURE, CONDUCT & GOVERNANCE**

15.55 – 16.15 (GMT)

**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
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- Understand the interplay between culture and governance and why it is important for improving risk-related decision making

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

## THE FUTURE OF RISK & COMPLIANCE – PANEL & Q&A

16.15 – 16.50 (GMT)

### 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?

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

Leanne Bridges, CCO Risk Lead: Specialist Risk Functions, **Nationwide Building Society**

Elizabeth Martine, Head of Risk, **Close Brothers Asset Management**

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

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

Francesco De Matteis, Head of Enterprise Risk Management, **Generali**

Michael Sokolow, EMEA Sales Director, **Behavox**

Haney Saadah, EMEA Head of Risk Consulting, **Norton Rose Fulbright**

## AFTERNOON CHAIR'S CLOSING REMARKS & OFFICIAL CLOSE OF CONFERENCE

16.50 – 17.00 (GMT)