

The Financial Services Risk & Compliance Conference
28th November 2023
1 America Square, London, EC3N 2LS



Welcome to The Financial
Services Risk & Compliance
Conference!

Official Programme

Please note that these timings are flexible. Due to the nature of a live event, the conference chairs and organisers will be updating the timings throughout the day to adapt to speakers running over time, late arrivals, last minute changes and extending popular sessions. Please rest assured we will do our utmost to adapt and to accommodate all live changes.

Registration, Informal Networking & GIC Opening Remarks

08.30

Morning Chair's Opening Remarks

09.00

Matthew Kay
Data Protection Officer
Metro Bank (UK)

Harness RegTech & Tools

09.10

Harness The Power Of Big Data, Tech, Artificial Intelligence & Blockchain To Reduce Financial Risk, Increase Regulatory Compliance & Stamp Out Laundering & Fraud

- Create intelligent risk portfolios supported by the right tech to provide critical data insights and predictive analytics which mitigate the impact of future attack
- Competitively assess security risk and leverage AI to automate data compliance and effectively flag suspicious activity and ransomware
- Uncover lucrative regtech surveillance strategies which support risk and compliance teams to build AI crime fighters that can combat and react quickly and efficiently to breaches

Bonus Session; Reserved For Exclusive Conference Partner – Cube

09.30

AI, Automation & New Tech – New Opportunities – Panel Discussion & Q&A

09.45

Leverage Brand New Opportunities In AI, Automation & Cloud To Transform Risk & Compliance Frameworks, Improve Decision Making, Advance Business Services & Strengthen Risk Management

- Establish a secure cloud and tech ecosystem and enhance model risk management through AI and automation to improve policy decisions, reduce bias and determine which risk appetites need to be prioritised
- Optimise new tech to improve data accuracy and minimise financial loss through an impactful cloud security assessment framework best suited for your organisation
- Successfully integrate AI, machine learning and new tech solutions into your risk management framework and digital transformation

Adela Szakola
Director, Treasury Services
BNY Mellon

Operational Resilience – From Theory To Practice

10.15

Uncover the transformative power of PS21/3 through a practical case study, showcasing its proactive shift from traditional Governance, Risk, and Compliance (GRC) to a dynamic fusion of governance, resilience, and compliance. Dive into step-by-step resilience foundations, including setting impact tolerances and proactive scenario testing. Discover how operational resilience becomes your strategic advantage, challenging board norms to shift from tick-box GRC to active governance for continuous assurance. Explore resilience as a catalyst for forward-thinking business continuity. This dynamic session doesn't just discuss theory; it delivers actionable strategies for building a resilient organisational framework.

Rachel Riley
Co-Founder & Head of GRC/ESG
Ansarada

Morning Refreshment Break With Informal Networking

10.30

Robust Operational Resilience

11.00

Strengthen Operational Resilience & Power Business Continuity With Robust Risk Strategies That Can Absorb & Adapt To Financial Shock & Disruption

- Which robust operational plans enable risk and compliance teams to deliver essential services that strengthen disaster recovery and mitigate impact?
- Power risk leaders to collaboratively monitor and manage emerging risks to strengthen operational continuity and deliver collaborative action across all three lines of defence
- Review impact tolerances and which operational vulnerabilities need attention to secure resilience investment for efficient operational risk strategies

Suzanne Allen
Senior Operational Risk Manager
Deutsche Numis

The Double-Edged Sword Of AI: 365 Days Of Revolution, & The Future In Compliance & Risk

11.20

Dive Into The Transformative Power Of AI Since The Release Of Chatgpt. This Talk Explores How Generative AI Tools Are Reshaping Our Personal & Corporate Worlds, For Better And Worse. We'll Conclude With A Glimpse Into The Future Of AI, Discussing What The Next Year May Hold

- **AI's Rise to Prominence:** Tracing the evolution of AI tools since ChatGPT's launch and their impact on productivity and daily life
- **The Good, The Bad, The Ugly:** Discussing the positive impacts of AI, such as automation and data analysis, as well as the downsides, like job loss and AI bias
- **Data Privacy and Regulations:** Exploring the challenges AI poses in adhering to data privacy laws and regulations
- **AI Explainability and Hallucinations:** Delving into the complexities of understanding AI decisions and potential misinformation
- **AI Tomorrow:** Offering predictions on upcoming trends and developments in the AI landscape for the next year

Shaun Hurst
Principal Regulatory Advisor
Smarsh

Cybersecurity Safeguarding

11.40

Safeguard Your Organisation & Customers From Cyber & Ransomware Attacks & Develop Efficient Risk & Compliance Models To Strengthen Security Controls While Delivering Streamlined Customer Services

- Explore best-in-class practices to prevent malicious software gaining entry into your network and customer data for a competitive advantage in BFSI
- Combat phishing, protect vulnerable customers and launch an effective counter-defence to cyberattacks for long-term protection against future cyber and market abuse
- Upskill cyber teams to manage and monitor systems and understand the components well enough to identify, alert and react to malicious activities

Digital Onboarding & pKYC For Complex Client Relationships

12.00

- The common challenges
 - Lack of visibility
 - Enhanced due diligence
 - Risk ratings
 - Email tennis
 - Technology adoption
 - Audit trail
- People aspect – cultural alignment and mindset
- Impact on revenue
- Finding the right solution

Jeremy Wright
Business Development Manager
RiskScreen

Peer Experience Sharing & Intimate Networking – ESG & Sustainable Finance, Third-Party Risk, Market & Liquidity Risk & The Future Of Risk & Compliance

12.15

Join your fellow Risk & Compliance leaders in a new, intimate opportunity to get peer-supported advice and introspectively review your risk-related challenges. Come armed with your risk and compliance challenges, the shared concerns amongst your teams, and the burning questions you might have for other like-minded professionals, and we'll give you a private space in the main networking room with our designated speakers to share unmissable experiences, advice and insights.

- **Third-Party Risk:** *Reduce impact and mitigate risk across your supply chain and third-party network to protect long-term third-party relationships*
- **Market & Liquidity Risk:** *Translate market and interest rate risk into meaningful signals that boost liquidity*
- **Future Risks & Compliance:** *Anticipate what risks might come next and what impact that will have on compliance in the financial landscape?*

Suman Datta
Head, Portfolio Quantitative Research
Lloyds Banking Group

David Bonavia
Lead Operational Risk Framework Manager
Metro Bank (UK)

Barley Corr
CDD Design & Implementation Lead
HSBC

Manuel Vicente
Managing Director, Sustainability & Risk Solutions
Former HSBC CRO

Topic Forms Feedback

12.40

Morning Chair's Closing Remarks & Lunch For Delegates, Speakers & Partners

12.45

Afternoon Chair's Opening Remarks

13.45

Alwyn Li
Audit Director, IA Enterprise Risk Management
Credit Suisse

Bonus Session; Reserved For Exclusive Conference Partner – RWS

13.55

Risk Culture, Conduct & SMCR – Raising Standards – Panel Discussion & Q&A

14.05

Raise Standards Of Governance, Embed Duty Within Conduct & Culture & Ensure Proficient Risk & Compliant Practice Across Financial Leaders & Managers To Improve Customer Outcomes & Build Resilience & Operational Performance

- Deliver interactive training and internal awareness-raising communications to engage staff with tailored approaches to raise governance structures, culture and conduct
- Recognise the importance of a risk culture focused on delivering good customer outcomes while mitigating risk for organisational success
- Power SMCR to ensure a clear breakdown of deliverables and target completion dates are set with a framework for tracking individual and collective progress
- Build resilient and confident risk and compliance teams which clearly outline their roles and responsibilities in risk management for long-term business success
- Design diverse and flexible initiatives for a stronger risk culture and conduct around compliance reporting and governance for successful business growth

Ben Lynn
Head of Conduct Management, Compliance
AXA Health

Keith Davies
Group Chief Risk & Compliance Officer
Admiral Group Plc

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Shona Sandhu
Deputy Chief Compliance Officer
Citadel Securities

Susan Wright
Director of Training & Policy, Safeguarding Assets
Citi

Jean Panagamuwa
Head of UK Compliance & AML
Capital One

Ramita Dhillon
Head of Compliance
BACB

Approaches To Modelling Customer Vulnerability

14.35

- Context: Consumer outlook and the Consumer Duty
- Pros and cons of existing approaches to modelling vulnerability
- Looking ahead: novel approaches

Sho Sugihara
CEO & Co-Founder
Fuse

Peer Experience Sharing & Intimate Networking – Risk Model Management, Enterprise Risk & Internal Audit

14.50

Join your fellow Risk & Compliance leaders in a new, intimate opportunity to get peer-supported advice and introspectively review your risk-related challenges. Come armed with your risk and compliance challenges, the shared concerns amongst your teams, and the burning questions you might have for other like-minded professionals, and we'll give you a private space in the main networking room with our designated speakers to share unmissable experiences, advice and insights.

- **Risk Model Management:** *Deliver and achieve risk management goals to maintain a competitive advantage and preserve access to financial capital and investment*
- **Enterprise Risk:** *Which 2023 trends are reshaping the risk management landscape and what critical ERM programs are required to remain competitive in this next quarter?*
- **Internal Audit:** *Which emerging and established risks should Internal Audit consider when preparing its agile annual Internal Audit plan?*

Armel Massimina
Operational Risk Lead
National Bank of Kuwait

Alwyn Li
Audit Director, IA Enterprise Risk Management
Credit Suisse

Adela Szakola
Director, Treasury Services
BNY Mellon

Nadia Bouzebra
Head of Model Risk Management
Close Brothers

Suman Datta
Head, Portfolio Quantitative Research
Lloyds Banking Group

Celia Shek
Head of Audit - Distribution & Servicing, Consumer Relationships
Lloyds Banking Group

Evaluation Forms Feedback

15.15

Afternoon Refreshment Break With Informal Networking

15.20

The Unknown Risks Of Remediation

15.50

- We will be sharing important insight of the risks that exist within Remediation Projects that are not communicated to senior Risk and Compliance leaders
- You will walk away wanting to ask your business key questions to establish the level of risk for you

Martin Canwell
Senior Account Executive
Aptean

Consumer Duty – Fireside Chat

16.05

Examine The Implementation & Future Of The FCA's New Consumer Duty & Promote Long-Term Compliance

- Reflect and review on your firm's steps to embed consumer duty in every operational and risk management strategy
- Outline which customer focused strategies need to be prioritised next to meet the requirements of the consumer duty update
- Identify the barriers and pain points in addressing your consumer duty needs and leverage the capabilities of your R&C teams to accelerate your journey into consumer duty

Steve Allibone
Group Compliance Director
Vitality Group Inc.

Climate Risk – Panel Discussion & Q&A

16.35

Fully Assess The Impact of Climate & Environmental Risk In Risk Frameworks For Renewed Governance, Strategy & Risk Management Plans

- What are the financial risks of delayed action on climate change and how can R&C teams price and manage climate risk to secure board and third-party investment?
- Measure and translate high-level climate-related content into micro-level insights that deliver change and contribute to climate missions and commitments
- Tackle climate risk stress testing and modelling to demonstrate a risk-based commitment to achieving net-zero targets

Wendy Walford
Head Of Climate & Nature Risk
Legal & General

Sebastian Werner
Head of Climate Risk Scenario Design
Citi

Manuel Vicente
Managing Director, Sustainability & Risk Solutions
Former HSBC CRO

Julius Herfel
Head of Audit for Global Asset Safety, International Compliance & ESG & EMEA Prudential Risk
BNY Mellon

Afternoon Chair's Closing Remarks & Official Close Of Conference

17.05