

The Financial Services Risk & Compliance Conference, 18th April 2024
The Law Society, 113 Chancery Lane, London, WC2A 1P

FINANCIAL SERVICES RISK & COMPLIANCE

18.04.2024

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Welcome To The Financial Services Risk & Compliance Conference, London

Official Event Programme

Please note that the following 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.

Organised By:



08.30 Registration & Informal Networking

09.00 GIC Welcome

09.10 Morning Co-Chairs' Opening Remarks

Sarah Garrington,
Head of Resilience,
Royal London



Lucyann Chawla,
EMEA Head of Compliance Testing &
Quality Assurance,
MUFG



Model Risk

09.20 Advance Your Model Risk Management Practices To Understand Complexities & Navigate The Impact Of Ever-Evolving Macro Economic Trends Whilst Ensuring To Stay Compliant With The Implementation Of Upcoming PRA CP6/22

- With the implementation of the policy laid out in the PRA Consultation Paper CP6/22 coming into effect in May 2024, how can firms best prepare and equip teams to adapt to the proposed regulations whilst continuing to work within compliance parameters?
- How can we effectively identify and manage the risks associated with the use of AI in modelling techniques such as machine learning?
- Survey the latest advancements in model governance while ensuring all models are reliant and compliant with regulatory requirements

Merlin Kamga,
Director Model Risk,
Fidelity International





The Process Intelligence Platform



Uncover & Mitigate Risk

Analyze processes and monitor KPIs to find and fix bottlenecks and inefficiencies before they impact your business.

Conformance Checking

Quickly compare discovered processes with predefined reference models or business rules to identify deviations, non-compliance, and potential risks.



Ensure Control & Compliance

Monitor compliance with industry regulations or internal policies in real-time and take corrective action to prevent non-compliance.



Feeling comfortable with BOE, PRA FCA PS21/3 Resiliency regulations?

Get ready to challenge your understanding as we delve deeper into the requirements and implications.

Join iGrafX & IGX Solutions at 15:40pm for our session 'Operational Resilience: Countdown to Important Business Services Compliance - What They Haven't Told You'



AI, Regulatory Tech & Cloud – Panel Discussion

09.40 Maximise AI, Automation, New Tech & Cloud Adoption Within Risk & Compliance Models To Empower Decision Making, Mitigate Disruption & Strengthen Risk Management To Deliver Bottom-Line Results

- As new regulations such as the AI Act are implemented, what new risks can we expect, and what transformative changes lie ahead in the pipeline?
- Critical questions, answered! AI: a help or a hinderance? What do we really mean by AI in FS, and how much should we trust it?
- In light of generative AI advancements today, how can firms strike the critical balance between automation and human oversight to ensure robust compliance practices? How can we really get comfortable with AI and harness the new opportunities in compliance infrastructure?

Chris Beevor,
Group Compliance COO,
GAM Investments



Shaun Hurst,
EMEA Principal Regulatory Advisor,
Smarsh



Operational Resilience

10.10 Operational Resilience: Countdown To Important Business Services Compliance – What They Haven't Told You

- Companies are facing challenges in achieving compliance and demonstrating operational resilience amidst evolving regulations, necessitating a fundamental shift in their GRC strategy
- We guide you through the challenges and intricacies of operational resilience compliance, including the feedback to Important Business Services (IBS) outlined in BOE, PRA FCA PS21/3 Resiliency
- Discover why a traditional GRC approach may fall short and how leveraging Digital Twin of an Organization (DTO) technology can be a game-changer, providing an holistic view of your organization, empowering proactive risk management, and streamlining compliance

Jerome Caillot,
Head of Business Development,
iGrafx



Trevor Moore,
Managing Director,
IGX Solutions



Data Management & Transformation – Delegate Discussion

10.25 Harness The Power Of Big Data By Providing Critical Data Insights & Predictive Analytics Which Mitigate The Impact Of Future Risk

We would encourage you all to enter into the spirit of the day and to share ideas with fellow delegates. We understand there might be commercial sensitivities behind discussing strategies, however, there is a lot to be gained from sharing theories, mindsets and abstract situations – the person sat next to you might just have that fresh outlook which unlocks new potential!

10.45 Video Presentation by Smart Communications

Scott Draeger, SVP Product Marketing &
Industry Solutions,
Smart Communications



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As the only end-to-end communication and trade compliance platform available today, Compliantcentral can help your firm reduce the risk of fines and reputational damage. By shining the spotlight on misconduct, Compliantcentral helps you **know more so you can risk less.**

Ready to gain complete trade and communication compliance?

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11.00 Morning Refreshment Break With Informal Networking
New Regulations: Regulatory Horizon Scanning – Panel Discussion

11.30 Successfully Upgrade & Implement An Aligned, Robust & Resilient Operating Model Which Quickly Interprets Rapidly-Changing Risk & Compliance Regulations & Responds Effectively

- 2024 is a critical year for regulations, with DORA, the AI Act and PRA CP6/22 in the pipeline, unearth new strategies to best-prepare for impact and ensure minimal threats and disruption
- Gain a competitive advantage by exploring the role of reg tech solutions in simplifying compliance processes with the introduction of AI tools across FS
- In January 2024, the Financial Reporting Council (FRC) finalised revisions to the UK Corporate Governance Code following a consultation process in 2023. A very significant revision (amongst others) will become effective on or after 1 January 2026 and requires directors to include a description of how the Board have monitored and reviewed the effectiveness of the internal control framework in the annual report. How are we preparing for this substantial change?
- With 2025 being the deadline for the Digital Operational Resilience Act, how are FS firms preparing for the implementation and how can they align with one another to explore new opportunities?

Shona Sandhu,
Deputy Chief Compliance Officer,
Citadel Securities



 CITADEL | Securities

Holly Crawford,
Consumer Duty Regulatory Lead,
Aviva Life Holdings




AVIVA

Lucy Spencer,
CRO Private Banking and Wealth,
HSBC



 HSBC

David Bonavia,
Lead Operational Risk Oversight Manager,
Metro Bank (UK)



 METRO
BANK

Maurizio Garro, Senior Risk Model Manager
(Director),
Lloyd's Banking Group



 LLOYDS
BANKING GROUP 

12.00 Meeting Changing Regulatory Requirements With Adaptive Compliance

Today, it is clear that most businesses in the financial services sector are taking time to rethink their technology strategies. The goal is to enable compliant adoption of new communications channels, whilst unlocking the agility, collaboration, efficiency, and speed that these tools promise.

Join Chad Billings (NICE Senior Solutions Consultant) as he unveils the key areas that businesses should focus upon as they navigate through ever-evolving regulatory requirements.

Chad Billing,
Senior Solution Consultant,
NICE



Manage Risk Consolidate Data Generate Value

Address record keeping challenges and maximise the value of your interaction data

Seamlessly ingest, access and manage both legacy and live interaction records from any platform, through a single pane of glass.



Decommission
Legacy Platforms



Reduce
Management Costs



Streamline
Architecture



Manage
Retention



Simplify Compliance
Workflows



Bulk Migration of
Records at Speed



Chain of Custody



Native Media Support

Emerging Risk Frameworks

12.15 Prepare For The Unexpected By Exploring Resilient Approaches To Combat Turbulent Financial Landscapes Amidst Climate Risks, AI Threats & More

- How can risk and compliance teams evolve on a strategic and tactical level to ensure they consistently keep up with emerging regulatory changes and risk frameworks?
- With the AI Act incoming, gain valuable insights into the risks associated with generative AI and how to effectively manage the challenges that may arise in its implementation
- Stay ahead in a competitive and complex risk landscape with an uncertain future by unlocking the tools and frameworks necessary to keep up with critical trends such as geopolitical risks to ensure business continuity in 2024 and beyond
- Examine how to harness innovation safely whilst maintaining compliance at every level by deciphering the emerging risks in a turbulent, global environment

12.15 Perspective 1

Emma Hagan,
Chief Risk & Compliance Officer,
ClearBank



Clear.Bank

12.35 Perspective 2

Prab Bajwa,
Senior Digital Asset Risk Officer,
State Street



**STATE
STREET**



Read our Benchmark Report for Financial Services to learn about the current state of customer communications in the financial services industry.

Scan to Learn More



12.55 Topic Generation Form

We'd love to hear your thoughts on potential topics or ideas of one-day branded conferences – please do submit any ideas via the QR code. Many thanks!

13.00 Lunch & Informal Networking For Speakers, Delegates & Partners

14.00 Afternoon Chair's Opening Remarks

Raluca Ruscanu,
Director, Regulatory Affairs & Testing,
American Express

The American Express logo, consisting of the words "AMERICAN" and "EXPRESS" in white, stacked vertically, on a blue rectangular background.

Risk Culture & Governance – Panel Discussion

14.10 Foster A Competent Risk Culture That Cultivates Trust & Equips Financial Leaders With The Confidence To Improve Outcomes & Reinforce Resilience

- As regulatory pressure skyrockets, what steps are required to ensure robust risk frameworks which seamlessly tie together enterprise risk management (ERM) and risk governance?
- When evaluating the strength of governance and risk management, culture is integral! Which factors can help to translate a financial organisation's culture into tangible risk management and governance decisions?
- How are financial services companies approaching measuring and evidencing progress around their conduct and culture efforts?
- Ensure teams aren't making decisions in silo and work to define exactly what information should be shared between functions to align with wider organisational structures and avoid firm liability

Susan Wright,
Director – Safeguarding Assets &
Reporting Governance, Citi



Frama Aboh,
Senior Vice President,
Legal Entity Risk & Controls,
The Bank of New York Mellon



Cyber Crime, Security & Resilience – Delegate Discussion

14.40 Uncover Proactive Strategies Which Safeguard Your Customers & Organisation With Strengthened Security Controls Which Shield Against Increasingly Sophisticated Cyber Threats, Ransomware Attacks & Security Breaches

We would encourage you all to enter into the spirit of the day and to share ideas with fellow delegates. We understand there might be commercial sensitivities behind discussing strategies, however, there is a lot to be gained from sharing theories, mindsets and abstract situations – the person sat next to you might just have that fresh outlook which unlocks new potential!

Customer Outcomes & Vulnerable Customers

15.00 Unearth Proven & Proactive Strategies Which Align With Your Risk & Compliance Processes, Elevate Customer Outcomes & Fortify Protections For Vulnerable Customers Across All Aspects Of The Journey

- Understand the nuanced aspects of vulnerability within your customer base and explore new methods to support those in need whilst minimising exposure to risk
- How can R&C teams measure and report customer outcomes at every crucial stage of the customer journey including outsourcing in order to identify risks in a timely manner?
- Identify and clarify the key steps needed to deliver your outcomes by defining a tangible measure of what needs to be accomplished in each stage of the customer journey

Morgan Vessier,
Chief Risk Officer,
BNP Paribas Leasing Solutions



15.20 Evaluation Form & Feedback

We would love to hear your thoughts from the conference today, please do submit your feedback via the QR code on the screen. Many thanks in advance!

15.25 Afternoon Refreshment Break & Informal Networking

15.55 Innovation and Resilience in Action: How to successfully navigate the complexity of multiple events

- Companies are complex and face multiple threats simultaneously
- The cross functional, anti-siloed response required to address these threats
- How a single page of glass; "360 view" can facilitate response
- The co-ordination and collaboration required to deliver resilience

Owen Miles,
Field CTO, CEM Business Solutions,
Everbridge





Path to Operational Resilience

Operational Resilience and DORA are crucial topics for financial services organisations.

Everbridge can help you operationalise, coordinate and collaborate on your response plans to ensure your important business services to your customers.

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Financial Crime & AML

16.10 Mitigate Adverse Effects Of Criminal Activity & Protect Customers With Practical, Proactive & Robust AML Frameworks & Financial Crime Strategies

- Uncover brand new, business-critical insights to refresh your existing risk and compliance strategies to combat new and increasingly sophisticated types of financial crime risk
- Which strategies should be the key focus of financial services R&C teams to ensure existing frameworks provide secure outlets to protect consumers and the company from potential crime threats?
- Examine how to best identify unusual customer behaviour and file SARs more effectively while remaining compliant with critical global AML reporting regulations
- Maximise end-to-end fraud solutions by uncovering the key AML- driven strategies to mitigate threats and ensure smooth business processes

Mary Yetunde Reuben,
Head of Internal Audit,
Controls and Governance Assurance,
United Bank for Africa (UK) Ltd



ESG & Climate Risk

16.30 Establish ESG & Climate Risk Models Across FS Which Remain Compliant, Renew Governance & Maintain Sustainability In Response To The Expanding Requirements Of Regulators & Stakeholders

- With greenwashing concerns ever-increasing, how can R&C teams accurately meet anti-green-washing rules to prioritise business compliance and mitigate reputational risk?
- How can the prevailing geopolitical environment impact the formulation of ESG priorities and processes within organisational frameworks in FS?
- How can digitalisation and sustainability go hand in hand, and how can Financial Services leverage data efficiently across ESG reporting strategies to align with evolving regulatory demands?

Armel Massimina,
Operational Risk Lead,
National Bank of Kuwait (International) PLC



16.50 Afternoon Chair's Closing Remarks & Close Of Conference

Raluca Ruscanu,
Director, Regulatory Affairs & Testing,
American Express

