

Risk And Compliance Leaders Summit Day One Wednesday 6th November

07:45	Networking Breakfast
08:30	Conference Director, Opening Remarks:
08:35	Chairperson's Opening Remarks: Erik Vynckier, Board Member, Foresters Friendly Society

Building A Best-In-Class R&C Division

08:45	<p>BUY SIDE KEYNOTE</p> <p>What three steps should you take to ensure your firm is ready to execute a regulatory and technology oversight strategy that reduces operational risk and sets you up for success?</p>
09:15	<p>ALL STAR PANEL. Live polling and interactive audience Q&A during this session</p> <p>Building a best-in-class risk and compliance division: How to ensure timely reviews risk and compliance business models to efficiently respond to speed of change, increasing cost pressures and lower returns</p> <p>Maurizio Basso, Group Chief Compliance Officer, Generali Investments Europe Patrick Trew, Chief Risk Officer, Partner, CQS William Coatesworth, Head of Enterprise Risk Management, Pension Insurance Corporation</p>
09:55	<p>OXFORD STYLE DEBATE</p> <p>TRUE OR FALSE: Breaking silos- Risk and compliance managers should work within the investment teams and report to the CIO</p> <p>Secure your front row seat as the conference room becomes a battlefield. Witness industry experts fight their corner over the most controversial topics in your industry. Who will deliver the knockout argument to claim victory? Take your place and vote.</p> <p>FALSE: Margaret Ammon, Chief Risk Officer, M&G Investments</p>
10:35	Morning Networking Break

Digitizing R&C For A Competitive Edge

11:15	<p>KEYNOTE INTERVIEW</p> <p>Operating in a digital world: 5 steps to overcome barriers and enable your risk and compliance functions to reap the operational benefits of digitization</p>
11:35	<p>ALL STAR PANEL. Live polling and interactive audience Q&A during this session</p> <p>Putting advanced automation across R&C to use: What manual processes do you need to automate now to allow your employees to focus on value add tasks and how can risk and compliance ensure effective technology risk oversight?</p> <p>Guy Coughlan, Chief Risk Officer, Universities Superannuation Scheme Andreas Uremovic, Investment Compliance Director, Allianz Global Investors</p>
12:15	<p>CASE STUDY INTERACTIVE</p> <p>Setting up for a future of AI and ML: How can you create an effective data management strategy to fuel accurate conclusions, achieve consistency and provide clean and accurate results?</p>
12:55	Networking Lunch

<p>TRACK A- RISK</p> <p>Mastering Liquidity Risk</p>	<p>TRACK B- COMPLIANCE</p> <p>Building A World Class Operating Model</p>	<p>TRACK C WORKSHOPS</p>	<p>TRACK D BOARDROOMS</p>
---	---	---------------------------------	----------------------------------

<p>14:00 360 PERSPECTIVE. Live polling and interactive audience Q&A during this session</p> <p>How to improve liquidity modelling to comply with ESMA guidelines for buy side</p> <p>Stefan Spreiter, Head of Risk Management, Swiss Life Asset Managers</p> <p>Andreas Rossi, Head of Investment Risk Control, UBS Fund Management</p>	<p>14:00 360 PERSPECTIVE. Live polling and interactive audience Q&A during this session</p> <p>Reinventing a best-practice compliance model: What makes an efficient and flexible operating model that can keep up with regulatory change while meeting business needs?</p> <p>Eleanor Gribben, Compliance Officer, Taconic Capital Advisors</p> <p>Paul Martin, Head of Legal Compliance and Risk, LGT Vestra</p>	<p>14:00 – 15:00 SYNERGY WORKSHOP</p> <p>The evolution of IDD and PRIIPS regulation: How has this been implemented and is it achieving the goal of enhanced information and conduct of business?</p> <p>Henk Becquaert, Member of Management Committee, FASM</p>	<p>14:00 – 15:00 CREATIVE BOARDROOM</p> <p>Redefining and strengthening the three lines of defence: How can both the risk and compliance functions act as a business enabler</p> <p>Soren Agergaard Andersen, Chief Risk Officer, Nordea Asset Management</p>
<p>14:40 CASE STUDY</p> <p>How to prepare your internal processes to perform stress testing on liquidity in compliance to ESMA guidelines</p>	<p>14:40 OXFORD STYLE DEBATE</p> <p>TRUE OR FALSE: Buy side compliance departments should sit within legal</p> <p><i>Secure your front row seat as the conference room becomes a battlefield. Witness industry experts fight their corner over the most controversial topics in your industry. Who will deliver the knockout argument to claim victory? Take your place and vote.</i></p>	<p>15:00 – 16:00 SYNERGY WORKSHOP</p> <p>Addressing biases in the digital age: How to manage errors in risk decisions and risks from errors in decisions</p> <p>Jan Heemskerk, Head of Operational Risk Management, NN Investment Partners</p>	
<p>15:00 360 Perspective:</p> <p>Preparing for benchmark reform: Assessing the challenges and opportunities of the transition to LIBOR, exchange rates and compliant benchmarking in 2020 and beyond</p>			
<p>15:20 360 PERSPECTIVE. Live polling and interactive audience Q&A during this session</p> <p>How to assess liquidity and structure your risk for different type of funds: Private versus Public</p>	<p>15:20 360 PERSPECTIVE. Live polling and interactive audience Q&A during this session</p> <p>Embarking on your digitalization journey: How to overcome legacy technology to bridge the gap between your current digital maturity and company's goals</p> <p>Laure Mazzoleni-Robin, Head of Legal and Compliance, Groupama AM</p>		
<p>16:00</p>	<p>Afternoon Networking Break</p>		

TRACK A- RISK Implementing Next Generation Risk Tech		TRACK B- COMPLIANCE Implementing Next Generation Compliance Tech	TRACK C- WORKSHOPS	TRACK D- BOARDROOMS
16:30 CASE STUDY Employing a risk data management strategy: How can you develop and execute a cutting edge strategy to give you a competitive edge?		16:30 CASE STUDY Simplifying reporting through big data- How can you implement next generation big data analytics to deliver faster, reliable and more accurate reporting?	16:30 – 17:30 SYNERGY WORKSHOP What are the main transaction reporting challenges and how can you ensure consistency within the process on consistent basis?	16:30 – 17:30 CREATIVE BOARDROOM: Setting your Senior Managers: Regime roadmap: What are the key milestones you should factor in ahead of the December 9 th deadline?
16:50 360 PERSPECTIVE. Live polling and interactive audience Q&A during this session AI, ML and risk management: How are the buy side implementing this now to drive operating and cost efficiencies?		16:50 360 PERSPECTIVE. Live polling and interactive audience Q&A during this session Complementing trade surveillance with AI and ML: How can you implement this to achieve 360 degree holistic market surveillance?		
17:30	Chairperson's Closing Remarks			
17:35	Drinks Reception			

Risk And Compliance Leaders Summit Day Two

Thursday 7th November

08:00	Networking Breakfast	8:00 – 8:40 Exclusive Women In Risk & Compliance Breakfast: How can buy side industry better attract, develop and retain top female risk and compliance talent? Esperanza Cerdan, Chief Risk Officer UK & Head of Enterprise Risk Management, DWS (TBC)
08:50	Conference Director, Opening Remarks:	
08:55	Chairperson's Opening Remarks:	

Meeting Your Fiduciary Duties

09:00	BUY SIDE KEYNOTE: How to best prepare your operating model to the forthcoming regulatory challenges on international, European and national levels Stephane Janin, Head of Global Regulatory Development, AXA Investment Managers
09:20	REGULAORY KEYNOTE Live Q&A with ESMA: Getting clarity on liquidity risk monitoring and stress testing for investment firms - What are the best practice principles the buy side need to adhere to?
09:50	ALL STAR PANEL. Live polling and interactive audience Q&A during this session Creating an effective ESG monitoring strategy: How to integrate sustainable risk factors into your investment processes to set a course for a sustainable future in ESG investing Sabine Dittrich, Head of Regulatory Intelligence, UBS Asset Management Alain Robert-Dautan, Head of Risk Management, Sycomore Asset Management Andrew Soper, Chief Risk Officer, State Street Global Advisors SPDR
10:30	BREXIT KEYNOTE DISCUSSION: Evaluating the consequences of Brexit on a national and European level: How can you prepare for an era of political instability, currency volatility and regulatory uncertainty to ensure you thrive? Jean-Charles Delcroix, Chief Compliance Officer, Amundi Asset Management
10:50	Morning Networking Break

Safe-guarding Your Enterprise

11:30	ALL STAR PANEL. Live polling and interactive audience Q&A during this session Building business resilience across the buy side: What people, processes and technology do risk and compliance officers need to put in place to minimize cyber threats? Laure Mazzoleni-Robin, Head of Legal and Compliance, Groupama Asset Management Esperanza Cerdan, Chief Risk Officer UK & Head of Enterprise Risk Management, DWS (TBC) Marie-Anne Haegeman, Chief Risk Officer, Euroclear
12:10	CASE STUDY Building an effective information security management process: How to increase your information security and data protection to keep up with the pace of technology, cloud solutions and data deployment

Drill Down Roundtables

12:30	Risk	<p>Roundtable 1. How risk teams can prepare to support investment portfolios towards ESG mandates</p> <p>Roundtable 2. Business resilience: What actions and procedures should you have in place in the case of a cyber attack?</p> <p>Roundtable 3. What quantitative and qualitative factors do you need to include in your model to create accurate model for measuring and monitoring conduct risk? Margaret Ammon, Chief Risk Officer, M&G Investments</p> <p>Roundtable 4. How to develop an effective model risk for more complex strategies when working with small data samples</p> <p>Roundtable 5. Model risk: How to find the right balance between meeting the regulatory</p>
-------	------	---

		<p>requirements for bank-holding asset managers and a tailored MRM framework</p> <p>Roundtable 6. What is the best practice process to change your portfolio management teams perception of using new data visualization tools?</p> <p>Roundtable 7. What asset class segmentation should you use to monitor hit ration of each counterparty that trades</p>
	Compliance	<p>Roundtable 1. How to establish effective governance of your RPA to prevent the possibility of a system breakdown</p> <p>Andreas Uremovic, Investment Compliance Director, Allianz Global Investors</p> <p>Roundtable 2. How to ensure the IT security of your collaboration tools for compliance in order to gain maximum efficiency in your data sharing process</p> <p>Roundtable 3. What is the role of compliance officers in ensuring prevention of reputation risk and what strategy should they be choosing when reputation is compromised?</p> <p>Roundtable 4. Cultural aspect of whistleblowing: How to deal with those who report and what is the best practice to secure their rights while protecting company's interests</p> <p>Paul Martin, Head of Legal Compliance and Risk, LGT Vestra</p> <p>Roundtable 5. What are the most effective systems to use to monitor sanctions across multiple asset classes, customers and time zones in global firms?</p> <p>Jean-Charles Delcroix, Chief Compliance Officer, Amundi Asset Management</p> <p>Roundtable 6. How to evaluate the performance of fund manages form quantitative point of view for flexible product without a benchmark to compare</p> <p>Roundtable 7. What processes do you need to put in place to comply with various regulations across different European jurisdictions in different languages?</p>

Special Guest Speaker

13:00	SPECIAL GUEST SPEAKER- TBC
--------------	-----------------------------------

13:20	Networking Lunch
--------------	-------------------------

TRACK A- RISK Managing Risk For Alternative Assets	TRACK B- COMPLIANCE Mastering AML, KYC and Due Diligence	TRACK C- WOKRSHOP
<p>14:20 PANEL DISCUSSION. Live polling and interactive audience Q&A during this session</p> <p>New frontiers in risk management: How to establish a best-of-breed risk strategy that ensures high levels of liquidity and future yields</p> <p>Lars Kuehne, Head of Risk, Schroders Investment Management</p>	<p>14:20 CASE STUDY</p> <p>Strengthening AML through AI: How to reduce false positives and negatives and increase the efficiency of existing resources</p>	<p>14:20 – 15:20 SYNERGY WORKSHOP</p> <p>A year of GDPR implementation in review: How to ensure the security of your organization form information and cyber perspective</p> <p>Rory Conway, Chief Compliance Officer, MetLife Investment Management</p>
<p>15:00 CASE STUDY</p> <p>Navigating risk in leveraged loans: How can you set up an effective risk model that reaps the benefits of low volatility and attractive risk-adjusted returns?</p> <p>Remi Kamiya, Risk Director, M&G</p>	<p>14:40 PANEL DISCUSSION. Live polling and interactive audience Q&A during this session</p> <p>Everything you need to know about the 5th EU Anti-Money Laundering Directive: Defining an effective structure for ALM and KYC processes</p>	
<p>15:20 DRILL DOWN ROUNDTABLES</p> <p>Adding return and lowering risk through private assets: Building an effective risk strategy for:</p>	<p>15:20 CASE STUDY</p> <p>Learning from the sell side: How to use robotics and data driven technologies as a control function for</p>	<p>15:20 – 16:20 Exclusive Invite Only Buy Side CRO and CCO Think Tank</p> <p>How can the buy side better collaborate to drive mutually</p>

<p>Roundtable 1. Private Equity Roundtable 2. Private Debt Roundtable 3. Infrastructure Debt Roundtable 4. Green Bonds Roundtable 5. Alternative assets for retail clients Francesco De Matteis, Head of Risk Management, Azimut Group Roundtable 6. Real Estate</p>	<p>your KYC and AML processes to increase cost efficiency and the robustness of checks Ebbe Negenman, Chief Risk Officer and Board Member, Aegon</p>	<p>beneficial initiatives forward?</p>
<p>16:00 CASE STUDY Extended reverse stress testing for premia funds: How can you design a risk framework around these funds to make them more efficient and cost effective? Pascal Traccucci, Global Head of Risk, La Francais</p>	<p>15:40 PANEL DISCUSSION. Live polling and interactive audience Q&A during this session How to establish an effective controlling and monitoring process for your delegation risk management to avoid data leaks, low performance and regulatory incompliance? Tilo Reichert, Head of Risk and Compliance, Swiss Life Asset Managers</p>	
<p>16:20 Afternoon Coffee Break</p>		
<p style="text-align: center;">The Future of R&C</p>		
<p>16:50</p>	<p>OXFORD STYLE DEBATE TRUE OR FALSE: Investment firms should completely replace outsourcing with robotics and automation <i>Secure your front row seat as the conference room becomes a battlefield. Witness industry experts fight their corner over the most controversial topics in your industry. Who will deliver the knockout argument to claim victory? Take your place and vote.</i></p>	
<p>17:10</p>	<p>R&C CRYSTAL BALL The future of risk and compliance in the digital era: How is your role set to radically evolve on the back of digitalisation, AI, ML in the next decade?</p>	
<p>17:30</p>	<p>Chairpersons Closing Remarks:</p>	
<p>17:35</p>	<p>Conference Close</p>	