

SESSIONS

DAY ONE - 14/03/2023

Distribution Risk & Oversight

14 March 2023
Crowne Plaza Hotel, Kings Cross
London

Registration and networking

08:30 - 09:00

Chair's welcome

09:00 - 09:10

Participants

Peter Lindqvist - Founder, Tongbao Advisory

Fund flows: Looking ahead to expected 2023 patterns

09:10 - 09:40

- How current and expectation regulation is shaping fund flows
- Gauging expected investor appetite
- How market conditions are shaping product offerings and attractiveness
- Outlining the current impact of SFDR and reclassification of funds

Participants

Dewi John - Head of Research, UK & Ireland, Refinitiv Lipper

Data oversight in fund distribution – as important as regulatory compliance

09:40 - 10:20

- What is the information required to distribute funds and how organisations make it available to the market
- What is the oversight that firms have in place to control the information used during the distribution process
- Impacts of lack of oversight and inconsistent or wrong data
- Concepts to ensure data consistency, accuracy and completeness in fund distribution

Participants

Ulf Herbig - Head of Product, Kneip

How funds are refining their distribution oversight framework

10:20 - 11:00

- Exploring else funds are doing to ensure they're having a qualitative discussion
- Mapping the areas of assurance that DDQs aren't providing
- Demonstrating effective governance
 - Ensuring holistic oversight of delegates
 - Exceeding substance requirements

Participants

Birgit Sammer - Head of Distribution Oversight / Conducting Officer, Invesco

Antoine Sineau - Chief Compliance Officer, Nordea Asset Management

Daniel Lawlor - Managing Director, Aquest

Sophie Janssen - Senior Compliance Officer, Robecco

Morning coffee and networking

11:00 - 11:30

Enabling the Board to provide greater assurance over distribution

11:30 - 12:10

- How distribution and compliance leads are presenting flow data in a suitable manner
 - Shaping Management Information in line with current Board expectations
- Understanding how Boards are considering concentration risk with major clients
- How the Board is assessing the costs of registration against regulatory requirements and wider benefits
- Areas where Boards are currently taking greater interest to ensure regulatory compliance

Participants

John Madigan - Independent Non-Executive Director, CIFD, Independent

Simon Hynes - Director, Independent Board Director

Alex Vilchez - Director, Independent Director

David Burke - Head of Compliance and Risk, Rubrics Asset Management

Cross-border distribution: Sanctions for non-compliance

12:10 - 12:50

- What are the types of penalties/sanctions for breaching cross-border marketing/selling restrictions?
- Exploring recent enforcement actions and regulator attitudes
- What risk mitigation steps might firms take?
- Horizon scanning: increasing awareness around potential future regulation

Participants

Penny Blair - Senior Associate, Aosphere

Serena McMullen - Senior Associate, Aosphere

Lunch

12:50 - 13:50

Creating a global distribution model that meets all local requirements

13:50 - 14:30

- Meeting the requirements of US regulators and individual states
- Distributing in countries outside of the European regulatory scope
- Strategies for simplifying the jurisdictional compliance matrices
- How funds are ensuring the constant flow of information from regulatory changes
- Meeting global technical marketing and product governance requirements

Participants

Christopher Jehan - Managing Director, Midshore Consulting

Matt Jones - Head of Distribution, Eurizon SLJ

Vanessa Grueneklee - Executive Director, Conducting Officer for Distribution, Schroders

Rishabh Bhandari - EMEA Chief Securities & Regulatory Counsel, Wells Fargo

Jenny Taylor - Head of Distribution Oversight, Equity Trustees

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Delivering good client outcomes

14:30 - 15:15

- Consumer Duty: How funds are working to demonstrate good outcomes within principle based regulation
- Meeting the requirements of having oversight and awareness over fund distribution
- Strategies and tools for judging better outcomes internally
- Creating better communication between fund providers and distributors within the spirit of the regulation
- Ensuring greater accessibility for all customers
 - Demonstrating consideration at the affordability stage
 - Providing access for a wide range of disabled and disadvantaged customers
 - Ensuring clarity of messaging
- Joining up sales and marketing to ensure the capabilities of the fund strategy are well represented
 - Hiring staff and working with third parties to reduce risk with insistent communication

Participants

Steve Kenny - Chief Distribution Officer, Square Mile Research

Alan Glendon - Managing Director - Head of Distribution UK & Ireland, Principal Asset Management

Louis Wood - Head of UK Wholesale, Seilern Investment Management

Steve Bennett - Co-Founder, Distributor Due Diligence

Exploring the level of detail exchanged between funds and ManCos

15:15 - 16:00

- How ManCos are providing assurance to INEDs and the wider organisation
- Outlining the in-depth requirements currently expected with distribution partners
 - Gaining the correct level of insight from super ManCos
- How asset managers can complement their existing insights
- Establishing the requirements of funds when setting up
- Gauging the current minimum standards for speed, reliability and cost-efficiency in ManCos

Participants

Yann Ginther - Executive Director, Conducting Officer, Head of TA & Distribution Oversight, Vontobel

Klajdi Papadhimitri - Head of Oversight & Fund Distribution Services, Pictet

Andres Benito - Director, Institutional Clients - Europe, Compass Asset Management

SCHEDULE

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