

### Registration and Refreshments

08:30 - 09:00

### Chairpersons's Opening Remarks

09:00 - 09:15

### Participants

**Richard Smolicz** - Director, AML/CTF/Sanctions/ABC & MLRO, Nationwide

### Keynote Speaker

09:15 - 10:00

### Participants

**Sara Lawson** - General Counsel, Serious Fraud Office

### Nordic noir – Dirty banking in The Baltics

10:00 - 10:30

- The Swedbank Scandal investigation

### Participants

**Joachim Dyfvermark** - Reporter/Producer, SVT

### Morning Networking & Refreshment Break

10:30 - 11:00

### Creating a Culture of AML & ABC Compliance

11:00 - 11:45

- The role of training in culture
- Embedding culture in the business
- Evidencing culture

### Participants

**Moderator: Richard Smolicz** - Director, AML/CTF/Sanctions/ABC & MLRO, Nationwide

**Panellist: Peter Burrell** - Partner, Willkie Farr & Gallagher LLP

**Panellist: Dominic Fielding** - Head of Compliance & MLRO, Handelsbanken Wealth UK

**Panellist: Rod Morris** - Head of Financial Crime & MLRO, Al Rayan Bank

**Panellist: Benjamin Anwuri** - Chief Risk & Compliance Officer / MLRO, FCMB BANK (UK) LIMITED

### Aligning AML & ABC Compliance – What are the Benefits?

11:45 - 12:30

-synergies: advisory/assurance tools, testing and audits etc.

-customisation: leveraging AML tools for ABC compliance

-efficiency and cost benefits of convergence

### Participants

**Moderator: Richard Smolicz** - Director, AML/CTF/Sanctions/ABC & MLRO, Nationwide

**Panellist: Michelle Goodsir** - Managing Director, K2 intelligence

**Panellist: Neil Brown** - Chief Risk Officer, Earth Capital

**Panellist: Rod Morris** - Head of Financial Crime & MLRO, Al Rayan Bank

### Networking Lunch & Exhibition Break

12:30 - 13:30

### AML Stream Opening Remarks

13:30 - 13:35

AML

### Participants

**Anna Bradshaw** - Partner, Peters & Peters

### ABC Stream Opening Remarks

13:30 - 13:35

ABC

### Participants

**Hannah Laming** - Partner, Peters & Peters

### Heads of Financial Crime Think Tank – Groupwide Risk Assessments & 5MLD

13:35 - 14:20

AML

- How has 5MLD changed your work?
- High-risk countries
- Product specific risks

### Participants

**Moderator: Anna Bradshaw** - Partner, Peters & Peters

**Panellist: Jonathan Stone** - EMEA, Head of Financial Crime, Nomura

**Panellist: Ciaran Askin** - Head of Financial Crime & MLRO, Invesco

**Panellist: Fabian Bennett** - Head of Risk, Compliance & MLRO, Dahabshil Transfer Services Ltd

### Risky Business: Identifying Your Third-Party Risk

13:35 - 14:20

ABC

### Participants

**speaker: Rita Mitchell** - Partner, Willkie Farr & Gallagher LLP

**speaker: Simon Osborn-King** - Partner, Willkie Farr & Gallagher LLP

### First Contact – Establishing Efficient KYC & Client Onboarding Processes & Utilising new Technologies

14:20 - 15:10

AML

- What new technologies are most suitable for KYC?
- Scalable Onboarding processes
- Enhanced Due Diligence

### Participants

**Moderator: Anna Bradshaw** - Partner, Peters & Peters

**Panellist: Willem Wellinghoff** - Chief Legal & Compliance Officer, ShieldPay

**Panellist: Euan Spence** - Head of Financial Crime, UK Current Accounts and Business Banking, Monzo

**Panellist: Svetlana Rhodes** - Head of Financial Crime Compliance and Deputy MLRO, Close Brothers Asset Management

**Panellist: Francesco Fulcoli** - Chief Compliance Officer, TransferGo

**Panellist: Hugo Veazey** - Director of Anti-Financial Crime Solutions, RDC

### Easy as ABC? Heads of ABC Panel

14:20 - 15:10

ABC

-Sharing bribery act best practices (e.g. gifts and entertainment/hiring processes)

-ABC compliance within a company's more holistic financial crime program

-The future of training & compliance tools: a move from surveillance to analytics?

-Where are financial markets heading, and what does this mean for ABC compliance? (PSD2 & APIs, fintech, and more dispersed banking infrastructure)

### Participants

**Moderator: Hannah Laming** - Partner, Peters & Peters

**Panellist: Samuel Fields** - Global Anti-Bribery and Corruption Manager, State Street

**Panellist: Guy Cole** - Head of AML & ABC, EMEA Financial Crime, Nomura International plc

**Panellist: Shona Beevors** - Head of Anti-Bribery & Corruption, EMEA, Fidelity International

# SESSIONS

AML AND ABC FORUM DAY 1 - 10/03/2020

AML & ABC Forum

10-11 March 2020  
Leonardo Royal Hotel London St Paul's  
London

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## Afternoon Networking and Refreshment Break

15:10 - 15:30  
AML

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## Afternoon Networking & Refreshment Break

15:10 - 15:30  
ABC

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## Conducting a Complex AML Investigation

15:30 - 16:10  
AML

### Participants

**Patrick Rappo** - Partner, DLA Piper

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## Sharing the Load - How Collective Action Can Work for Financial Services

15:30 - 16:10  
ABC

### Participants

**Panellist: Gaon Hart** - Head of Global Anti-Bribery & Corruption Advisory, Policy & Training, HSBC

**Panellist: Kenneth Gazzaway** - Director, EMEA Regional Head of Anti-Bribery & Corruption Compliance, MUFG Bank

**Panellist: Brendan Leddy** - Chief Compliance Officer and Head of Risk, Tellimer

**Moderator: Hannah Laming** - Partner, Peters & Peters

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## Utilising Digital Tools for Effective AML Governance

16:10 - 16:40  
AML

### Participants

**Owe Lie-Bjelland** - Director Program Management, GPRC, Corporater

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## Best Friends? Using Technology & Data to Manage Risk

16:10 - 16:40  
ABC

### Participants

**Speaker: Linda Baskett** - Financial Crime Director, Aon Service Corporation

**Speaker: Brandon Daniels** - President, Global Markets, Exiger

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## Chairperson's Closing Remarks

16:40 - 16:50

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## Drinks Reception

16:50 - 18:00

# SCHEDULE

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08:00	08:30 - Registration and Refreshments	08:30 - Registration and Refreshments
09:00	09:00 - Chairpersons's Opening Remarks 09:15 - Keynote Speaker	09:00 - Chairpersons's Opening Remarks 09:15 - Keynote Speaker
10:00	10:00 - Nordic noir – Dirty banking in The Baltics 10:30 - Morning Networking & Refreshment Break	10:00 - Nordic noir – Dirty banking in The Baltics 10:30 - Morning Networking & Refreshment Break
11:00	11:00 - Creating a Culture of AML & ABC Compliance 11:45 - Aligning AML & ABC Compliance – What are the Benefits?	11:00 - Creating a Culture of AML & ABC Compliance 11:45 - Aligning AML & ABC Compliance – What are the Benefits?
12:00	12:30 - Networking Lunch & Exhibition Break	12:30 - Networking Lunch & Exhibition Break
13:00	13:30 - ABC Stream Opening Remarks 13:35 - Risky Business: Identifying Your Third-Party Risk	13:30 - AML Stream Opening Remarks 13:35 - Heads of Financial Crime Think Tank – Groupwide Risk Assessments & 5MLD
14:00	14:20 - Easy as ABC? Heads of ABC Panel	14:20 - First Contact – Establishing Efficient KYC & Client Onboarding Processes & Utilising new Technologies
15:00	15:10 - Afternoon Networking & Refreshment Break 15:30 - Sharing the Load - How Collective Action Can Work for Financial Services	15:10 - Afternoon Networking and Refreshment Break 15:30 - Conducting a Complex AML Investigation
16:00	16:10 - Best Friends? Using Technology & Data to Manage Risk 16:40 - Chairperson's Closing Remarks 16:50 - Drinks Reception	16:10 - Utilising Digital Tools for Effective AML Governance 16:40 - Chairperson's Closing Remarks 16:50 - Drinks Reception

# SESSIONS

AML AND ABC FORUM DAY 2 - 11/03/2020

AML & ABC Forum

10-11 March 2020

Leonardo Royal Hotel London St Paul's  
London

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## Chairperson's Opening Remarks

08:30 - 09:15

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## What keeps a CCO up at night?

09:15 - 09:55

- What risks are on the horizon?
- Agile compliance functions

## Participants

**Fintan Byrne** - Chief Compliance Officer, CurrencyFair

**Ann Doan** - Head of Legal and Compliance, The Norinchukin Bank, London Branch

**Benjamin Anwuri** - Chief Risk & Compliance Officer / MLRO, FCMB BANK (UK) LIMITED

**Moderator: Neil Brown** - Chief Risk Officer, Earth Capital

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## Managing Reputational Risk

09:55 - 10:40

- Screening for adverse media
- Balancing business needs with reputational concerns
- Culture, decision-making and brand loyalty
- How reputational risk differs for a traditional banks and fintechs

## Participants

**David Marshall** - Associate Director, UK Compliance, NIBC Bank NV, London

**Sinead Goss** - EMEA Head, AML, Anti-Bribery and Sanctions Legal, Citigroup

**Charlie Greer** - Head of AML/Sanctions Compliance EMEA, Ant Financial

**Moderator: Neil Brown** - Chief Risk Officer, Earth Capital

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## Networking & Refreshment Break

10:40 - 11:10

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## HM Treasury Keynote

11:10 - 11:45

- The AML/CTF Supervision Regime and OPBAS
- Implementation of the Fifth Money Laundering Directive and the expansion of the Trust Registration Service
- The Economic Crime Plan

## Participants

**Andrew Ryan** - Head of Domestic Anti-Money Laundering, HM Treasury

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## A View from the Inside - Internal Enforcement Unit of the Met

11:45 - 12:20

## Participants

**Marc Grange** - Head of Financial Investigation Unit, Met Police

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## Networking & Lunch Break

12:20 - 13:20

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## AML Stream Opening Remarks

13:20 - 13:25

AML

## Participants

**Anna Bradshaw** - Partner, Peters & Peters

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## ABC Stream Opening Remarks

13:20 - 13:25

ABC

## Participants

**Hannah Laming** - Partner, Peters & Peters

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## Leveraging an outsourced CDD operation

13:25 - 14:00

AML

## Participants

**Richard Parsons** - Head of CDD, KPMG Managed Services

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## Big Data, Regulation and GDPR

13:25 - 14:05

ABC

-surveillance and analytics: drawing the line between ABC compliance and privacy

-a culture of overinterpreting the GDPR – setting out the real limits of GDPR compliance

-data transfers post-Brexit

## Participants

**Moderator: Hannah Laming** - Partner, Peters & Peters

**Panellist: Ann Doan** - Head of Legal and Compliance, The Norinchukin Bank, London Branch

**Panellist: Lucy Callaghan** - Financial Crime Counsel EMEA, Morgan Stanley

**Panellist: Francisco Mainez** - Head of Business Financial Crime Risk, Data & Analytics, HSBC

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## Conducting Due Diligence on Alternative Investments – Current Issues and Evolving Best Practice

14:00 - 14:45

AML

- Real estate
- Cryptocurrency
- How to conduct due diligence at a reasonable cost

## Participants

**Christian Rijs** - UK & Ireland Head of Anti-Financial Crime, DWS

**Mark Hayward** - Chief Executive, NAEA Propertymark

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## Conducting an Intelligence-led Investigation

14:05 - 14:45

ABC

- Dealing with opaque and unusual jurisdictions
- Managing local intelligence sources
- Post-investigation - how to learn from investigations
- What skills will future financial crime & ABC investigators need?

## Participants

**Panellist: Steven Haynes** - Director, Greyhawk

**Panellist: Ian Whiting** - Deputy Head, Financial Crime Operations & Intelligence, Deutsche Bank

**Moderator: Hannah Laming** - Partner, Peters & Peters

**Liliya Gelemerova** - Head of Transactions Monitoring and Investigations, DMLRO, Commerzbank

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## Afternoon Networking & Refreshment Break

14:45 - 15:05

AML

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## Afternoon Networking & Refreshment Break

14:45 - 15:05

ABC

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## The Future of Financial Crime Counsel

15:05 - 15:45

AML

- Origin of the relatively new role in banks in the UK
- Nature of the role and key themes
- Future of the role

## Participants

**Tom Littlechild** - EMEA Senior Counsel, Anti-Money Laundering, Sanctions, and Anti-Corruption, Wells Fargo

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## Whistleblowing – Building the System into your BAU

15:05 - 15:45

ABC

### Participants

**Georgina Halford** - Hall - CEO, WhistleblowersUK

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## Global Sanctions Overview – Where are the Flashpoints?

15:45 - 16:15

AML

- Brief headlines on Iran and Russia developments
- DPRK, Syria and Venezuela (incl. related Cuba and Nicaragua sanctions) possibilities
- Developments in Libya and Turkey sanctions (Cyprus related)
- Risk of increasing divergence in EU/US/UK sanctions
- What will the UK do post Brexit – pulled towards EU or US sanctions regimes or trying to strike a balance between the two?
- Post Brexit UK options for unilateral sanctions and responsiveness to questions (due to acting unilaterally, OFSI better able to respond quickly – could become more like OFAC?).
- Q&A

### Participants

**Lloyd Meadows** - Director, Sanctions Advisory, Africa Middle East Regional Sanctions Team, Standard Chartered

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## Who's accountable? Understanding and Assigning Ownership of ABC Risk

15:45 - 16:15

ABC

### Participants

**Speaker: Ana Joli** - VP Payment Services CRO ABAC/ACFTE Programs, Elavon

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## Chairperson's Summation & Close of Conference

16:15 - 16:25

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15:00	15:05 - Whistleblowing – Building the System into your BAU 15:45 - Who's accountable? Understanding and Assigning Ownership of ABC Risk	15:05 - The Future of Financial Crime Counsel 15:45 - Global Sanctions Overview – Where are the Flash-points?
16:00	16:15 - Chairperson's Summation & Close of Conference	16:15 - Chairperson's Summation & Close of Conference