

## Day One 22 April 2021

10am-10.40am BST	<p><b>Elevating the compliance function within your business.</b></p> <ul style="list-style-type: none"> <li>• Inspirational leadership</li> <li>• The power of stories</li> <li>• The future of compliance as a strategic driver</li> </ul> <p>John Flint, <i>former Group Chief Executive, HSBC</i></p>
10.45am -11.25am BST	<p><b>AI &amp; Ethics</b></p> <p>Artificial Intelligence is transforming the landscape of financial services, with recent research from Autonomous Next estimating that that banks are in line to make cost savings of \$447 billion by 2023, and McKinsey estimating that AI can unlock \$1 trillion of incremental value for banks, annually. Applications of these powerful technologies emerging across front, middle and back office use cases, and adoption of digital technologies has been accelerated by several years across the globe due to Covid-19.</p> <p>It is now an imperative that banks learn how to safely and effectively deploy AI, with appropriate skills and frameworks in place in order to maximise AI's benefits while minimising it's risks.</p> <p>In this session, Janet Adams will present published research on accountability and explainability for AI implementation in financial services, considering the key risks of fairness and bias, transparency, and operational resilience, and how to effectively establish risk and governance frameworks for safe and ethical implementation of AI, to ensure regulatory compliance and fair customer outcomes.</p> <p>Janet Adams, <i>AI and Risk Expert, International Compliance Association</i></p>
11.35am-12.15pm BST	<p><b>Harnessing the potential of data: A balancing act</b></p> <p>It has been argued that “data is the new oil” and the potential for harnessing data in the fight against financial crime is increasingly well understood. However, the attraction of data sharing initiatives and collaborative efforts between regulated entities and among regulators must be balanced against requirements for data protection and privacy.</p> <p>In this panel discussion, leading data experts will consider the challenges and opportunities around data, from data collection and management to data pooling, suggesting ways forward both for organisations and the sector as a whole.</p> <p>Patrick Lord, <i>Commercial Director, Diligencia</i></p> <p>Luma Zitani FICA, <i>Senior Manager, Accenture</i></p> <p>Araliya Sammé, <i>Head of Financial Crime, Featurespace</i></p>

12.20pm – 1pm BST	<p><b>Risk of Falling Behind</b></p> <p>The current speed of technological change is challenging the ability of both regulators and businesses to keep pace with emerging risks associated with the use (and abuse) of new innovations. In the face of an increasingly complex technological landscape some in compliance may feel apprehensive about the deployment of new technological solutions or products. But at the same time, as technologies such as AI and Big Data increasingly touch all aspects of our personal and professional lives, the risk of falling behind is almost greater than the risk of rushing in unprepared.</p> <p>This session considers the practical compliance implications of implementing new technologies, platforms and products, and the challenges of managing technological risk.</p> <p>Christian Broere, <i>Sales Director, EMEA, Wolters Kluwer</i></p> <p>Alecia Edwards-Graham, <i>MICA, Group Manager, Risk and Compliance Proven Management Limited.</i></p> <p>Steve Strickland, <i>FICA, Regional Head, FC operations and Intelligence, Deutsche Bank</i></p> <p>Peter Smith, <i>Head of Policy and Strategy, DFSA</i></p> <p>Maria Lukashova, <i>FICA, Controls and Compliance Lead, MS UK, Microsoft</i></p>
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## Day two 29 April 2021

10am-10.40am BST	<p><b>Evolution of CDD: How to practically apply new technology innovations to the CDD process.</b></p> <p>Customer Due Diligence has been a fundamental component of compliance processes for a long time, but the last 1-2 years have seen an acceleration of innovation in this area. Regulatory expectations have evolved to impact policies, and new technological capabilities have arrived that support the verification process.</p> <p>During this session, Dun &amp; Bradstreet's Compliance Subject Matter Expert, Neil Isherwood will cover the practicalities to meeting regulatory changes, and some of the technology foundations you can put in place now to accelerate your CDD processes.</p> <ul style="list-style-type: none"> <li>• Perpetual KYC – recent regulations have placed emphasis on monitoring third parties for changes beyond the onboarding period. Periodic reviews have functioned as a proxy for this, but often lead to unnecessary effort where there has been no change and may miss modifications where change happens regularly. Through automated data collection and monitoring with rules, technology can help relieve some of the burden.</li> <li>• Adding context to networks - global business and people networks are becoming increasingly complex and interconnected. Nowadays, a third party may simultaneously be a customer, supplier, alliance partner, and even competitor. By focusing and expanding the knowledge we have on people and the connections they have to entities, it is possible to build clusters to add more context during the CDD process and more accurately understand interest, risk and relationships.</li> </ul> <p>Neil Isherwood, <i>Risk and Compliance Specialist, Dunn &amp; Bradstreet</i></p>
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10.45am -11.25am BST	<p><b>Making outsourcing work: an SME perspective</b></p> <p>Amidst mounting regulatory requirements and ongoing budgetary pressures, many small and medium sized enterprises have become increasingly reliant on outsourcing compliance-related activities. Nevertheless, outsourcing creates its own risks, not least that the responsibility for compliance cannot itself be outsourced but must reside with a suitable senior individual within the firm. This means that selecting the right third-party provider to partner with, and ensuring that they meet the ongoing needs of your organisation, is essential. Using a best-practice case study, this session will highlight the potential pitfalls of outsourcing, offering practical advice on how to select, monitor and maintain positive working relationships with third parties.</p>
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	<p>Zsombor Brommer, FICA, <i>Compliance Officer, Al Hilal Bank</i></p> <p>Alok Gupta, FICA, <i>Regional Head of Risk Analytics, FCR HSBC</i></p> <p>Yanica Grech, MICA, <i>Head of Regulatory Compliance, Consultant</i></p> <p>Siân Dalrymple, FICA, (moderator) <i>former Group Head of Compliance, The Bank of N.T. Butterfield &amp; Son Limited</i></p>
11.35am-12.15pm BST	<p><b>Sanctions Risk</b></p> <p>In recent years, the sanctions landscape has become increasingly unsettled, with the growing complexity of sanctions and the constant evolution of sanctions lists heightening the challenge of identifying and managing sanctions risk. This trend shows no sign of abating following the UK's departure from the EU, and with the Presidency of Joe Biden expected to bring continuing change to the US sanctions regime. In the face of this change, this session will offer practical insight into current challenges, best practice and solutions in sanctions compliance.</p> <p>Richard Dunmall, <i>EMEA Head of Sanctions, SMBC Group</i></p> <p>Agathe Duchiron, <i>Analyst, Sanctions Policy, UK Finance.</i></p> <p>Stephen Purdie, MICA, <i>Head of Sanctions Response, Nordea</i></p> <p>Teodora Harrop, FICA, (moderator) <i>Head of Financial Crime and MLRO, Link Group</i></p>
12.20pm – 1pm BST	<p><b>Bill Browder: The past, present and future of Magnitsky sanctions</b></p> <p>Magnitsky-style legislation has been a radical development within sanctions, imposing asset freezes and travel restrictions upon individuals for human rights offences. Bill Browder, whose campaigning led to Congress adopting the Magnitsky Act, has been an influential figure within the introduction of such measures both in the US and beyond.</p> <p>In a probing discussion with ICA's Tim Tyler, Browder will reflect on his experience of working with Sergei Magnitsky, the events that flowed from Magnitsky's untimely death, and the subsequent development of human rights sanctions across the globe. He will also share his thoughts on the future direction of sanctions and of their scope and effectiveness, notably in the context of the Biden presidency.</p> <p>Bill Browder, <i>founder &amp; CEO, Hermitage Capital Management</i></p> <p>Tim Tyler, <i>Head of Qualifications, International Compliance Association</i></p>
<b>Day three 6 May 2021</b>	
10am-10.40am BST	<p><b>CFT frameworks: Challenges and best practice</b></p> <p>Countering the financing of terrorism remains a significant global priority, made more challenging by the fact that funds often come from entirely legitimate sources, with financiers unaware that they are funding terrorist activities. This in-depth discussion will provide an overview of the essential ingredients of an effective CFT framework, outlining the steps necessary to implement a functioning CFT programme. It will also provide country-level examples of the successful implementation of CFT strategies and will compare and contrast the challenge of CFT between specific jurisdictions within Europe, MENA and APAC.</p> <p>Nitin Sane, <i>Senior Anti Money Laundering Analyst Payvision</i></p> <p>Barry Faudemer, <i>Chief Executive, Baker Regulatory</i></p> <p>Ross Savage, <i>Course Director, International Compliance Association</i></p>

10.45am -11.25am BST	<p><b>Stop the Traffik</b></p> <p>Although the pandemic shut down international borders and may, on the face of it, have reduced the risk of human trafficking, the UN has observed that instead it is likely to have “exacerbated and brought to the forefront the systemic and deeply entrenched economic and societal inequalities that are among the root causes of human trafficking”.</p> <p>While the world’s attention was firmly focused elsewhere throughout 2020, some of the most egregious cases of exploitation have persisted unabated. Ruth Dearnley reminds us of the real human impact of people trafficking and the ongoing need to counter the criminal organisations at the centre of these criminal activities.</p> <p>Ruth Dearnley, <i>CEO. STOP THE TRAFFIK</i> John McGrath, <i>Senior Solutions Architect, IBM</i></p>
11.35am-12.15pm BST	<p><b>Leadership: Solving the ‘wicked’ problem of compliance</b></p> <p>Compliance is a ‘wicked’ problem. However, we often treat it as a ‘tame’ problem, meaning that we fail to find effective and lasting compliance solutions. In this thought-provoking session, Professor Keith Grint will explain the difference between ‘critical’, ‘tame’ and ‘wicked’ problems, identifying the styles of leadership that must be adopted in response to each and highlighting the range of different skills that compliance leaders must develop in order to find positive solutions to the challenges facing their organisations.</p> <p>Professor Keith Grint, <i>Professor Emeritus, Warwick University</i></p>
12.20pm – 1pm BST	<p><b>The Geopolitics of Cybersecurity</b></p> <p>How do poor communication skills lead to a proliferation of dangerous cyber conflicts between great powers? In this absorbing talk based on hundreds of conversations with hackers, computer engineers, organised crime bosses, army officers, senior diplomats and politicians, Misha Glenny explains why companies need to place cyber security at the top of their priority list. What used to be random threats from disorganised criminals have become systematic assaults on entire industrial sectors for short-term gain or long-term leverage.</p> <p>Using a combination of video, animation, and professional designed graphics, Misha argues we are now entering a new and most remarkable phase of technological developments, characterised by the Internet of Things and Machine-to-Machine learning. This poses a new raft of challenges to the protection of complex networks, as evidenced most recently by the devastating attack on SolarWinds. But most critically, this happens at a time of rising global tensions, notably between the United States and China. The trade wars that have broken out around issues like TikTok and Huawei are about nothing less than who will control the feature. And the gloves are off.</p> <p>In such a turbulent environment, Misha will suggest that governments are not in a position to guarantee and protect either the critical national infrastructure or the interests of individual service and manufacturing sectors. They can help but it is up to every individual business to go back to the basics where they will discover to succeed they still need to return to basics – and get their communications skills right.</p> <p>Misha Glenny, <i>British journalist</i></p>

# Day four, 13 May 2021

10am-10.40am BST	<p><b>Reducing the Risk of Unconscious Bias</b></p> <p>Unconscious Bias – we all have it. In fact we cannot function without it. But unconscious bias can distort a whole range of decisions from the relatively straightforward to the highly complex. And left unchecked, unconscious bias can quickly find their way into the systems and structures within our organisations. Hayley Barnard will explore how unconscious bias can affect us on a personal and organisational level and the actions we can take to mitigate bias. She will explain how we can learn to ‘interrupt’ bias through inclusive leadership, how to proactively building systems that allow all voices to be heard and how this can reduce risk. You will leave with a fascinating insight into how your brain makes decisions and with a practical toolkit to increase inclusion and reduce risk in your leadership.</p> <p>Hayley Barnard, <i>Managing Director, MIX Diversity Developers</i></p>
10.45am -11.25am BST	<p><b>Psychology of Compliance</b></p> <p>The culture and conduct agenda has taken on a new complexion in the context of working from home, but remains a significant regulatory priority. How, then, do we influence the behaviour of individuals from a compliance perspective? Using practical examples, Paul Eccleson will explain:</p> <ul style="list-style-type: none"><li>• The drivers of human behaviour within the workplace, including the influence of the move towards home working upon employee behaviour</li><li>• The ongoing importance of culture in shaping and constraining individuals’ behaviour, and the role for compliance in supporting strong corporate ethics</li></ul> <p>The value of communication in making or breaking the compliance message.</p> <p>Paul Eccleson, <i>Governance Risk and Compliance Consultant, Gail Bragg Consulting Ltd</i></p>
11.35am-12.15pm BST	<p><b>Courageous integrity: How compliance leaders can effectively challenge and support the business?</b></p> <p>What does it mean to be a compliance leader? Effective compliance leadership requires more than just technical competence and an understanding of the regulatory environment. Increasingly, it requires the skills and courage to constructively challenge the status quo.</p> <p>This session will offer key practical insights on how to couple your compliance knowledge and your understanding of the commercial drivers of your business with the softer skills of communication, relationship building, and influence, enabling you to engage effectively with and to influence colleagues at all levels across your organisation.</p> <p>Andrienne Muir, <i>Chief Operating Officer, Voxsmart,</i> Paul Asare-Archer, FICA, <i>Director of Compliance, O2</i> Scott Bridgen, <i>Global Offering Manager, One Trust</i> Oonagh van den Berg, <i>CEO and Founder, RAW Compliance</i></p>

12.20pm – 1pm BST	<p><b>An Inside View of the 1MDB Scandal: Whistleblower Xavier Justo Discusses the Compliance Lessons to be Gleaned from the World’s Biggest Financial scandal</b></p> <p>Join international whistleblower lawyer Mary Inman as she interviews 1MDB Whistleblower Xavier Justo about his odyssey exposing the world’s biggest financial scandal. The information Mr. Justo shared with British journalist Clare Rewcastle Brown brought down the Malaysian government and triggered successful prosecutions in several countries for the theft of hundreds of millions of dollars from state-owned Malaysian investment fund 1MDB, including Goldman Sach’s \$2.9 Billion settlement late last year with the U.S. Department of Justice over its alleged role in a scheme to bribe high-ranking government officials in Malaysia and Abu Dhabi to obtain business in connection with 1MDB.</p> <p>Ms. Inman and Mr. Justo will discuss the compliance lessons to be gleaned from this massive international scandal.</p> <p>Xavier Justo, <i>former Swiss Banker</i></p> <p>Mary A. Inman, <i>Partner, Constantine Cannon</i></p>
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**Day five, 20 May 2021**

10am-10.40am BST	<p><b>Outcome focused regulation</b></p> <p>We are in the midst of a shift, at a global level, from a risk-based towards an outcomes-based regulatory approach, creating considerable uncertainty for regulatory and financial crime compliance practitioners.</p> <p>What does an outcomes-based approach mean for compliance? How can organisations move towards an outcomes-based approach? What risks and obstacles does such a move involve? What are regulators’ expectations and how can compliance evidence an outcomes-based approach to them?</p> <p>In this practical case study, Chris Hill of Tesco Bank will share his experience of introducing an entirely outcomes-based approach to the bank, and the challenges, innovations and benefits that this move has presented.</p> <p>Chris Hill, <i>Financial Crime Director &amp; MLRO, Tesco</i></p>
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10.45am -11.25am BST	<p><b>ESG: An expanding role for compliance</b></p> <p>There are mounting regulatory expectations on financial markets participants to integrate environmental risks into their investment decisions and to improve transparency around environment, social and governance (ESG) issues. For example, the UK FCA is requiring listed issuers to adopt the Taskforce on Climate-related Financial Disclosures’ (TCFD) recommendations on a ‘comply or explain’ basis, with mandatory TCFD compliance by 2025, while at the EU level the Taxonomy and Disclosure Regulations cover similar ground. Further, the UK PRA has outlined its expectations around climate risk assessment, management and disclosure, which firms must embed by the end of 2021, while the ECB has also issued guidance on banks’ management of climate and environmental risks.</p> <p>As sustainability issues rise up the regulatory and policy agenda, such requirements will expand further. This session considers the challenge of ESG risk and reporting and how compliance practitioners can take the lead and best support their organisations in this evolving space.</p> <p>Beth Haddock, <i>Managing Partner, Warburton Advisers</i></p> <p>Richard Peers (moderator), <i>Founder, Responsible Risk</i></p> <p>Pam Shearing, <i>Managing Partner, Fulcrum</i></p> <p>Leonie Kelly, <i>Director, Head of ESG and Impact Advisory, Ogier</i></p>
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	Justin Smith, <i>Head of Business Development Unit, WWF South Africa</i>
11.35am-12.15pm BST	<p><b>Beyond 3LOD – The future of risk governance</b></p> <p>The three lines of defence (3LOD) model of risk governance has been criticised for being too simplistic and for creating a siloed approach to risk management, leading to confusion over roles and responsibilities. Moreover, the relationship between risk owners and oversight functions has emerged as a common site of friction in organisations, undermining the model's effectiveness.</p> <p>This panel discussion will consider best practice in risk governance, exploring the value of working <i>between</i> the lines and of tailoring the approach to the organisation, rather than applying a strict and inflexible framework. Drawing on real life examples – including perspectives from the first line – the session will examine common pitfalls and propose alternative approaches to risk management frameworks.</p> <p>Jonathan Bowdler, FICA. <i>Global Lead: Postgraduate Qualifications, ICA</i></p> <p>Catherine Vaughan, FICA <i>Partner, Financial Crime Leader, EY</i></p> <p>Vivek Padmanabhan, FICA <i>Head of Financial Institutions relationship Risk Management, Europe, Standard Chartered Bank</i></p> <p>Donna Turner. <i>Senior Consultant, Risk Shapes</i></p>
12.20pm – 1pm BST	<b>To be confirmed</b>