

Agenda

Enabling Innovation in Regulatory Compliance

etc.venues St Paul's London
3rd October 2019

#RTSLDN

Agenda

08:00

Registration and Networking over Coffee

09:00

Chair's opening address

Andrew Delaney, Chief Content Officer, **A-Team Group**

09:10

Opening Keynote: RegTech – a central bank view

- Perspectives on RegTech in supervised firms
- Development of SupTech in the Bank of England
- Work going forward and ongoing industry engagement

Peter Thomas, Senior Manager, Data Innovation, **Bank of England**

09:40

Thought Leader (User) Panel: Reviewing the regulatory horizon and optimising the regulatory response

- What's on the radar, where should we focus our efforts, what is the impact of oncoming regulatory change on business strategy: EMIR Refit, SFTR Roll out; MiFID III; Margin rules; IBOR Transition to risk free rates; Shareholders Directive II; Senior Managers Compliance Regime (SMCR)
- Impact of Brexit on reporting
- Reviewing multi-jurisdictional data standards efforts with a focus on the LEI and upcoming UPI
- Taking a joined up approach, finding synergies across regulations and the role of RegTech
- Support and engagement with Regulators to move forward

Moderated by: Andrew Delaney, Chief Content Officer, **A-Team Group**

Dawd Haque, Global lead for Regulatory Market Initiatives, Transformation & Strategy, **Deutsche Bank AG**

Dr. Sabine Dittrich, Head of Regulatory Intelligence, **UBS Asset Management**

Sophia Bantanidis, Head of Regulatory & Policy for TTS Innovation Lab Treasury & Trade Solutions, **Citi**

Disruptor of the year finalist 2019, FinTech Champion of the year finalist 2018 & 2019

Peter Thomas, Senior Manager, Data Innovation, **Bank of England**

Keynote: Understanding the importance of an integrated regulatory, data and technology strategy

- Current regulatory landscape
- How data and regulation are inextricably linked
- Integrating data and technology for regulatory compliance and beyond

Bradley Foster, Global Head of Content (Enterprise), **Bloomberg**

10:50

Morning break and visit to the Exhibition

11:20

Panel: Managing regulatory change and driving efficiencies from the cost of compliance

- Coping with increasing volumes and managing the consistency of rules across regulators
- Horizon scanning and interpretation: developing a regulatory taxonomy with semantic accuracy and standardisation of language
- Funnelling the right rules to the right people at the right time
- How to contain compliance costs in relation to rising volumes of regulatory rule

Moderated by: Paul North, The New Initiatives Working Group, **The RegTech Council**
Mark Sweeting, Head of Innovation and COO, Capital and Liquidity Reporting, **Credit Suisse**

William Graham, Director, Technology & Operations, **Blackrock**

Malavika Solanki, Member of the Management Team, **Derivatives Service Bureau (DSB)**

Phil Fry, VP, Product Strategy, **Verint**

Paul Liesching, Global Head of Financial Markets, **Truphone**

12:00

RegTech Innovation Collaboration: Automating Regulatory Change – The Art of the Possible

Paul North, The New Initiatives Working Group, **The RegTech Council**

12:10

RegTech Innovation Showcase

Five minute pitches from RegTech Solution Providers

Moderated by: **Sarah Underwood**, Editor, **A-Team Group**

Pitch 1: Freddie Frith, Business Development Manager, **Clausematch**

Pitch 2: Rob Kirwin, CEO & Co-Founder, **VigilantCS**

12:20

Keynote: The emerging challenges of compliant communications

- New communication channels and emerging technologies are being used in trading
- Under MiFID II and other similar regulations around the world, more data points need to be monitored, captured, recorded and retained than ever before
- At the same time the consumerisation of technology means that your users and customers are wanting to adopt a myriad of communication technologies
- How to close the compliance gap?

Paul Liesching, Global Head of Financial Markets, **Truphone**

12:50

Lunch and visit to the Exhibition

13:50

Keynote: Trade and transaction reporting challenges – security data challenges

- Where are we with MIFIR/MIFID II?
- The implications of Brexit – what should you expect?
- What should you be doing to support SFTR?

Peter Moss, CEO, **SmartStream RDU**

Panel: Laying strong foundations for regulatory reporting through data management

- Why a data centric approach is required for consistency, sustainability and efficiency
- Managing the challenges of data silos and legacy processes/systems
- Data sourcing; ensuring data quality, accuracy and consistency
- Ensuring data governance for internal engagement from data consumer and producers
- Leveraging work done from MiFID II & EMIR for SFTR & FRTB – are there similarities and synergies?

Moderator: Colin Ware, Regulatory Product Manager, **BNY Mellon**

Mark Bird, Global Head of Data, Regulatory Compliance, **HSBC**

Ian Hollowbread, Director – Ecosystem UK, **ING**

Peter Moss, CEO, **SmartStream RDU**

Hugh Burden, Head of Banking, **AutoRek**

Bradley Foster, Global Head of Content (Enterprise), **Bloomberg LP**

15:00

Digital Regulatory Reporting Update

- Update on work so far
- Feedback from pilots
- Next steps

Moderated by: Lauren McAughtry, Editor, *RegTech Insight*, **A-Team Group**

Graham Corr, Head of Regulatory Technology Development, **RBS**

Peter Thomas, Senior Manager, Data Innovation, **Bank of England**

Andrew Bayley, Director – Data & Reporting, **ISDA**

15:25

RegTech Innovation Showcase

5 minute pitch to the audience from a RegTech Solution Provider

Moderated by: **Lauren McAughtry**, Editor, *RegTech Insight*, **A-Team Group**

Pitch: Brian Fisher, Director, **Amia Data Technologies**

15:30

Panel: Establishing trust – managing data privacy and cyber security in an AI world

- Managing privacy data risk when engaging in data analytics
- Ensuring data is secure and demonstrating this to regulators
- Cross border data privacy controls when using cloud based technologies
- Cyber security and AI
- Scope of data sharing and machine learning

Moderated by: **Sarah Underwood**, Editor, **A-Team Group**

Monica Monaco, Founder & Managing Director, **TrustEUAffairs**

Karan Jain, **Banking Technology Expert/Data Sharing Thought Leader**

Alexandra Vidyuk, Analytics & Machine Learning Chief Architect, **HSBC**

Nigel Tuppen, Senior Director (Associate), **3 Lines of Defence Consulting**

16:05

Afternoon break and visit to the Exhibition

16:35

Afternoon Keynote: Using ML and AI to improve AML and Fraud

Revolut are the fastest growing challenger bank in Europe. Soups Ranjan will share insight into how they are preventing financial crime on Revolut's platform using data science and machine learning techniques

Soups Ranjan, Head of Financial Crime Risk, **Revolut**

16:55

Panel: How to digitise the customer experience with KYC and AML Innovation

- Best practice approaches to improving efficiency and automating KYC

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- Progress around streamlining and digitising the onboarding process
- The emerging role of digital identity verification in KYC, AML and onboarding
- Using RegTech to improve AML and financial crime risk; screening, sanctions and reducing false positives
- Barriers to using RegTech and how they can be removed
- Considerations for selecting and deploying an efficient and sustainable solution

Moderated by: Chris Beavor, Independent Consultant

Lorraine Waters, Chief Data Officer, Compliance, **HSBC**

Yulia Murat, Executive Director, Regional Head, Correspondent Banking and CIB FCC, Europe, **Standard Chartered Bank**

Was Chaudry, Head of Client Onboarding – Private Banking, **Credit Suisse**

Guy Mettrick, Finance Industry Lead, **Appian**

Andrea Gagliardi, VP, Regulatory Solutions, **FactSet**

17:35

Networking and Drinks Reception

****Agenda subject to change ****

Testimonial

“Engaging with innovation and regtech representatives from financial services firms.”

Kieran Seaward, Head of Sales, Datactics

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