

Securities Houses Compliance Officers Group

Monthly Meetings 2018

Date	Guest Speaker	Subjects
January 2018	Mark Goulden , <i>Global Head of Markets Compliance</i> , Deutsche Bank : SHCOG Chairman Louise Rodger , <i>Director Compliance</i> , AFME Patrick Buckingham , <i>Independent Regulatory Consultant</i>	FCA17/37 Understanding the FCA's proposals to recognise industry codes of conduct and the discussion
February 2018	Antony Whitehouse , <i>Head of Compliance UK</i> , NATIXIS, Deputy Chair SHCOG Steering Committee John Clarke , <i>Money Laundering Reporting Officer</i> , Standard Advisory London Sarah Hitchins , <i>Senior Associate</i> , Allen & Overy Calum Macdonald , <i>Associate</i> , Allen & Overy	A Financial Crime Update
March 2018	Mark Goulden , <i>Global Head of Markets Compliance</i> , Deutsche Bank : SHCOG Chairman Julian Allen - Ellis , <i>Director</i> , AFME Caroline Leckie , <i>Director</i> , Deutsche Bank	MiFID II – Outstanding Issues and Ongoing Implementation Challenges
April 2018	Antony Whitehouse , <i>Head of Compliance UK</i> , NATIXIS, Deputy Chair SHCOG Steering Committee Patrick Butler , <i>Managing Director</i> , Calitor Dr Roger Miles , <i>Faculty Lead, Conduct Risk and Culture Academy</i> , UK Finance	Culture in the evolving regulatory environment: A new role for Compliance?
May 2018	Caroline Leckie , <i>Regulatory Compliance Coordinator for CIB Compliance</i> , Deutsche Bank Kelwin Nicholls , <i>Partner</i> , Clifford Chance Dorian Drew , <i>Partner</i> , Clifford Chance	Enforcement Trends and Hot Spots
June 2018	Mark Goulden , <i>Global Head of Markets Compliance</i> , Deutsche Bank : SHCOG Chairman Julian Marsh , <i>Partner</i> , EY	Remote Trading Supervision: The importance of a strong oversight model
July 2018	Oliver Geffroy , <i>Head of Private Side Compliance</i> , BAML and SHCOG Committee Member Claire Keast - Butler , <i>Partner</i> , Latham & Watkins	Capital Markets Update - UK IPO Reform
September 2018	Mark Goulden , <i>Global Head of Markets Compliance</i> , Deutsche Bank : SHCOG Chairman Michael Hegarty , <i>Director - Regional CISO – UKI and Head of Infrastructure Access</i> , Deutsche Bank	Cyber Risk in Financial Services
October 2018	Wendy Langridge <i>Head of Compliance & Corporate Governance</i> , BCS Global Markets : SHCOG Steering Committee Member Erik Wilgenhof Plante , <i>Chief Compliance Officer</i> , Bequant Cryptocurrency, Exchange & Brokerage Julian Dixon , <i>CEO</i> , 42 Data	Demystifying Crypto Compliance
November 2018	Claire Edwards <i>EMEA Head of Compliance Regulatory Management & Change</i> , J.P. Morgan : SHCOG Steering Committee Member Luca Primerano , <i>Chief AI Officer</i> , 42 Data Julia Condon , <i>Subject Matter Expert – Personal Account Dealing, Employee Compliance</i> , Deutsche Bank	AML, AI and Robotics
December 2018	Merope Sylvester <i>Head of Compliance Assurance</i> , Barclays and SHCOG Committee Member Simon Thorn , <i>Chief Compliance Officer</i> , Barclays Execution Services Claire Edwards , <i>Managing Director EMEA Head of Compliance Regulatory Management and Change</i> , JP Morgan and SHCOG Secretary Ryan Taylor , <i>Global Head of Compliance</i> , Brevan Howard and SHCOG Committee Member	A Decade after the Crisis; where next for Compliance - A Panel Discussion

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January 2019	Ryan Taylor , <i>Global Head of Compliance</i> , Brevan Howard and SHCOG Committee Member David Johnstone , <i>EMEA Head of GCSS (Global Credit and Special Situations), Mortgages and FICC Emerging Markets Compliance</i> , BAML Chloe Griffiths , <i>Head of Credit Compliance for EM</i> , Barclays	How to Negotiate the Conflict of Interest Maze
February 2019	Mark Goulden , <i>Global Head of Markets Compliance</i> , Deutsche Bank :SHCOG Chairman Rob Moulton , <i>Partner</i> , Latham & Watkins Jon Holland , <i>Partner</i> , Latham & Watkins	Beyond the Market Abuse Regime
March 2019	Mark Goulden , <i>Global Head of Markets Compliance</i> , Deutsche Bank :SHCOG Chairman Stefano Valente , <i>Director, Markets Compliance</i> , Deutsche Bank Vassilena Karadakova , <i>Associate</i> ., Cleary Gottlieb Steen & Hamilton LLP	Competition Law in Financial Services – What Role for Compliance?
April 2019	Jennifer Soreck , <i>EMEA Head of Private Side and Research Compliance</i> , Morgan Stanley :SHCOG Committee Member Marc Teasdale , <i>Director of Wholesale Supervision</i> , Financial Conduct Authority (FCA) Matthew Nunan , <i>EMEA Head of Conduct Risk</i> , Morgan Stanley (ex Head of Wholesale Enforcement at the FCA) Leslie Perry Coombs , <i>C&ORC IB Head of Conduct Risk Framework</i> , UBS Elizabeth St-Onge , <i>Partner, Financial Services Practice Group</i> , Oliver Wyman	Non-Financial Misconduct
May 2019	Mark Goulden , <i>Global Head of Markets Compliance</i> , Deutsche Bank :SHCOG Chairman John Ryan , <i>Compliance Consultant</i> Adam Clarke , <i>Senior Manager</i> , Deloitte	Developments in Electronic and Audio Communications Surveillance
June 2019	Mark Goulden , <i>Global Head of Markets Compliance</i> , Deutsche Bank :SHCOG Chairman Damien Walsh , <i>Head of Infrastructure Compliance UKI and EMEA (ex Germany)</i> , Deutsche Bank Rachel Burke , <i>Head of Private Side Compliance</i> , Santander James Gibson , <i>Head of Group Ops, Tech and Chief Security Officer Compliance</i> , Barclays Antony Whitehouse , <i>UK Head of Compliance</i> , Natixis	Infrastructure Compliance
July 2019	Richard Brearley , <i>Regional Head of Compliance - EMEA</i> , Macquarie : SHCOG Steering Committee Member Rob Moulton , <i>Partner</i> , Latham & Watkins Mark Bethell , <i>Manager, Competition and Economics Division</i> , FCA Lizzie Hookham , <i>Senior Associate, Competition and Economics Division</i> , FCA Tonia Gilbert , <i>Legal Technical Specialist, Competition and Economics Division</i> , FCA	Competition Law - A View from the FCA
September 2019	Antony Whitehouse , <i>Head of Compliance UK</i> , NATIXIS, Deputy Chair SHCOG Steering Committee Will Dennis , <i>Co-Head Policy</i> , AFME and director, Will Dennis Compliance Consultants Jason Holt , <i>Managing Director, EMEA Regional Leader</i> , Exiger Kathy Woodfine , <i>Managing Director, EMEA Head of AML</i> , Citigroup	Financial Crime Update
October 2019	Ryan Taylor , <i>Global Head of Compliance</i> , Brevan Howard : SHCOG Steering Committee Member Caitlin McErlane , <i>Partner, Financial Services Regulatory</i> , Baker & McKenzie Lesley Kumar , <i>Partner</i> , Insight Regulatory Consulting	Senior Managers and Certification Regime Countdown to Deadline Day and Practical Lessons Learnt
November 2019	Mark Goulden , <i>Global Head of Markets Compliance</i> , Deutsche Bank :SHCOG Chairman Elizabeth Williams , <i>Partner</i> , Simmons and Simmons Richard Hopkin , <i>Managing Director, Head of Fixed Income</i> , AFME	IBOR Transition
December 2019		