

Conference Planning Committee

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| Jonathan Bibby | CHAIR | ex - UBS | UK |
| Anna Eskelin-Heino | | Nordea | FI |
| Oliver Geffroy | | Bank of America | DE |
| Massimo Giannuzzi | | ITsorted | UK |
| Mark Goulden | | Deutsche Bank | UK |
| Dirk Hense | | Barclays | DE |
| Georgina Hickleton | | On Location | UK |
| Raymond Höhle | | Deutsche Bank | NL |
| Frank Schröder | | PGGM | NL |
| Helena Sundin | | JP Morgan | SE |

TECC online 2022 Agenda

| Tuesday - 20 September 13.00 - 17.00 CET / 12.00 - 16.00 BST | |
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| 13.00 - 13.10 CET 12.00 - 12.10 BST | <p>Welcoming Remarks</p> <p>Day Chair</p> <p>Oliver Geffroy Co-Head, EMEA Compliance and Operational Risk Bank of America</p> |
| P 1 13.10 - 13.40 CET 12.10 - 12.40 BST | <p>Opening Address</p> <p>Marjolein van Hellemond Group Chief Compliance Officer Santander</p> |
| P 2 13.40 - 14.30 CET 12.40 - 13.30 BST | <p>Conduct, Culture and Behaviour: Lessons from the Pandemic</p> <p>Christian Hunt Founder, Human Risk</p> |
| 14.30 - 14.50 13.30 - 13.50 | COFFEE BREAK |

Tuesday - 20 September 13.00 - 17.00 CET / 12.00 - 16.00 BST

Group I Workshops 14.50 - 15.50 CET / 13.50 - 14.50 BST Workshops are concurrent

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| <p>W 1 14.50 - 15.50 CET 13.50 - 14.50 BST</p> | <p>Compliance Risk Assessment and Controls Testing</p> <ul style="list-style-type: none"> • What is the purpose? • What might an effective compliance risk assessment look like? • The importance of (key) control testing • How do you assess compliance risk at your firm? | <p>Wiecher Mandemaker Head of Compliance Testing & Monitoring Services, Nordea</p> <p>Uche Iwuchukwu EMEA Head of Compliance Testing, Morgan Stanley</p> |
| <p>W 2 14.50 - 15.50 CET 13.50 - 14.50 BST</p> | <p>Environmental, Social and Governance Issues</p> <ul style="list-style-type: none"> • Risks and Drivers • Relevance for the Compliance function • Integration of ESG into your suitability and appropriateness assessment • Impact of an ESG framework on index funds, bespoke products and providers • ESG and crypto-asset investment | <p>Christian Everts Head of Compliance and Anti-Financial Crime Vanguard Group Europe</p> <p>Monika Disen Director Strategy, Change & Oversight Deutsche Bank</p> |
| <p>W 3 14.50 - 15.50 CET 13.50 - 14.50 BST</p> | <p>Outsourcing</p> <ul style="list-style-type: none"> • Compliance's role in the outsourcing process • Cloud Computing • Dealing with 'Internal Outsourcing' • Regulatory expectations | <p>Jochen Kindermann Partner, Simmons & Simmons</p> <p>Susanna Zwick Outsourcing Officer, ISG Management Morgan Stanley</p> <p>Hartmut Renz Former Chief Compliance Officer Citigroup Global Markets, Germany</p> |
| <p>15.50 - 16.10 14.50 - 15.10</p> | <p>COFFEE BREAK</p> | |
| <p>P 3 16.10 - 16.55 CET 15.10 - 15.55 BST</p> | <p>The Evolving Role of Compliance</p> <p>Moderator: Mark Goulden</p> <p>Oliver Geffroy, Co-head, EMEA Compliance and Operational Risk, Bank of America Mita Dave, Banking and Regulatory Partner, KPMG Bharat Bhushan, Technology Partner, KPMG</p> <ul style="list-style-type: none"> • What is the role of Compliance functions going forward and how will this evolve - what changes do we expect? • Dealing with data and technology • Enterprise-wide risk management, non-financial risk integration - where does compliance fit in? • The 'three lines of defence' model - does it work in practice and how might it evolve? | |

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| Wednesday 21 September 13.35 - 17.15 CET / 12.35 - 16.15 BST | | |
| 13.35 - 13.45 CET 12.35 - 12.45 BST | Welcoming Remarks Day Chair: Helena Sundin Head of Compliance, Sweden & Finland, JP Morgan | |
| P 4 13.45 - 14.15 CET 12.45 - 14.15 BST | The European Regulatory Agenda Wim Mijs CEO, European Banking Federation | |
| 14.15 - 14.30 13.15 - 13.30 | COFFEE BREAK | |
| Group II Workshops 14.30 - 15.30 CET / 13.30 - 14.30 BST Workshops are concurrent | | |
| W 4 14.30 - 15.30 CET 13.30 - 14.30 BST | Challenges and Opportunities in Monitoring and Surveillance After many years monitoring trades and communications, where are we: <ul style="list-style-type: none"> • Data driven monitoring/surveillance • New technologies: voice surveillance, machine learning, artificial intelligence • Measuring success - do the real-world results justify the huge cost / effort • Meeting regulators' increasing expectations. | Arden Vega Global Head of Compliance Financial Markets, ING Miki Mellegard EMEA Head of Surveillance Deutsche Bank |
| W 5 14.30 - 15.30 CET 13.30 - 14.30 BST | Regulatory Change Deep Dive: The Impact on Compliance <ul style="list-style-type: none"> • What is on the agenda in terms of regulatory change? • What will change for the role and responsibilities of Compliance? • How can you, as a Compliance Officer best prepare? | Jan Willem van der Velden Partner, Keijser Van der Velden Julia Kolbe Head of Markets Policy, Government & Regulatory Advocacy Deutsche Bank |
| W 6 14.30 - 15.30 CET 13.30 - 14.30 BST | Corporate Social Media Control and Governance <ul style="list-style-type: none"> • What is social media, how firms can benefit • #problems, and how they can arise • Policies, procedures and the role of Compliance • @spokespersons: who can say what, to whom and where • Processes: review, approval, capture and monitoring • Where next for social media? | Simon Quick Head of Social Media Governance UBS Isabelle O'Hara Executive Director, Compliance & Operational Risk Control Data Protection Office, UBS |
| 15.30 - 16.00 14.30 - 15.00 | COFFEE BREAK | |

TECC online 2022

20 - 22 September 2022

Wednesday 21 September 13.35 - 17.15 CET / 12.35 - 16.15 BST

P 5

16.00 - 16.30 CET
15.00 - 15.30 BST

**Prepared Remarks
Q&A**

Colin Bell
CEO, HSBC Bank plc and HSBC Europe

P 6

16.30 - 17.15 CET
15.30 - 16.15 BST

In Conversation with Internal Audit

Moderator: Siân Dalrymple, Group Chief Risk Officer, Crestbridge

James Coulson, Global Head of Compliance, Conduct and Legal Audit, HSBC
Mark Starbuck, Chief Auditor for Compliance, Legal and People Risks, Credit Suisse
Pam McDonagh, Head of Audit Professional Practice, UBS

- Optimising the relationship between Audit and Compliance
- Remote auditing and testing: the way of the future?
- Common issues when auditing Compliance

CLOSE OF DAY

TECC online 2022

20 - 22 September 2022

| Thursday 22 September | | 13.00 - 17.00 CET / 12.00 - 16.00 BST | |
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| 13.00 - 13.10 CET 12.00 - 12.10 BST | <p align="center">Welcoming Remarks</p> <p align="center">Day Chair</p> <p align="center">Mark Goulden Divisional Head of Investment Bank Compliance UK&I Regional Head of Compliance Deutsche Bank</p> | | |
| P 7 13.10 - 13.40 CET 12.10 - 13.40 BST | <p align="center">Sustainable Finance: latest developments and challenges ahead</p> <p align="center">Brenda Kramer Senior Advisor Responsible Investment PGGM Asset Management</p> | | |
| P 8 13.40 - 14.30 CET 12.40 - 13.30 BST | <p align="center">Regulatory Divergence Post-Brexit</p> <p align="center">Moderator: Rob Moulton, Partner, Latham & Watkins Stephen Hanks, Manager, Markets Policy Division, FCA Emily Ballisat, Of Counsel, Simmons & Simmons</p> <ul style="list-style-type: none"> • The UK and EU policy approach - how much formal or informal coordination is there? • What do we think the industry wants - identical standards? Post BREXIT rule rewrite? • Where is divergence most sensitive or problematic? • Is there opportunity for continued dialogue on 'equivalence'? • Which international standards will be most influential in future? | | |
| 14.30 - 14.50 13.30 - 13.50 | COFFEE BREAK | | |

TECC online 2022

20 - 22 September 2022

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|--|---|--|
| Thursday 22 September | | 13.00 - 17.00 CET / 12.00 - 16.00 BST |
| Group III Workshops | | 14.50 - 15.50 CET / 13.50 - 14.50 BST |
| Workshops are concurrent | | |
| W 7 14.50 - 15.50 CET 13.50 - 14.50 BST | <p style="text-align: center;">Crypto Assets</p> <ul style="list-style-type: none"> • Latest developments in the world of crypto assets • European regulation: MiCAR • Suitability/appropriateness issues • ESG considerations including electricity consumption | <p>Teunis Brosens Head Economist for Digital Finance and Regulation, ING Bank</p> |
| W 8 14.50 - 15.50 CET 13.50 - 14.50 BST | <p style="text-align: center;">Market Abuse: Challenges and Trends</p> <ul style="list-style-type: none"> • Lessons from recent market abuse enforcement and regulatory activity • Adjusting to remote working • Future trends, challenges and regulatory expectations | <p>Henning Lykke Nielsen Head of Market Abuse Surveillance, Nordea</p> <p>Dorian Drew Partner, Clifford Chance</p> |
| W 9 14.50 - 15.50 CET 13.50 - 14.50 BST | <p style="text-align: center;">Post Pandemic Future of Work Models: Risks and Challenges for Compliance</p> <ul style="list-style-type: none"> • Working from Home (WFH) - brief history, regulatory response, how has it played out in practice • Future operating models - what benefits and threats do various models pose to businesses • Future models for Compliance function | <p>Stuart Crotaz Partner, EY</p> <p>Kate Vetch Regional Head of Compliance EMEA, Macquarie</p> |
| 15.50 - 16.10 14.50 - 15.10 | COFFEE BREAK | |
| P 9 16.10 - 16.55 CET 15.10 - 15.55 BST | <p>Heads of Compliance Panel: Looking to the future</p> <p>Moderator: Siân Dalrymple, Group Chief Risk Officer, Crestbridge</p> <p>John Polanin, Head of Compliance and AML, Macquarie Bank Europe Melissa Gallagher, EMEA Chief Compliance Officer, JP Morgan Bharat Samani, Head of Compliance UK & Europe, BBVA</p> | |
| CONFERENCE CLOSING REMARKS | | |

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| Times to be agreed | <p>In-person Networking Opportunities</p> <p>London; Frankfurt; Amsterdam ... and other cities</p> |
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