



# Culture and Conduct Implementing the FCA Agenda

A One-Day Summit  
10 July 2015  
Cavendish Conference Centre, London

[Provisional programme and invitee list – 19.06.15]

08:15	<b>Registration, networking and morning coffee</b>
08:55	<b>Chairman's opening remarks</b> <b>Clifford Smout</b> , Partner, EMEA Centre for Regulatory Strategy, Deloitte (confirmed)
09:00	<b>Getting culture and conduct right</b> <b>Martin Wheatley</b> , Chief Executive, Financial Conduct Authority (confirmed)
09:20	<b>The role of the Banking Standards Body</b> <b>Alison Cottrell</b> , Chief Executive, Banking Standards Board (confirmed)
09:40	<b>Transitioning to the Senior Managers and Certification Regimes – likely impact on behavioural norms across the industry</b> <b>Michael Kent</b> , Partner and Global Head of Financial Regulation Group, Linklaters (confirmed)
10:05	<b>The role of boards, NEDs and senior managers</b> <i>Moderated by</i> <b>Clifford Smout</b> , Partner, EMEA Centre for Regulatory Strategy, Deloitte (confirmed) <i>Panellists</i> <b>James Bardrick</b> , UK Country Officer, Citi (confirmed) <b>Anthony Belchambers</b> , Chairman, Saxo Capital Markets Limited and Chairman, Joint Trade Association Group (confirmed) <b>Julia Dunn</b> , Chief Compliance Officer, Nationwide (confirmed)
10:45	<b>Building on the recommendations of the Fair and Efficient Markets Review</b> <b>David Mercer</b> , Chief Executive, LMAX Exchange (confirmed)
11:05	<b>Networking and morning coffee</b>
	<b>Chairman</b> <b>Anthony Belchambers</b> , Chairman of the Joint Trade Association Group (confirmed)
11:25	<b>FCA approach to enforcement action against misconduct</b> <ul style="list-style-type: none"> <li>• credible deterrence</li> <li>• case selection</li> <li>• firm “versus” individual</li> <li>• messaging - publication of findings</li> <li>• policy on fines and other sanctions</li> </ul> <b>Angela Hayes</b> , Partner, King & Spalding (confirmed) <b>Speaker tba</b> , Financial Conduct Authority (confirmed)

12:10	<p><b>Key elements of good business conduct</b></p> <ul style="list-style-type: none"> <li>• Proportionality in promotion</li> <li>• Know your customer</li> <li>• Know your products</li> <li>• Prioritizing customer interests</li> <li>• Complaints management</li> <li>• Transparency, disclosure and reporting</li> </ul> <p><b>David Heffron</b>, Partner and Head of Financial Regulation, Pinsent Masons (confirmed)</p>
12:35	<p><b>Networking and lunch</b></p>
13:35	<p><b>The role of leaders in inculcating ‘good’ conduct through an appropriate culture</b></p> <ul style="list-style-type: none"> <li>• What is ‘good’ conduct?</li> <li>• How can cultural change help achieve this throughout the organisation?</li> <li>• The role of leadership in effecting change</li> <li>• Overcoming the barriers to cultural transformation</li> </ul> <p><b>Antony Jenkins</b>, Group Chief Executive, Barclays (confirmed)</p>
13:55	<p><b>Establishing a fair whistleblowing regime which protects employees</b></p> <p><b>Alex Beidas</b>, Linklaters (confirmed)</p>
14:20	<p><b>Creating incentives and remuneration structures that support a positive culture</b></p> <p><i>Moderated by</i> <b>Alex Beidas</b>, Linklaters (confirmed)</p> <p><i>Panellists</i> <b>Jon Pain</b>, Group Head of Conduct and Regulatory Affairs, RBS (confirmed) <b>Tom Gosling</b>, Partner and Head of UK Reward Practice, PwC (confirmed) <b>Randal Tajer</b>, Global Head of Compensation &amp; Benefits, Nomura (confirmed)</p>
15:00	<p><b>Afternoon tea</b></p>
15:15	<p><b>Which are the most effective levers to effect cultural change?</b></p> <p><b>Paul Fisher</b>, Executive Director for Supervisory Risk and Regulatory Operations, Bank of England (confirmed)</p>
15:35	<p><b>Performance monitoring and review of cultural change programmes</b></p> <p><i>Moderated by</i> <b>Anthony Belchambers</b>, Chairman of the Joint Trade Association Group (confirmed)</p> <p><i>Panellists</i> <b>Mary O’Connor</b>, Global Head of Financial Institutions, Willis Group (confirmed) <b>Niamh Higgins</b>, Director of Regulatory Compliance, UK &amp; Western Europe, RSA Group (confirmed) <b>Penny Judd</b>, Head of Compliance, EMEA, Nomura (confirmed)</p>
16:15	<p><b>Key role of training and education in implementing cultural change</b></p> <p><i>Moderated by</i> <b>Anthony Belchambers</b>, Chairman of the Joint Trade Association Group (confirmed)</p> <p><i>Panellists</i> <b>Michael Roemer</b>, Group Head of Compliance, Barclays (confirmed) <b>Richard Hill</b>, Executive Director, Centre for Compliance and Trust, Cambridge Judge Business School (confirmed) <b>Marshall Bailey</b>, President, ACI Financial Markets Association (ACI FMA) (confirmed) <b>Teresa Poy</b>, Chief Compliance Officer, Legal &amp; General Investment Management (confirmed)</p>
16:55	<p><b>Chairman’s closing remarks</b></p> <p><b>Anthony Belchambers</b>, Chairman of the Joint Trade Association Group (confirmed)</p>
17:00	<p><b>Close</b></p>

