



# Monday, 4th October 2021 - Day 1

## The compliance stratosphere

**Opening 1-1: UTC, 10:00 – 11:00**

**Welcome and introduction**

**Setting the Congress context and objectives**



Sylvia Enseñat De Carlos

IFCA Chairperson & ASCOM President

IFCA/ASCOM

Sylvia Enseñat de Carlos is Executive President of the Spanish Compliance Association (ASCOM), the first association of Compliance professionals in Spain, which has more than 1,500 members and whose main mission is the professionalization of the function in Spain. She is also the Chairperson, representing ASCOM, of IFCA, an international federation formed by Compliance associations from 13 countries around the world.

Sylvia was for ten years, from 2004 to 2013, Director of Compliance at Barclays Bank in Spain and, subsequently, until April 2017, she was Director of Regulatory & Compliance at Deloitte. She is the author of the book "Compliance Officer Manual", published by Thomson Reuters Aranzadi in 2016. Sylvia is a member of the UNE subcommittee that prepared the international standard UNE-ISO 19600 Compliance management systems – Guidelines, the ISO 37001 Anti-bribery Management Systems- Requirements with guidance for use, ISO 37301 Compliance management systems - Requirements with guidance for use, ISO 37000 Guidance for the governance of organizations and ISO 37002 Whistleblowing management systems – Guidelines, as well as the reduced work team that developed the UNE 19601 Compliance Management Systems - Requirements with guidance for use.

Before 2004, she was a Member of Madrid Regional Parliament since 1999 and Vice minister of Environment and Regional Development in Madrid Regional Government from 1995 to 1999. Previously, she worked in different positions at Banco Zaragozano, in the Brussels delegation of the Spanish Confederation of Business Organizations (CEOE) and the National Confederation of Farmers and Ranchers (CNAG). Sylvia is an Agricultural Engineer from the Madrid School of Agricultural Engineers.

**Live session 1-2: UTC, 11:00 – 11:45**

**Is compliance enough?**

**Unpacking the compliance debate and the need for ethics integration**



José-Luis Fernández-Fernández

Director Iberdrola Chair in Economic and Business Ethics (ICADE Business Faculty)

Pontifical University Comillas

José-Luis Fernández Fernández is a Doctor of Philosophy (PhD), Master in Business Administration & Management (MBA) and, among other qualifications, is a graduate of the "Independent Directors Program" at ICADE, & the "Managing Ethics in Organizations" Program (Bentley University Whaltham, Massachusetts). He followed the course "Management Research in a Global & Changing Environment" at Harvard University; and one on "Cyber Ethics" at the Globethics.net Foundation (Switzerland).

He holds the CESCO Compliance Certification and is an accredited member of the Internationally Certified Compliance Professional (ICCP), recognized by IFCA. He is a legal expert in Compliance, certified by the Spanish Association of Compliance (ASCOM). Ordinary Professor at the Faculty of Business Administration & Economics (ICADE), at the Universidad Pontificia Comillas, he has been the head of the Iberdrola Chair of Economic & Business Ethics since 2003. Between 1993 & 2007 he was President of EBEN Spain.

Between 2000 and 2003 he was Vice Rector for International Relations and University Extension at Comillas Pontifical University. He is a Fellow of the Caux Round Table & Chairman of the Ethics and Social Responsibility Subcommittee -CTN 165 SC2- of the Spanish Association for Standardization (UNE). He was Chairman of the Boards of Directors of CIMEC & Inway Fieldwork.

He is currently a member of the Advisory Boards of several organizations. Among them, Sostenibilidad Ética (a consulting firm specialized in Business Ethics management); Impact Bridge (a company dedicated to the management of Impact Investment funds); Fundación Participa; as well as the Spanish Association of Compliance (ASCOM).

He lectures and frequently participates in various media -press, radio, television-. He has written several books on topics of his specialty & has published several scientific articles, some of them in high impact journals.



Irina Katysheva

Advisor of the Director of Department for countering misconduct

Bank of Russia

High education, Moscow Institute of Management (named after Sergo Ordzhonikidze) (now the State University of Management (GAU), graduated with honors), Member of the Institute of Internal Auditors since 2006.

Member of the expert group on AML/CFT, internal control

and regulatory (compliance) risk at the Expert group of the Committee of the Federation Council of the Federal Assembly of the Russian Federation on Budget and Financial Markets and at the Committee of the State Duma of the Federal Assembly of the Russian Federation on the Financial market. Head of the Compliance Development subgroup. MFC lecturer on compliance issues.

Experience in banks since 1994 as a securities trader for 6 years on different exchanges of MICEX, MCSE, MFB, back-officer and accountant, organizer of bond issue; Experience in compliance since 2004 as the Head of the Compliance Department of 2 top Russian banks, in KPMG in compliance risk consulting, in the Moscow Exchange Group (in NCO NCC (JSC)), in the Bank of Russia in the Department for countering misconduct.



Seán Wade

Director

Altravia Limited

Chair of Ethics Committee - Association of Compliance Officers in Ireland

Seán has been a compliance and governance specialist for over 35 years, having been a banking regulator for 14 years and then Head of Compliance for a leading Dutch insurance Group in Ireland (also 14 years). He was also HoC for the last 4½ years in Ireland's largest (State-Owned) health insurer, established in 1957 and authorised in 2015, which he joined in late 2012 to lead its authorisation application process.

In Seán's view, the severe impacts of the 2008 financial crisis and the unprecedented challenges presented by the global Covid-19 pandemic on citizens' health and wealth and on national economies, continue to undermine trust (in e.g. banks, insurers, investment firms, lawyers, accountants, regulators, politicians.... ) and highlight profound corporate culture weaknesses. Over the years, practices have been found to be illegal/unfair/unethical, to have involved reckless trading or profiteering and inflicted considerable customer detriment and, at a minimum, displayed very poor commercial nous or risk awareness.

Believing in the value and effectiveness of open, honest, constructive and committed stakeholder relationships, Seán would see Compliance Specialists as uniquely placed to support better holistic management of our businesses. With shared goals and responsibilities to deliver sustainable and commercial solutions, he believes in devising strategies that are truly customer-centric and commercial that can meet high ethical standards and customer, Board, regulatory and the public's expectations.

Seán was one of the founding directors of the Irish ACOI and second Chair, succeeding the architect/founder, Niall Gallagher. He was delighted to support the development of the then embryonic IFCA during his term as Chair and is very honoured to attend this conference.

He is an engaged and committed contributor, presenter and representative on compliance and governance issues.

### Live session 1-3: UTC, 11:45 – 12:30

#### The Compliance Officer as a leading role in organisations

#### How to persuade, motivate and role model people to achieve optimal compliance outcomes



Tadeo Leandro Fernandez

Private Sector Compliance Specialist

Inter-American Development Bank

Private Sector Compliance Specialist at Inter-American Development Bank (2018 to present). LL.M. Candidate at Georgetown Law.

Lawyer (Universidad Nacional de Córdoba - 2009), Specialization Degree in Tax Law (Universidad de Buenos Aires - 2014).

Former Legal Counsel at the Financial Intelligence Unit of Argentina (2012 to 2015).

Former Senior Associate at Estudio Beccar Varela (2015 to 2018). ACAMS Certified Anti-Money Laundering and Global Sanctions Specialist (CAMS/CGSS).



Jason Palmer

Senior Compliance Officer

Hewlett-Packard International Bank PLC

Jason is a Senior Compliance Officer with Hewlett-Packard International Bank, he is responsible for the Bank's general Compliance planning/monitoring, the ongoing development of the corporate governance and fitness and probity frameworks, and the Bank's adherence to Anti-Money Laundering regulations.

An experienced Compliance professional with over 32 years, experience in the financial services industry, with a passionate work ethic, that understands the need to be able to balance adherence to legal and regulatory requirements, whilst meeting the practical business needs.

Who has a passion for seeking to raise the 'Compliance Bar' through the on-going development of compliance culture / governance programmes and diversity and inclusion initiatives.

Previously, he has held AML/Compliance management roles in Rabobank (providing compliance support to the retail / wholesale banking / loan management operations) and the international life assurance / reinsurance operations of both AXA and HSBC. Prior to that, various insurance operational management / administrative roles in the United Kingdom.

Jason is an active member of the Association of Compliance Officers in Ireland (ACOI), and currently he chairs the ACOI Money Laundering Reporting Officers Forum and Membership Committee. He also acts as secretary to the Private Sector AML Forum and represents the forum at the Irish AML Steering Committee.



Nneka Gloria Nwaka

Senior Regional Compliance Officer (Africa)

MoneyGram International

Nneka is a Senior Regional Compliance Officer for MoneyGram International currently managing compliance advisory for Africa.

She is a passionate compliance officer; with international exposure and experiences ranging from developing and implementing compliance as well as Anti-Fraud programs, to monitoring and ensuring the effectiveness of the program across multiple organizations. She has 15 years cognate experience within banking and payment services.

Prior to working with MoneyGram, Nneka has worked with some of the major banks in Nigeria leading the Compliance Support and the Regulatory Compliance teams. She is well versed in relating with regulators and Law Enforcements across multiple jurisdictions as well as developing and implementing relevant compliance risk management processes to ensure that regulatory standards and expectations are met.

Nneka is a lawyer, a Certified Anti-Money Laundering Specialist, a Certified Fraud Examiner and a Fellow of the Compliance Institute, Nigeria.

### Live session 1-4: UTC, 12:30 – 13:15

#### It's all about business!

#### The business component and how compliance contributes to an organisation's objectives



María de las M. Archimbal

Chief Compliance Officer

YPF S.A

Lawyer from Universidad Católica Argentina, MA in International Relations and Negotiations from Universidad de San Andrés and Facultad Latinoamericana de Ciencias Sociales (FLACSO), MA in International Economic Relations from Universidad de Barcelona; She has a diploma in Oil and Gas from Universidad Austral and completed a MA in Administration and Public Policy from Universidad de San Andrés. She is certified as Leadership Professional in Ethics & Compliance by the Ethics & Compliance Initiative.

Between 2006 and 2012 she has worked in the Public Sector, as legal advisor in various areas of the Ministry of Industry at a National level. Between the years 2012 to 2016, she served as member of the Supervisory Committee and member of the Board of Directors at Nación Fideicomisos S.A., Operadora Ferroviaria Sociedad del Estado (SOFSE), YPF S.A., YPF GAS S.A. and VENG S.A., in representation of Sindicatura General de la Nación.

She has been a speaker in different national and international Congresses and published several articles on topics related to public law and public policies, internal auditing & accountability, and compliance. She is a former fellow of the International Visitors for Leadership Program (IVLP) of the Department of State of the United States on Accountability in Government and Transparency in 2013. Between 2016 and 2020, she served as Secretary General at Trenes Argentinos Operaciones where she led a team of 18 employees, acting as Secretary of the Board of the Company and supervising accountability, corporate governance, legal & public policy affairs of Top Management positions.

She was a member of the advisory unit of the Chief of Cabinet of the Ministry of Transportation.

During 2020, she served as Implementation and Monitoring Leader in the Compliance area of YPF S.A. She currently holds the position of Chief Compliance Officer at YPF.S.A.



Dmitry Nikitin

Chief Risk Officer

Tele2

Chief Compliance & Ethics Officer/Chief Risk Officer with considerable experience and knowledge in risk management, financial crime compliance (anti-bribery, AML, sanctions), personal data protection, internal controls, anti-fraud and forensics. Dmitry holds an International Diploma in Compliance of International Compliance Association, Manchester School of Business. He has produced a publication “Corporate risk management for AML/CFT purposes”/Moscow, Yurisprudentsiya, and since 2019 – present is a National Compliance Association, Member of Expert Council as well as Rosfinmonitoring (Russian financial intelligence unit) Compliance Council member.



Ibrahim Bello

Chief Compliance Officer

Coronation Merchant Bank

Ibrahim Bello is the Chief Compliance Officer at Coronation Merchant Bank responsible for the provision of operational and advisory support in the development and implementation of all Compliance and AML/CFT strategies and concerns. He is also charged with establishing strong compliance standards in accordance with industry and global best practices and acting as a liaison between the Bank and all regulatory and law enforcement bodies.

He has gained over 17 years' experience in Financial Control, Funds Management, Relationship Management, Compliance and Risk Management. He commenced his career at Saro Agro Sciences Limited in 2004 as an Accountant, and then progressed to the role of Financial Controller at Stanbic IBTC Pension Managers Ltd (a member of Standard Bank Group), gaining a mass of expertise in risk and compliance, stockbroking, relationship management and funds management, in a variety of positions across Stanbic IBTC group entities. Before he joined Coronation Merchant Bank, he served as a Compliance Manager at Citibank Nigeria Ltd (a member of Citigroup Inc).

He has an MBA from Warwick Business School and is a Fellow of the Institute of Chartered Accountants of Nigeria (ICAN), Compliance Institute of Nigeria, as well as an Associate Certified Anti-Money Laundering Specialist (ACAMS).



Alberto Gowland

Director

Autopistas Urbanas S.As

Alberto Gowland is a graduate of UCA Law's School. He has a wide experience in economic-financial management within the Government, stewardship and public works.

He was Deputy Director-General of the Public Prosecutor's Office of Buenos Aires. He oversaw controls and gave legal advice concerning contracts and property affairs.

Afterwards, he was appointed as Director of Subterráneos de Buenos Aires (SBASE) and then Vice Chairman of the Board. He was responsible for the company administration, and management of several projects regarding planning, operation and extension of the subway network. He also gave legal advice related to methods of recruitment.

In 2016 he was appointed as Deputy Secretary-General of the Resources Administration and Economic-Financial Management of the Ministry of Education of the Government of the City of Buenos Aires. There he managed the budget for construction works, maintenance and provisions of goods and services. As the ultimate authority of the Physical Resources Administration in the public education establishments of the City Hall he was in charge of recruitment, accrued budget, monitoring and certification of contracts in progress.

In 2017 he took over the General Accounting Office. He was responsible for the internal control body of the State. He laid out internal audit guidelines, led Internal Audit Units within jurisdictions, entities and companies. He also oversaw the internal control system and compliance of the issued technical guidelines

Currently, he serves as Second Vice Chairman at Autopistas Urbanas (AUSA), being chairman of the Compliance and Ethics Committee



Live session 1-5: UTC, 13:15 – 14:00  
Setting the right tone at the top  
Demonstrating leadership in compliance and  
understanding the mood in the middle



Evren Esen  
Vice President  
Research & Analytics, Ethics & Compliance Initiative

Evren has nearly two decades of experience conducting workplace research. She brings research leadership skills to ECI as head of the team that manages the implementation, analysis & reporting of ECI's premier, longitudinal study on workplace integrity, the Global Business Ethics Survey®(GBES®). Evren also oversees ECI's Advisory Services team, which engages with clients on various services, including culture assessments, program evaluation, & consulting utilizing ECI's tools to help organizations improve & strengthen their workplace culture. Before joining ECI, Evren spent 15 years at the Society for Human Resource Management (SHRM) as a researcher & then as director of workforce analytics, leading a team of researchers who published research content on HR topics, including employee benefits, job satisfaction & engagement. She also served as the organization's media spokesperson for its workplace research. Evren holds a BSc in biology - Virginia Tech, a Master of Social Work - Radford University & a Graduate Certificate in Survey Design & Analysis - George Washington University.



Carole Yanofsky  
Director Global Ethics & Compliance  
PwC

Carole Yanofsky is an ethics and compliance executive with over 25 years of corporate and legal experience. Carole is currently a Director in the Global Ethics & Compliance office of PwC. In that role, she provides support and guidance to the PwC global network of firms, which includes over 250,000 partners and staff worldwide. She leads a team that develops high quality training and communications to support and maintain an overall culture of compliance. She also provides expertise on corruption and competition risk as part of the firm's risk management program. Prior to this global role, she built and implemented a comprehensive ethics and compliance program to support PwC's Public Sector practice. Prior to her roles at PwC, Carole worked at the Public Company Accounting Oversight Board (PCAOB), first in the General Counsel's office, where she provided legal counsel to the Board and all divisions and offices of the PCAOB, and then as a Director in the Office of Compliance and Risk Management. Carole began her career as a litigator in Washington, D.C., working on civil, criminal and administrative proceedings as well as government ethics matters.



Kian Caulwell  
Head of Conduct Risk & Compliance Advisory  
KBC Bank

Kian is a chartered accountant & member of the Association of Compliance Officers Ireland, Consumer Protection Working Group. Within KBC Bank Ireland, Kian is responsible for the design & ongoing effectiveness of the Bank's Conduct Risk Management Framework, incorporating the Bank's consumer & investor protection obligations. Prior to joining KBC Bank Ireland, Kian was a director in a large UK consultancy firm, specialising in regulatory change programmes & complex regulatory investigations, in the areas of corporate governance, risk management, anti-money laundering & conduct of business.



Pia de la Cuesta Diz

Regional Compliance Officer Europe Africa & Airport Solutions,

TK Elevator

Pia is Regional Compliance Officer of TK Elevator AG for Europe Africa & Airport Solutions since Jan 2020, being the first point of contact for antitrust, anticorruption, trade control & anti-money laundering matters.

Previously she served as Regional Compliance Officer Iberia for thyssenkrupp AG.

Prior to joining thyssenkrupp in 2015, Pia served as local in-house counsel for Holcim (today LafargeHolcim) before becoming Corporate Compliance Counsel at the Holcim's Swiss Headquarters Zurich. Before Holcim she worked as an antitrust & commercial lawyer for Garrigues & CMS Albiñana & Suárez de Lezo.

Pia holds a Degree in Law - Salamanca University & Master's in European Law - Free University of Brussels (Université Libre de Bruxelles).