



Tuesday, 5th October 2021 - Day 2

Unpacking our regulatory and legislative landscape

Live Session 2-1: UTC, 13:00 – 13:40

A zero-tolerance approach

Best practise in antibribery and anticorruption



Federica Taccogna

Senior Managing Director (Partner)

FTI Consulting

Federica is a Partner in the Financial Services practice at FTI Consulting, where she has built and leads a team of regulatory experts who assess and investigate financial crime concerns on behalf of regulators and enforcement agencies globally and assist regulated firms in designing and implementing financial crime control frameworks.

Federica has led and been involved in numerous of the recent large-scale investigations (Swedbank, Latvian/ABLV flows, Vatican corruption, Italian Mafia) on behalf of regulators in Europe and the US, including a dual-track (criminal and regulatory) investigation into a major universal bank that revealed the facilitation of significant terror-related activity.

Federica translates her direct, hands-on, experience of investigating complex financial crime schemes (encompassing illicit use of shell companies/complex ownership structures, cryptocurrencies, hacking incidents, ransomware scams, identity theft schemes and bribery and corruption) involving a wide range of jurisdictions (including Lithuania, Estonia, Latvia, Malta, Cyprus, UK, US, Sweden, Italy, Libya, Hong Kong, the BVI, Panama, Bermuda and Curacao) into practical advice for supervisors and regulated firms and advises regulators and law enforcement agencies as to how to build and improve (intra-)jurisdictional infrastructure to prevent an investigate financial crime .

Federica is a strategic advisor to the Malta Financial Services Authority (MFSA) and Malta Financial Intelligence Analysis Unit on the topic of financial crime and served, on an interim basis, as Head of the MFSA's Financial Crime Unit in the wake of the Pilatus and Satabank scandals. She now advises the regulators and other government entities in preparation for an upcoming Moneyval assessment. She is a Board Director of Malta's ACAMS Chapter. In her early career, Federica set up and co-led an independent firm consulting financial services and government agencies in Europe on quantitative risk management and general compliance. Later, Federica held senior compliance and control roles in industry, setting up and leading control and compliance units. Federica is passionate about speaking about financial crime, the predicate offences that drive it, the small (but impactful) shortfalls that cause illicit flows to pass through the financial system, the consequences of financial crime and to provide pragmatic advice as to how to remediate them.



Carlos Fernando Guerrero Osorio

Partner

Guerrero C & L

Carlos is a legal advisor and litigator at his firm, Guerrero C&L. Mr. Guerrero graduated as a lawyer from University Externado de Colombia. He has two postgraduate degrees from the same University in Criminal Law and Criminology, and IP and New Technologies. Likewise, he has a LLM in Transnational Crime and Justice from University of Turin and UNICRI (United Nations Interregional Crime and Justice Research Center in International Crime and Justice). Mr. Guerrero has written different academic articles and participated as a speaker in different events. He has been instructor in several Colombian law schools and has professional experience in local legal firms and in the public sector, in which Mr. Guerrero was Director of National Special Prosecution's Office for Corruption at the Attorney General's Office.

Mr. Guerrero's current practice mainly focuses on anti-corruption legal issues, anti-contraband strategies, anti-counterfeiting, and litigation.



Dmitry M. Kurganov

Vice-president

National Compliance Association (Russian Federation)

Top-executive and board member at JPMorgan Chase (Russia), METRO AG (Germany), Rosatom (state-owned corporation), United shipbuilding corporation (state-owned corporation), Gazprombank, Binbank. USA, NYC, expert of the Russian Federation Government Trade representative office. Member of the Commission on Entrepreneurship Security and Non-Governmental Security of the Russian Union of Industrialists and Entrepreneurs (RSPP).

Ex-personal assistant of the Senator, deputy of the Committee of National defence and security of the Parliament of the Russian Federation. President and founder of “National Lobby Union” (Russia). Huge international experience in compliance, assets protection, security, risk-management, internal controls, audit and crisis management.



Solomon Abiakalam

Group Chief Risk & Compliance Officer

Cellulant (Fintech)

Solomon is Risk and Compliance leader. He has supported different international organizations in the Fintech, International Banking and Payments spaces to achieve their compliance and risk objectives in Sub-Saharan Africa. Solomon has been at the front of compliance development and the fight against financial crimes in West Africa. In addition to collaborating with regulators and law enforcement, he contributes as a subject matter expert in conferences, workshops, and industry journals. Currently, Solomon is part of Cellulant Group Executive Management. Cellulant is one of Africa's foremost multinational fintechs and Solomon leads its compliance, risk, and legal functions across 18 African markets. He was West Africa Head of Financial Crime Compliance at Standard Chartered Bank. Prior, Solomon was in HSBC as Vice President, Compliance and looked after West Africa. Solomon also had a successful stint at MoneyGram International as Regional Compliance Officer, Anglophone Africa. At MoneyGram he managed a large compliance portfolio with over 110 agent banks and money service businesses. A Certified Anti-Money Laundering Specialist (CAMS) and Certified Information Systems Auditor (CISA), Solomon also holds an MBA from the Lagos Business School of the Pan African University. He is agile, forward looking, practical, up to date with the latest developments in the Compliance space and with strong business acumen. Solomon believes disruptive financial solutions are key to achieving prosperity for Africa's teeming poor. This drives his current line of work, to unlock the potential value from connecting hundreds of millions of Africa's mobile users to payments that power their everyday lives.

Live session 2-2: UTC, 13:40 – 14:20
Stand up and be counted
Creating effective whistleblowing channels



Sebastian Torres

Chief Compliance Officer & Head of Internal Audit

YPF LUZ

Sebastian is the Executive Chief Compliance Officer and Head of Internal Audit with YPF LUZ, a leading energy company based out of Buenos Aires, Argentina, specializing in providing efficient thermal, cogeneration, distributed and renewable energy across the country, while contributing to the development of the energy industry in Argentina. In his role, Sebastian is responsible for the leadership, strategy, and oversight of the YPF LUZ Compliance and Risk Management Program, covering multiple areas including anti-bribery/corruption, anti-money Laundering, conflict of interest, risk management, privacy, international trade controls, internal investigations, whistleblowing line, training and policy development and review, among others. Sebastian joined YPF LUZ in May 2018 and is a member of the Company's Steering Committee and serves as Director of the Board of the Company's affiliates.

Prior to joining YPF LUZ, Sebastian was with General Electric (GE) for eighteen years, where he held key leading positions within Legal and Compliance across Latin America. Earlier in his career, Sebastian was with Deutsche Bank AG and BankBoston N.A. focused on risk management. With a practice that spans more than two decades, Sebastian has gained significant experience in building and strengthening Compliance programs and culture in a broad array of industries including financial services, energy, oil & gas, healthcare, aviation, and transportation. Sebastian is recognized for his deep domain and understanding of anti-corruption/bribery statutes including Argentina's Law on Corporate Criminal Liability, FCPA and UK Bribery Act among others and has participated in complex investigations/matters along those areas. Sebastian is an attorney admitted to practice in Argentina. He also holds a postgraduate degree in Energy Management and a Masters degree in Corporate and Business Law. Sebastian has participated in several Compliance conferences on topics ranging from regulatory matters to the development of Compliance management programs.



Elena Del Tiempo

Spain & Portugal Controls & Compliance Lead

Microsoft

Elena del Tiempo is Spain Portugal Controls Compliance Leads at Microsoft since November 2019. She holds a degree in Law and an MBA. Elena began her professional career in the Mobility Division of Siemens, S.A. and served as Divisional Compliance Officer and Strategy & Corporate Areas Director among others.

From 2010 to 2012 she took on the role of Regional Compliance Officer for Siemens Spain Group and in 2013 she started working at American Express Spain Group, where she implemented the Spanish Corporate Crime Prevention Model. In 2016 Elena joined Transfesa Logistic Group (Deutsche Bahn) as Chief Compliance Officer overseeing developing, directing and executing the overall Compliance Strategy. She is member of the Board of Directors of ASCOM (Spanish Compliance Association), professor at the Nebrija University and participates in conferences (C5 Anti-Corruption) and collaborates teaching in several institutions (Transparency International).



Linus Osita Okeke

Forensic & Integrity Services Leader (West Africa)

Ernst & Young

Linus Osita Okeke is EY Forensic & Integrity Services Leader for West Africa. He also is the Risk Management and Independence Leader for EY in its West Cluster comprising Ghana and Nigeria. Before joining EY in July 2012, he was Head of Forensic for Anglophone West Africa at another "Big Four" firm until June 2012.

His areas of focus include forensic/fraud & misconduct investigations, data privacy, anti-bribery & corruption, anti-money laundering, ethics & integrity, fraud risk management, dispute advisory, background checks, integrity due diligence, contract compliance and transaction forensics. He has facilitated training sessions on forensic investigation, fraud investigation/examination and various aspects of financial crimes for law enforcement officials as well as many private sector and public sector organisations. He has published many articles in both local and international journals. He has served as book reviewer for many legal texts. He also has presented several papers at both local and international conferences.

Linus is a lawyer by training and was called to the Nigerian Bar in 1993. He holds a Masters degree in Law (LL.M) from the University of Benin, Nigeria. Linus is a Fellow of the Compliance Institute, Nigeria.

Live session 2-3: UTC, 14:20 – 15:00
Compliance Tech
Emerging technologies applied to compliance



Sebastián Heredia Querro

Chief Executive Officer and co-founder

Tokenize-IT

Sebastián is an Attorney at Law (Córdoba Catholic University, Argentina). He holds a Masters Degree in Corporate Law (Austral University, Argentina), a Corporate Finance Specialization Degree and a Masters Degree in Finance & Fintech (ESADE Business & Law School, Spain). He is the Co-Coordinator of the Argentine Legal Working Group (GTL) at BIDLabs' LACChain. During the last 4 years, Sebastian's research interest rooted in the legal aspects related to Web3, Distributed Ledger Technologies, Blockchains and Smart Contracts. He has authored more than 50 publications, and recently published the first Spanish open-source Handbook on Smart Contracts and DLTs, available for free download.

He is co-founder and C.E.O of Tokenize-IT www.tokenize-it.com, a LegalFinTech company based in Argentina devoted to deliver Legal, Financial and Technological assessments, designs and software developments of tokenized Ecosystems and Solutions. He is a Corporate, Antitrust and Blockchain Law professor at several universities and Business Schools.



Diana Ramirez Sanchez

Head of IRM Product Management

RegTech Open Project

My professional career has always been focused on Internal Control System Management concerning Finance and Insurance business. I have run several consulting projects, supporting control functions such as Compliance and Internal Audit in their activities. During the last five years I have been involved in a relevant way in the development and delivery of Regulatory Services, giving great added value in the functional design of services and coordinating the development and user experience activities.

Currently, I am completing my path in the Regtech sector through the development of innovative services that leverage techniques of artificial intelligence and digital transformation.



Joe Beashel

Partner Financial Institutions Group

Matheson

Matheson is Ireland's largest law firm and is the law firm of choice for international companies and financial institutions doing business in and from Ireland. Ireland is a leading centre for financial services and technology services and both sectors are central to Joe's practice. He is a lawyer with over twenty years' experience, almost all of which were gained in the financial services.

Joe works both with large players and ambitious new businesses in this dynamic industry sector.

With his market leading team Joe assists clients with the authorisation of new entities by the Central Bank of Ireland (CBI) including banks (traditional and challenger), investment firms (MiFID), fund services providers, alternative investment fund managers, payment institutions / e-money institutions, virtual asset (crypto) service providers, retail credit firms/service providers and others. Technology is central to the success of financial institutions and particularly in recent years, we have seen a dramatic increase in the amount and variety of alternative financial services providers all of which leverage world class technology – Joe and team have been at the heart of these developments as they have worked with the most important firms active in this space in the country.

Before joining Matheson in 2004, he was the country head of the Irish fund administration unit of a leading international investment manager. His direct industry experience compliments his advisory role ensuring that his advice is clear and practical which is critical when dealing directly, as he does, with boards of directors, C suite senior management, in-house counsel, and compliance officers. The CBI is robust and assertive and issues which arise need to be handled carefully. Clients benefit from Joe's experience and that of the wider Matheson team in meeting such challenges.

Live session 2-4: UTC, 15:00 – 15:40

Global Trade Compliance

Understanding the global landscape with regards to sanctions, restricted parties screening, sensitive military, anti-boycotting



Pablo Ariel Giordano

Trade Compliance Senior Manager South America

Stanley Black & Decker

Pablo successfully implemented Trade Compliance programs for Corporations throughout South America, ensuring compliance with local laws and regulations related to international trade. Pablo's technical background includes expertise in Import and Export Compliance; specifically, Restricted Party Screening, Dual-Use Goods (Wassenaar Arrangement), Origin Determination, HTS Classification, Customs Broker Oversight and Audit, and Supply Chain Security (AEO / CTPAT).

Pablo holds a degree in Business Administration and a post-degree in International Trade and Integration Process, both obtained from the University of Buenos Aires. Pablo served as a professor at Escuela Argentina de Negocios, teaching various courses on International Trade topics. He has also participated as a speaker at the International Congress, delivering presentations on "Antiterrorism Policy of the Countries and Their Impact on Organizational Processes" and "Foreign Trade Planning in a Context of Uncertainty"

Live session 2-5: UTC, 15:40 – 16:20

Detect, address and monitor!

Ensuring the effective management of conflicts of interests in your organisation



Leonardo Etchepare

Director

Legal & Ethics

Mr. Leonardo Etchepare graduated as a lawyer in Buenos Aires University and is certified in ethics and compliance.

He specializes in ethics, compliance and anticorruption matters in Argentina for a diverse group of clients from different industries.

He also has led investigations involving allegations of bribes and kickbacks as well as FCPA and anti-corruption assessments across Latin America.

Before founding Legal & Ethics, he worked for eight years for YPF (one of the biggest Argentine companies and FCPA compliance) where he acted as the Ethics and Compliance Officer.

Alumni of the International Anti-Corruption Academy (IACA), member of the Committee for Academic Excellence and professor of the International Certification in Ethics and Compliance organized by the Argentine Association of Ethics and Compliance (AAEC).



Liliana Arimany

Global Compliance Director

CEVA Logistics

Global Compliance Director with more than twenty-five years of Compliance & Ethics experience in high technology and supply chain companies. Held numerous operational, customer service and trade compliance roles at country and regional levels, until becoming Global Compliance Director at one of the world's leading supply chain management companies, position she held until August.

Supports companies in global compliance and ethics matters and advises management to enable business compliantly. Leads and works in the design, development, and implementation of the Global Compliance & Ethics Program with focus on Code of Business Conduct, Anticorruption, Antitrust, Whistleblowing and Internal Investigations, Customer Compliance Due Diligence, Third Party Compliance Due Diligence and others.

Known for melting Compliance & Ethics with day-to-day business actions and using it as business differentiator. Energetic bilingual communicator, with a strong belief in leading and motivating others by example, is sensitive to customer needs, and passionate about culture and values.

Liliana Arimany was educated at Rosario National University and has a Compliance & Ethics Certification from Argentina's Association of Ethics & Compliance and University of CEMA and is an International Compliance Certified Professional by International Federation of Compliance Associations.

At Argentina's Association of Ethics & Compliance, she is a member of the Board of Directors and acts as Co-Director of Institutional Relations.



Gregory W. Bates

Counsel

Miller Chevalier

Gregory W. Bates focuses his practice on corporate compliance program issues with a particular expertise in anti-corruption compliance programming. He is experienced in white collar matters, internal investigations, and risk mitigation, particularly those related to the Foreign Corrupt Practices Act (FCPA). Mr. Bates played a leadership role in a Fortune 500 company's compliance program globally, having spent more than five years in-house in progressively more senior roles, culminating as the Compliance Director for the Latin American region and as counsel to global enterprise risk management and internal audit team. His role included overseeing compliance with the company's deferred prosecution agreement, consent agreement, and independent monitor. Mr. Bates is uniquely positioned to counsel clients on the risks and best practices associated with doing business internationally.

Prior to his in-house role, he was an associate at a law firm in Washington, DC, and Miami, where his practice focused on corporate compliance, anti-corruption, sanctions, and internal investigations.



Nataliya Solomatina

Compliance Director, PJSC

Moscow City Telephone Network

More than 17 years of management experience, more than 5 years - in creating and developing a compliance system, organizing anti-corruption measures and management of conflicts of interest.

Since 2019 - Compliance Director at Moscow City Telephone Network (telecommunications). The main tasks are the development of the corporate compliance system, ensuring compliance with the principles of business ethics and the requirements of anti-corruption legislation. Previously, managed the direction of compliance, organizational development, and implementation of corporate standards at the oil company Bashneft, headed the strategic planning department at the investment company Kapital, worked in the banking sector.

Education: State Academy of Management (Moscow), Russian State University of Oil and Gas, MBA in Strategic Management and Entrepreneurship, ICA International Diploma in Corporate Governance, Risk and Compliance.



Live session 2-6: UTC, 16:20 – 17:00

Effectively measuring compliance

Using KPIs and KRIs for measuring and enhancing compliance programmes



Alison Taylor

Executive Director

Ethical Systems

Alison Taylor is the executive director at Ethical Systems and an Adjunct Professor at the New York University Stern School of business. Her previous work experience includes being a Managing Director at non-profit business network Business for Social Responsibility and a Senior Managing Director at Control Risks. She holds advisory roles at ESG and risk consultancy Wallbrook and sustainability non-profit Business for Social Responsibility.

She has expertise in strategy, sustainability, political and social risk, culture and behavior, human rights, ethics and compliance, stakeholder engagement, anti-corruption and professional responsibility.

She is currently writing a book on the new landscape for business ethics, for Harvard Business Review Press. Alison received her Bachelor of Arts in Modern History from Balliol College, Oxford University, her MA in International Relations from the University of Chicago, and MA in Organizations Psychology from Columbia University



Pattison Boleigha

Group Chief Conduct & Compliance Officer

Access Bank PLC

Group Chief Conduct and Compliance Officer of Access Bank Plc, one of the top three banks in Nigeria with presence in 17 countries in Africa, Europe and Middle East and Asia. He has 30 years of banking experience with 17 years in AML/CFT, regulatory compliance, internal controls, Financial Controls and Audit.

He worked for thirteen years in Citibank Nigeria covering, Internal Control, Internal Audit, Operations and Financial Control.

Pattison is a Certified Anti-money Laundering Specialist (CAMS). He is also Certified in Risk Management Assurance (CRMA) and Certified in the Governance of Enterprise IT (CGEIT). Pattison is a Fellow of the Institute of Chartered Accountants of Nigeria, Fellow of the Compliance Institute, Nigeria, and an Honorary Fellow of the Chartered Institute of Bankers of Nigeria.

He has a Bsc Accounting degree from University of Nigeria, Nsukka, Executive MBA, from RSUST, Port Harcourt Nigeria; an Alumnus of INSEAD, Harvard Business School, London Business School and IMD Executive programmes.



Paul Zikmund

Chief Risk & Compliance Officer and Chief Information Security Officer

Berkadia

Paul E. Zikmund serves as SVP Chief Risk, Compliance & Information Security Officer at Berkadia. He is responsible for managing the company's enterprise risk management process, compliance programs and controls, internal audit function and directing strategy, operations and the budget for the protection of the enterprise information assets. Prior to his role at Berkadia, Paul served as a Director of Baker Tilly's Global Fraud and Forensic Investigations, Compliance and Security Services practice where he was responsible for helping clients develop, assess and administer ethics and compliance programs, conduct global and cross-border fraud and misconduct investigations, including, bribery, corruption and compliance matters and manage risks related to ethics and compliance failures. Prior to that, Paul served as Deputy CCO & Vice President Global Security, Bunge in White Plains, NY where he was responsible for development and implementation of Bunge's fraud, ethics, compliance and security risk management programs and controls designed to protect company assets, mitigate fraud and misconduct, ensure compliance with federal and state laws, protect company assets, and promote adherence to Bunge's core values.

Paul managed and conducted investigations of compliance matters, fraud and ethics violations. Paul assisted with the development and implementation of tools and techniques to mitigate enterprise security, fraud & compliance risk, manages the company's third-party risk management program, and administers security, compliance training and awareness programs. Prior to joining Bunge, Paul worked as the Senior Director Forensic Audit at Tyco International in Princeton, NJ and the Director Litigation Support Services at Amper, Politziner, & Mattia, LLP, in Philadelphia, PA where he was responsible for developing, implementing, and administering fraud risk management services to Tyco and to clients. He possesses nearly 28 years of experience in this field and has effectively managed global compliance and forensic audit teams at various Fortune 500 companies.



Robb J Canning

Deputy Ethics and Compliance Officer

Ernst & Young

Robb Canning is the EY Deputy Ethics & Compliance Officer for the Americas and has overall responsibility for the development of EY's ethics and compliance programs and effective implementation and monitoring of these programs throughout EY Americas. Robb has over 25 years of compliance, legal, and risk management experience in the financial services industry. Robb is a highly ethical and commercial business partner who seeks and executes practical solutions while managing risk.

Robb has created and led compliance programs and departments and set strategic direction to promote compliance with regulations and legal requirements in numerous jurisdictions across globe while operationalizing legal/regulatory requirements and best practices into all aspects of business. He has established global training and monitoring programs and drafted and implemented global compliance policies. Robb is a member of the Board of the Ethics & Compliance Association of the Ethics & Compliance Initiative. He holds an LLM in Insurance Law and a JD from the University of Connecticut School of Law, and BA in Political Science from The American University.