



Wednesday, 6th October 2021 – Day 3

The risk landscape and the role of compliance

2021 | IFCA INTERNATIONAL
COMPLIANCE
CONGRESS

Live session 3-1: UTC, 06:00 -07:00

Embracing technology and optimising compliance control

Effectively using data analytics, big data and remote technologies as a Compliance Officer



Luis Plaza

Compliance Lead

Microsoft

Lawyer by Universidad Complutense, Luis started his career working within Legal Department of Microsoft Spain & Portugal. After experiencing working in Education, IESE Business School and Salem International University, Luis has been the responsible for Compliance not only for Spain and Portugal, but currently on a regional capacity for Western Europe Headquarter organization. He is also a teacher on Instituto de Estudios Bursatiles and Loyola University in Andalucia among others.



Dr. Axel-Dirk Blumenberg

Independent lawyer, consultant, university lecturer, and writer

Dr. Axel-Dirk Blumenberg is an independent lawyer, consultant, author, speaker, and lecturer with extensive experience in corporate criminal liability, business crime and IT technology. He has worked for top-tier law firms both in Spain and Germany and an international IT Consulting firm. Axel is a lecturer and tutor of the Master in Compliance at the University of Castilla-La Mancha. His research focused early on Compliance with his doctoral thesis about market abuse. Axel has been one of the first students to finish his thesis in joint supervision between the University of Castilla-La Mancha and Passau. He also holds a Master's degree in business development.

He has assessed leading national and international corporations in the implementation of Compliance systems to prevent and detect criminal risks. Its advisory approach also considers business processes and IT aspects to ensure the highest level of compliance.

Through the importance of IT in Compliance, he developed a strong interest for the possibilities and risks of technology and its impact on Law, Compliance and fundamental rights. The protection of these fundamental rights not only affects the design of compliance systems but is also one of the biggest challenges for the digital economy.



Alexandra Rozina

Head of Division, Analytics Department (X-Compliance),

Interfax Group

Alexandra Rozina is the Head of Division of the Analytics Department of the X-Compliance project. She specializes in data analysis in such areas as AML/CFT, anti-corruption and sanctions risks. She joined Interfax Group in 2016.

Live session 3-2: UTC, 07:00 – 08:00
Cyber risk and security
Maximising control of your cyber environment

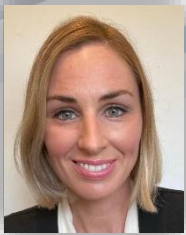


Loretta Joseph

Fintech Consultant

Bank of Mauritius and Vanuatu Financial Services Commission

Loretta is the Fintech consultant at the Bank of Mauritius and Vanuatu Financial Services Commission Vanuatu and is a board member of the Regional Centre of excellence (Mauritius) in collaboration with the OECD on Fintech. Loretta is an external resource to GIABA, she regularly advises several global organisations on responsible adoption of financial technology across policy makers, governments and industry, specifically blockchain. She has previously advised OECD and OSCE on digital assets and their impact in AML/CFT. Also, the MD of Lo-Jo Consulting. She was the fintech and regulatory consultant to the Government of Bermuda, presently, Serbia and the Premier office of South Australia. Loretta sits on the papal council of Humanity 2.0 the Developed in collaboration with the Dicastery for Promoting Integral Human Development at the Holy See and a consortium of leaders and luminaries. Loretta is a highly dynamic, skilled banking, financial and consulting professional with over 25 years in financial markets and related sectors. She has worked for major investment banks at Board, MD or senior management level throughout Asia and India including, RBS (India), Macquarie Group (India), Deutsche Bank, Credit Suisse and Elara Capital (India). Spanning a long career, Loretta has tremendous exposure to global financial markets, multiple asset classes and emerging market environments. Loretta has advised many international banks, global hedge and pension funds on managing portfolio and exposure to derivatives and related products. For the last decade, she has been paramount in successful transaction facilitation for Foreign Investors in India and other emerging markets. She has operated in many multi-cultural organisations. Loretta sits on the advisory board of UWS (Business School), Blume Ventures (India). She is also an adjunct fellow at UWS (Australia). She was previously Director of market development at SSX, is a Lifetime fellow of ADDCA (Australian Digital Currency and Commerce Association) chair of the Serbian blockchain Association. Loretta holds various advisory positions globally. She was the recipient of the Fintech Australia “Female leader of 2016” She was the recipient of the Fintech Australia “leader of 2017 and Sancta Sophia College (Within Sydney University) Alumni Award 2016, 2018 and current 2019 alumni Award recipient for Social impact. Loretta holds a Bachelor of Economics degree from the University of Sydney.



Annick O'Brien

Chief Operating Officer

Cybsafe

Annick is a seasoned lawyer with wide business experience internationally and across sectors. An expert in defining, driving and maintaining compliance and risk-management frameworks, she is a confirmed executive of culture change with extensive experience in corporate conduct, behaviour change and learning. She has a special focus on cyber, privacy, data protection and information security.



Stephen Hudson

Director - Financial Services Advisory

Grant Thornton

Stephen is a Director in Grant Thornton (Ireland) Financial Services Advisory practice and is a subject matter expert in Financial Crime Compliance with over 13 years' experience across multiple financial sectors including Brokerage, Life Assurance, Pensions, Investments, Funds, Wholesale Banking and Retail Banking. He previously worked for the Central Bank of Ireland supervising credit and financial institutions in their adherence to the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 (as amended). This included inspecting, guiding and challenging firms to ensure strong governance principles and effective risk management frameworks, policies and controls were in place to detect and prevent Money Laundering and Terrorist Financing. Stephen has devoted his career to date in the Financial Crime, Anti-Money Laundering and Counter Terrorist Financing space within the financial services industry. Highlighted below are several roles held:

- Irish Pillar Bank – Deputy Money Laundering Reporting Officer (MLRO)/Interim MLRO, where he was responsible for the review and update of the Bank's AML/CFT & Sanctions framework. He provided strong AML/CFT guidance, challenge and technical expertise to the Compliance team, Head of Compliance and Senior Management across the business.
- Central Bank of Ireland (Anti-Money Laundering Division) – Lead AML/CFT/FS On-Site Supervisor who co-ordinated AML/CFT/FS on-site inspections of credit and financial institutions across Ultra High/High, Medium-High and Medium-Low and Low risk sectors in Ireland. Sectors inspected include Banking (Retail & Wholesale), Funds, Life Assurance, Payment Service Providers, Retail Intermediaries. Deliver detailed post inspection reports and findings letters ensuring a consistent high quality of content and evidence to support findings.
- Irish Life Insurer – AML/CFT Compliance Manager who took the lead role in the design, development and implementation of an AML/CFT framework and the design and development of an AML/CFT Risk Assessment.



Live session 3-3: UTC, 08:00 – 09:00
Understanding the risk landscape
The role of the Compliance Officer in assessing and managing risk



Dave Montgomery
Chief Risk Officer

Revolut (Weath & Trading Ireland)

Senior Risk & Compliance professional – roles including Chief Risk Officer & Head of Compliance with responsibility for Anti-Money Laundering in multiple regulated sectors. Dave is the former regulator with the Central Bank of Ireland’s Supervisory Risk Division, involved in developing its risk-based approach to supervision and front-line supervision. Former Head of Risk & Regulatory consulting practice providing support and training to Directors and C-suite of regulated entities, oversight of implementation and effective embeddedness of risk mitigation plans, regulatory gap analysis and advice and support to Directors and Officers of regulated entities facing challenges. Dave is experienced with design and implementation of risk and compliance frameworks aligned to best practice & regulatory standards. He is a certified Data Protection Officer & designer of GDPR RegTech software solutions.



Juan Armendáriz,
Global Head of Internal Audit

Allfunds

Juan Armendáriz is the Global Head of Internal Audit at Allfunds, which is one of the world's leading wealthtech companies offering the largest fund distribution network globally. His main responsibility is to provide independent, reliable, valued, insightful and timely assurance to the Board and Executive Management over the effectiveness of governance, risk management and the internal control framework. Prior to this, Juan worked during ten years at Barclays’ Group Internal Audit function where he led multiple audit assignments across Europe, the Middle East and Africa. Between 2010 and 2013 he was the Chief Internal Auditor for Barclays Spain, covering the Retail, Corporate, Private Banking and Asset Management activities. His professional background also includes five years at EY where he worked as part of the Assurance team for financial services and two years at American Express in Madrid, Palma de Mallorca and Geneva. He is a strong advocate for internal control functions working together in order to maximize the value they provide to their organizations. Juan has a degree in Management Science from the University of Kent (Canterbury, United Kingdom) and the Université Jean Moulin (Lyon, France) and holds several certifications from the Institute of Internal Auditors.



Jose Manuel Garcelan
Chief Ethics & Compliance Officer

Grupo Antolin

Jose Manuel is an experienced Ethics & Compliance Privacy Officer, with a wide background from occupying positions of increasing responsibility in different multinational companies and industries. Currently as a CECECO, he is leading the successful implementation of robust, integrated and customized Compliance Management System program throughout 26 countries in Grupo Antolin. Previously, he worked in CHEMO and for 5 years, he worked as the Regional Compliance Officer & Privacy Director for MSD. Prior to that, he worked from 2006 until 2009 as the Compliance & Business Practices Director for the Spanish subsidiary at Schering Plough, after gaining extensive experience in other companies (Bel, Swatch, GSK). Jose Manuel received his Law degree from UNIR (La Rioja) and Economics degree from Complutense University (Madrid), and earned an MBA from EPHOS, he holds a European Health Care Compliance Certification (Science Po/ Setton Hall, Paris, France). He is a Certified Privacy Professional (CIPP/E) and master’s in legal –Compliance awarded by the University Carlos III (Madrid), he has been lecturer and speaker in congresses and round tables



Live session 3-4: UTC, 09:00 – 10:00
Integrating your Ethics and Enterprise Risk Management programme
Sharing a winning solution to a complex compliance puzzle



Blair C Marks
IFCA INTERNATIONAL
COMPLIANCE
Vice President, Ethics & Business Conduct

Lockheed Martin Corporation

Blair Marks is responsible for ensuring the application of Lockheed Martin's values in all aspects of operations. She leads a team of ethics professionals who support the enterprise by providing education and guidance; promoting open communication; assisting in the prevention, identification and resolution of issues; and investigating allegations of misconduct.

Previously, Ms. Marks led Lockheed Martin's ethics awareness and business conduct compliance education, international implementation of the ethics program, and external engagement including suppliers, colleges and universities. Earlier in her career, she managed both the C-5 Avionics Modernization and Reliability Enhancement and Re-engining Programs in support of the United States Air Force. She also was Plant Manager of the company's composites and adhesive bonding facility in Charleston SC, and both Deputy Director of Engineering and Marietta GA Site Director for the F-22 Raptor Program.

Ms. Marks holds a bachelor of ceramic engineering from Georgia Institute of Technology, a master of science in materials engineering from the University of Michigan and an MBA from Georgia State University. She holds certifications as a Certified Compliance and Ethics Professional and a Leading Professional in Ethics and Compliance.

Ms. Marks represents Lockheed Martin on the Working Group of the Defense Industry Initiative on Business Ethics and Conduct. She is a Fellow of the Ethics and Compliance Initiative (ECI.) She has served on Georgia Tech's College of Engineering and Women in Engineering advisory boards as well as the boards of the Georgia Youth Science and Technology Centers and the American Red Cross, National Capital Region. Ms. Marks has received the Women in Aerospace Outstanding Leadership Award and ECI's Carol Marshall Award for Innovation in Corporate Ethics.



Christopher Geiger
Enterprise Risk & Sustainability Director

Lockheed Martin Corporation

Christopher Geiger is Enterprise Risk and Sustainability Director for Lockheed Martin. In this role he leads Sustainability and Enterprise Risk Management program strategy, implementation, and stakeholder engagement for the company. He has been with Lockheed Martin for 20 years and was most recently the Engineering Director and Chief Engineer of the Enterprise Sustainment Solutions market segment specializing in avionics automated test equipment, logistics information systems, and aircraft ground support equipment. Christopher is also on the Board of Directors of Midflorida Credit Union, a \$5B assets full-service financial institution. He was previously chair of the Florida Professional Engineers in Industry and a local elected official in Florida. He frequently publishes and speaks on topics at the intersection of risk, sustainability, and resilience. Recent papers include "Resilience in Permanent Space Settlement" and "Integrating Space Sustainability into Double Materiality Decision-making and Reporting."

Christopher is a licensed Professional Engineering (PE) in Florida and Texas, UK Chartered Engineer (CEng), Certified Information Systems Security Professional (CISSP), Certified Internal Auditor (CIA), and a Board Leadership Fellow of the National Association of Corporate Directors. In addition, he is an Associate Fellow of the American Institute of Aeronautics and Astronautics (AIAA). He received a master's in business administration and bachelor's degrees in electrical engineering and chemistry from the University of Florida.