



Thursday, 7th October 2021 - Day 4

Compliance in market sectors – case studies and practices

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Live session 4-1: UTC, 09:00 – 09:45
Case study: Data Protection



Carlos Díaz Alsina

DPO / Compliance Officer

Triodos Bank

Carlos started his professional career as a lawyer 20 years ago, in a prestigious international law firm, awarded with multiple prizes, including Lawyer European Awards. From the beginning, specializing in the financial sector, more than 10 years ago he became part of the internal legal and compliance department within his current financial institution (Triodos Bank NV), performing various functions related to regulatory compliance MIFID, FATCA and CRS, AML&TF, marketing, transparency, insurance mediation, payment services, mortgage credit ... And, of course, Data Protection, currently being the Data Protection Officer of its Branch in Spain. He is therefore a great connoisseur of the regulatory framework applicable to a multitude of sectors, which facilitates the identification of the data life cycle and the possible impacts derived from its processing.

Carlos participates in the ASCOM's working group about compliance and new technologies and as a speaker in IECOM.

He holds a degree in Law from the RCU M^ª Cristina (Universidad Complutense de Madrid), a Master degree in Tax and Tax Consultancy (CEF) and is a certified Data Protection Officer in accordance with the certification scheme of the Spanish Data Protection Authority.

Live session 4-2: UTC, 09:45 – 10:30
Case study: Reputational Risk in a digital driven world



Diego Fernando Vargas-Ruiz

Director

Kroll Colombia

Diego Vargas is Director of Investigation and Disputes practice in Kroll Colombia.

Diego specializes in forensic investigations and has more than 15 years of experience in compliance programs, fraud and corruption prevention, economic crimes investigation, data analysis, computer forensics, e-Discovery, cybercrimes investigations, cyber risk, cybersecurity, and IT audits. He has participated in a wide number of projects in Colombia and internationally.

He had the opportunity to lead forensic services teams in the Colombia office of three of the Big 4 audit firms. Diego is Systems Engineer from Universidad Nacional de Colombia, a finance specialist from Universidad Externado de Colombia, and an MBA with emphasis on economic crimes and fraud management from Utica College (New York, USA).

He is internationally certified as CISA - Certified Information Systems Auditor (ISACA) and CEDS- Certified e-Discovery Specialist (ACEDS). He is a university professor in postgraduate courses and an international lecturer specializing in forensic auditing and fraud investigations.

Live session 4-3: UTC, 10:30 – 11:15
Case study: Pharmaceuticals



José Francisco Zamarrigo Izquierdo

Vice President

Asociacion Española de Compliance

Mr. José F. Zamarrigo has a Phd. on Economics & Business Studies by Universidad Complutense de Madrid, MBA on Business Administration by the University of Wales (Aberystwyth) and General Management Program in IESE Business School. He is Director of Farmaindustria's Code of Practice Surveillance Unit since 2004, Chair of the Codes Committee and Vice-Chair of EFPIA's Ethics and Compliance Committee, Member



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of EFPIA's Steering Committee since 2007 and Coordinator of the EFPIA e4ethics Initiative. He is also Chairman of IFPMA's Code Complaint Procedure Appeal Group since 2006 and Member of the Ethics and Business Integrity Committee (eBIC) since 2006. He has actively participated in several modifications of the EFPIA, IFPMA and Farmaindustria Codes.

He is the author of several publications and articles on the Spanish self-regulation system, the Spanish Code Surveillance Unit and the Spanish Code of Good Practices for the Promotion of Medicines and Interaction with Healthcare Professionals, marketing and generic medicines and compliance in the pharmaceutical industry. He has also participated as lecturer in more than 350 conferences dealing with the previous topics. Those worthy of mention are the ones at the Official Pharmaceutical Colleges, the Institute for International Research (IIR), national pharmaceutical industry trade associations of Argentina (CaEME), Colombia (Afidro), Chile (CIF), China (PhIRDA), Dinamarca (LIF), Estados Unidos (PhRMA), Filipinas (PHAP), Francia (LEEM), Grecia (SFEE), India (OPPI), Japón (JPMA), Korea del Sur (KRPIA), México (CANIFARMA), Rumanía (ARPI), Singapur (SAPI) y Suecia (LIF); other institutions as Yalku-Kon, EFAPCO, EUCOMED, EFPIA, IFPMA, Drug Information Association (DIA) and the Pharmaceutical Compliance Forum (PCF). He has also taught courses and seminars as a guest professor in more than 25 Spanish universities and professional schools.

Since May 2015 he has been a member of the Board of Directors of the Spanish Compliance Association (ASCOM). He is currently First Vice President and develops training activities on compliance at a general level and on the compliance of the pharmaceutical industry.

Live session 4-4: UTC, 11:15 – 12:00

Case study: Financial Services



Elena Díaz Latorre

Global Head of Compliance

Allfunds Bank

Elena Díaz Latorre was appointed in 2018 Global Head of Compliance at Allfunds Bank, the world's largest investment fund distribution platform, with a broad international presence in 15 countries in Europe, Asia and America.

Between 2013 and 2017, she was the Head of Compliance at Santander Spain, which encompass all the Santander Group's activities in Spain. Previously, between 2008 and 2013, she was the Chief Compliance Officer of Banco Banif, a subsidiary of the Santander Group until its merger with Banco Santander in 2013. She has also been a member of the Executive Committees of both entities, Santander Spain and Banif.

Elena has developed her professional career in the financial sector, mainly in the Santander Group, where, in addition to the above, she has held various positions in private banking, among others, as Head of Business Development and Head of Human Resources at Banif.