

**APCC Virtual Autumn Conference,
Day one – Wednesday 16th September 2020**

Agenda

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COMPLIANCE
RECRUITMENT
SOLUTIONS
by former Compliance Officers

09.55 – 10.00	Ian Beardmore – APCC Chair Welcome and introduction
10.00 – 10.40	Keynote Speaker - Graham Barrow Graham is well known in the industry as one half of “The Dark Money Files” podcast which has rapidly acquired pre-eminent status within Financial Crime Compliance departments and beyond for explaining a wide range of technical subjects in a light-hearted and easy to understand manner.
10.40 – 11.10	Martin Lines; Business Development Director, Just Group Plc Just Group Plc are one of the UK Leading Providers of retirement plans, and they will look at the issues faced in advice given by regulated firms and how to ensure that this is handled correctly when dealing with vulnerable clients.
11.10 – 11.15	Comfort break
11.15– 11.45	Craig Weston; Senior Associate Barrister, Irwin Mitchell LLP Back by popular demand! Craig will give a barrister’s perspective of their activities within enforcement and supervision. Craig will look at how their work is impacted by the regulator and how this shapes the outcomes of future ‘regulatory guidance’.
11.45 – 12.25	Dr David Doyle; EU Policy Expert, Financial Services Regulation, Brussels A review of the current and prospective EU regulatory developments in the financial services compliance space, drawing on perspectives from the European Council, European Parliament, Council and the ESA’s.
12.25 – 12.30	Comfort break
12.30 – 13.00	Matthew Tyrrell; Senior Manager, Accountable Executive Future of Data Collections, FCA Gabriel Project Team Providing an update and overview of the work and timescales for the Gabriel replacement system, showing what has been concluded to date and looking at the functionality it will provide to users, this will be followed by a Q & A/feedback session.
13.00 – 13.30	Roland Romata, R&R Compliance Consultants An update on GI.
13.30 – 13.35	Ian Beardmore – APCC Chair Closing remarks and a ‘see’ you tomorrow!

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09.55 – 10.00	Ian Beardmore – APCC Chair Welcome and introduction
10.00 – 10.40	Keynote Speaker - Caroline Rainbird; CEO, Financial Services Compensation Scheme Caroline will provide an update on the work undertaken at FSCS and the day to day challenges faced by them when the industry has failed its clients and how they plan and react to large failures within the Insurance markets.
10.40 – 11.10	Dr Roger Miles; Faculty Lead, UK Finance Academy (Conduct and Culture) What are the new indicators of ‘good Conduct’ and how should firms produce them? This session examines the nature of the new MI for Conduct, guiding consultants to include in clients’ Conduct reports more of the elements that ‘behavioural regulators’ now expect.
11.10 – 11.15	Comfort break
11.15 – 11.45	Peter Ewing; Technical Specialist, FCA Peter will be providing an update on SMCR since its implementation on 9 th December 2019 and looking at how this will progress in the forthcoming months. This is also a great opportunity to raise an issues as we will allow for a Q&A session.
11.45 – 12.15	Simon Collins; Managing Director, Financial Services Advisory, Konexo (a Division of Eversheds Sutherland) “Lessons learned in implementing SMCR.” Looking at how firms managed the implementation and meeting the deadlines and some of the challenges along the way – what worked well and what didn’t.
12.15 – 12.20	Comfort break
12.20 – 12.50	David Pelled; CEO, MLROs.com David will be looking at the need to break down silo walls to improve the conduct of the Financial Services sector. How do we improve culture and ethics in the industry for the top-down?
12.50 – 13.20	David Mellor; David Mellor Mentoring “Changing Tack” Making the transition from working full-time to semi-retirement.
13.20 – 13.30	Ian Beardmore – APCC Chair Closing remarks

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13.30 – 14.00

'Grab a cuppa'

A change from our usual networking session, but we would love for you to stick around and chat!