

DRAFT

# VIII ANNUAL ICA CONFERENCE

## "COMPLIANCE: expanding the boundaries»

**Date of event:**

May 23, 2019

**Venue:**

Moscow, Swissotel Krasnye Holmy, Kosmodamianskaya nab., 52, p. 6, Davos hall, 29 floor

**Time:**

Registration from 9.00 to 9.30

Conference from 9.30 to 17.30

Award ceremony from 18.00 to 19.30

### CONFERENCE OBJECTIVE

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**DISCUSS:**

- global changes, what could be changed and how it will affect business
- trends in the field of certification of companies

**LEARN:**

- regulatory compliance news
- new technologies and solutions for digitalization of compliance

**EVALUATE**

- how new technologies and IT solutions could be used by compliance managers in different industries
- effectiveness of sales compliance

**BE UP TO DATE:**

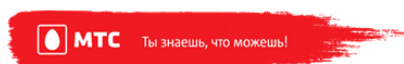
- what is risk appetite in relation to compliance risks

**SHARE EXPERIENCES:**

- how to solve ethical dilemmas

### PARTNERS

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### SUPPORTED BY

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## AGENDA

09.30 – 09.40

### Opening of the Conference. Welcome Remarks

Ekaterina Pustovalova

ICA Regional Director (Russia and CIS); President of ICS; FICA

## SESSION-1

09.40–11.00

Moderator

### WHAT is CHANGING AND HOW it AFFECTS compliance tasks?

Ekaterina Pustovalova

ICA Regional Director (Russia and CIS); President of ICS; FICA

09.30–09.40

#### PANEL DISCUSSION

We are talking about: digital transformation, the role of distributed resources in the creation and selection of the best solutions, the prerequisites for the development of competition between internal developments of companies with services and products of external providers, international relations, the trend of certification

- Federal program of Complex digital transformation of the Russian economy
  - what is digital vision driven by digital transformation?
  - what is the impact of Ecosystems (LifeStyle Banking), Open banking API as a marketplace on the non-banking sector
- Role of distributed resources in innovation, best decision making
  - Singularity NET Project-the world's first decentralized network of artificial intelligence
  - Top Link- the Platform for the formation of the knowledge base and joint work of the world economic forum
- Will the internal developments of companies compete with the solutions of external providers providing professional services, providing it solutions?
- Russia in international relations
- Quality, compliance, data protection. What is trend?

#### Participants

William Brian Howarth

President, International Compliance Association (ICA)

Alexander Pogudin

Member Of The Board Of Directors, Financial Technology Center Group

Denis Sokolov

Deputy director, Deputy Director, Department of Legal Policy and Social Development, Skolkovo Foundation

Andrey Emelin

Chairman of the National Financial Market Council, Award "Compliance 2016" Winner For Development of Compliance related Laws and Compliance Practices. "Tone at the Top"

Dr. Barbara Neiger

Lead Auditor Compliance Management Systems, author of the book "Successful Compliance - For Efficient Organisations With ISO 19600:2014 - The Practical Guide", MA, MBA

Larisa Zalomikhina

Senior managing director, Director of Compliance Department, Sberbank, Award "Compliance 2014" winner in the category "Best Compliance Officer in AML/CFT", Int.Dip. (Comp)

## COFFEE BREAK

11.00–11.30

## SESSION-2

### IS EVERYTHING IS CLEAR WITH THE RISKS?

11.30–13.00

Moderator

Ekaterina Pustovalova

ICA Regional Director (Russia and CIS); CEO, ICS; FICA

#### PANEL DISCUSSION

## **Talking about: compliance risks**

- Zero tolerance and risk-appetite
- A risk-based approach. Is it possible to simplify the redundant requirements for the customer profile with low risk? Overview of case studies
- Risks of corruption behavior of employees for companies: international practice and Russian realities»
- Examples of quantitative assessment of compliance risks
- Sanctions compliance, case review
- Why Western companies have transferred responsibility for the management of compliance risks Russian units?
- As the compliance assurance function. What does the Board expect?

## **Participants:**

### **Dr. Barbara Neiger**

Lead Auditor Compliance Management Systems, author of the book "Successful Compliance - For Efficient Organisations With ISO 19600:2014 - The Practical Guide", MA, MBA

### **Diana Vinokurova**

Director of legal Affairs, Carrier Refrigeration Rus LLC, winner of the Compliance 2017 Award For the promotion of compliance in the industrial sector

### **Igor Lebedev**

Partner, KPMG, Int. Dip (Comp)

### **Sergey Taut**

Expert, attorney, law firm Pepeliaev Group

### **Liudmila Aitova**

Head of Compliance Group, Daimler

### **Olga Zubrilova**

Head of Compliance Group, Eurasian Resources Group S. a.r.l., Int.Dip.(Comp), FICA

### **Oleg Danilin**

CEO, Neman Group, Int.Dip.(Comp), FICA

### **Rafael Zohrabyan**

Head of the legal function, Saint-Gobain

### **Julia Romashkina**

Director of compliance Department, JSC "MTS", the winner of the Award "Compliance 2015" "For promoting compliance practices", Winner of "Woman in Compliance Awards 2017, Chief Compliance Officer of the Year, EMEA", UK, Int.Dip. (Comp)

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**LUNCH**

**13.00–14.00**

**SESSION–3**

**14.00–15.30**

**REGULATION AND TECHNOLOGY  
NEWS**

**Moderator**

**Ekaterina Pustovalova**

ICA Regional Director (Russia and CIS); CEO, ICS; FICA

## PANEL DISCUSSION

### Talking about: digitalization of compliance and regulation changes

- Analysis technologies for employees and customers
  - Neural networks, cognitive system for analyzing the meaning of phrases (syntactic analysis)
  - Analysis of the emotional component: voice, facial expressions, behavior
  - Behavioral analysis: psihoterapiya technologies
  - Development of automatic on-boarding. Face recognition when opening an account
- Is "Right to be forgotten" working?
  - Regulation on principles rather than rules
  - What difficulties do I face with the new insider legislation?
- The draft law on the isolation of the Russian Internet segment and the draft code of ethics for the use of data, based on the results of Parliamentary hearings on Big Data and personal data
- Qualification of compliance specialists: formal and informal requirements

### Participants:

#### Alexander Naumov (TBC)

Chairman, Expert Group on AML/CFT, Internal Control and Regulatory (Compliance) Risks of the Expert Advisory Board under the Committee of Federation Council on Budget and Financial Markets, National Financial Market Council (NFMC), Int.Dip.(Comp)

#### Elena Biletskaya

Deputy Managing Director of EQS Group Russia & CIS

#### Oleg Kurzanov

Head of Risk, CEE/CIS Refinitiv

## COFFEE-BREAK

15.30–16.00

## SESSION-4

16.00–17.15

Moderator

### ETHICAL ASPECTS of COMPLIANCE IN PRACTICAL APPLICATION

Anton Subbot

AEB Compliance & Ethics Committee Chairman

## PANEL DISCUSSION

### Talking about: the ethical dilemmas of sexism, compliance, sales

- Sexism inside the company and in external communications. Corporate culture. Social networks. Analysis of cases. What are the consequences for companies?
- Ethical dilemmas. Analysis of cases. Do different types require different approaches to their solution?
- "Do the right things when no one is looking." Sales compliance. Analysis of cases. What is honest behavior with a client?

### Participants:

#### Alexey Muntyan (TBC)

Expert on personal data protection and information security, JSC "DHL international" (DHL Express), Winner of the "Compliance 2016" For personal contribution to the development of expertise in the field of personal data

#### Alexandr Bezborodov

AEB Compliance & Ethics Committee member

**Ekaterina Sheveleva**  
Head of Legal and Compliance, BEKO LLC RUSSIA

**Olga Ambrozhevich**  
Director, Compliance Department, Allianz

**Olga Ostrovskaya**  
Chief Compliance Officer, Posti Group

**Arina Sergievskaya**  
Head of business ethics department, OOO Unilever Rus

<b>17.00 – 17.15</b>	<b>DISCUSSION of conference topics. QUESTIONS AND ANSWERS</b>
<b>17.15 – 17.30</b>	<b>Speech of the inspiration leader</b> <b>Ekaterina Pustovalova</b> ICA Regional Director (Russia and CIS); President of ICS; FICA

**COCTAIL**

**17.30 – 18.00**

**COMPLIANCE – 2018 AWARDING  
CEREMONY**

**18.00 – 19.30**

**Masters of the Award Ceremony**

**Ilona Narolskaya (TBS)**  
Head of compliance control division– Vice-President,  
VTB Bank (PJSC), Int.Dip. (Comp)

**Swissôtel Krasniye Kholmy,  
Acapella restaurant**

**Alexey Sokolov (TBC)**  
Deputy Director, Department of Legal Policy and Social  
Development, Skolkovo Foundation