

compliance|risk|2020

December 4, 2020 | 1000-1800 (GMT+2) | ONLINE

About Conference

The II Annual Conference "Compliance Risk Management Compliance|Risk|2020" will be held in Kyiv, Ukraine, on December 4, 2020.

The conference aims to exchange experience in assessing and managing Compliance risk in financial institutions in accordance with the best international practice and regulatory requirements, as well as to discuss the role of the Compliance Function in protecting the rights of consumers of financial services.

The conference will be held online.

Simultaneous translation from/into English!

- How Should The Supervisory Board Focus On Compliance Risk?
- How Should The Compliance Function Protect The Rights Of Consumers Of Financial Services?
- How To Manage Compliance Risk In Practice?

Speakers



Dominique Menu
Independent Member of the Supervisory Board Ukreximbank (France)



Olha Lobaichuk
Head of Consumer Rights Protection NBU



Yulia Vitka
Deputy Chief of Party, USAID Financial Sector Transformation Project



Garth Bedford
Senior Operations Officer IFC (USA)



Dmytro Luchaninov
Head of Compliance PrivatBank



Vira Serdyuk
Chief Compliance Officer FUIB



Yuri Bondarchuk
Chief Compliance Office Idea Bank



Lyubov Litovchak
Chief Compliance Officer Pireaus Bank



Viktoriia Korniienko
Head of Operational Risk Management and Control Raiffeisen Bank Aval



Andrey Rylovnikov
Head of Compliance and Control Programs Raiffeisen Bank Aval



Ihor Olekhov
Partner of Financial Practice CMS Cameron



Jeremy Denton-Clark
Director GBRW Ex-CEO London Interstate Bank (UK)

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Who Should Attend

At your bank, financial or investment company:

- Chairman and members of the Supervisory Board and the Management Board
- Compliance Risk Officer
- Managers and specialists of divisions:
 - Compliance
 - Financial Monitoring
 - Risk Management
 - Operational Risks
 - Internal Control
 - Internal Audit
 - Information Security
 - Banking Security
 - Legal Service
 - Development and implementation of analytical systems and information technologies

Testimonies on our past conference

- *"I liked the high, professional level of speakers",* Dmytro Luchaninov, Head of Compliance, PrivatBank
- *"I liked the topics covered by the speakers. Interesting from the point of view of exchange of best practice among commercial banks and financial institutions",* Iryna Semchuk, Senior Auditor, NBU
- *"Compliance risk management is a very important issue today, this conference highlighted the most problematic areas. Practical examples in reports, involvement of experienced speakers in the speech",* Kateryna Dyachenko, Head of Operational Risk Department, Prominvestbank
- *"Valuable practical recommendations",* Svitlana Zvershkhovska, Head of Compliance, Sberbank
- *"The topic is new for AMC, it was very interesting and informative to listen",* Gemma Zamanova, Director, AMC "TEM"



Conference Speakers (confirmed)

- Dominique Menu, Independent Member of the Supervisory Board, Ukreximbank, ex- Member of the Supervisory Board, UkrSibbank, BNP Paribas Group (France)
- Garth Bedford, Senior Operations Officer, IFC (USA)
- Jeremy Denton-Clark, Director, GBRW, Ex-CEO, London Interstate Bank (UK)
- Olha Lobaichuk, Head of Consumer Rights Protection, National Bank of Ukraine
- Yulia Vitka, Deputy Chief of Party, USAID Financial Sector Transformation Project (Ukraine)
- Ihor Olekhov, Partner Financial Practice, CMS Cameron McKenna Nabarro Olswang, Co-Chair, Banking and Financial Services Committee of the American Chamber of Commerce in Ukraine
- Dmytro Luchaninov, Head of Compliance, PrivatBank (Ukraine)
- Vira Serdyuk, Chief Compliance Officer, FUJB (Ukraine)
- Lyubov Litovchak, Chief Compliance Officer, Piraeus Bank (Ukraine)
- Yuri Bondarchuk, Chief Compliance Officer, Idea Bank (Ukraine)
- Andrey Rylovnikov, Head of Compliance and Control Programs, Raiffeisen Bank Aval (Ukraine)
- Viktoriia Korniienko, Head of Operational Risk Management and Control, Raiffeisen Bank Aval (Ukraine)
- Vyacheslav Koval, Co Director, GARP Ukraine

Conference Program

The time is GMT+2

0930-1000 Participants' registration

1000-1010 Conference Opening

1010-1140 Panel Discussion: How Should The Supervisory Board Focus On Compliance Risk?

- How to effectively organize interaction and reporting between the Compliance Unit on the one hand and the Supervisory Board and the Management Board of the Bank on the other? Examples
- What are the most useful KRIs for Compliance Risk for the Supervisory Board?
- What are the most useful Compliance Risk reports for the Supervisory Board?
- The role of the Supervisory Board in ensuring the prevention of conflicts of interest in the bank as one of the key functions of the Board in risk management
- What are the tools of influence from Compliance to implement its recommendations? Examples

Panellists:

- Garth Bedford, Senior Operations Officer, IFC (USA) (moderator)
- Dominique Menu, Independent Member of the Supervisory Board, Ukreximbank, ex- Member of the Supervisory Board, UkrSibbank, BNP Paribas Group (France)
- Dmytro Luchaninov, Head of Compliance, PrivatBank
- Vyacheslav Koval, Co Director, GARP Ukraine

1140-1200 Break

How To Manage Compliance Risk In Practice?

1200-1240 Presentation: Operational Vs. Compliance Risk: The Process And Methodology Of Cross-Risk Management From Its Identification To Minimization And Subsequent Post-Control.

- Viktoriia Korniienko, Head of Operational Risk Management and Control, Raiffeisen Bank Aval
 - Andrey Rylovnikov, Head of Compliance and Control Programs, Raiffeisen Bank Aval
1. Determination of cross-risk for Compliance and Operational risks;
 2. Cross-risk assessment mechanism;
 3. Interaction of units in the implementation of cross-risk (identification of causes, mitigation)
 4. Monitoring the implementation of actions to minimize cross-risks.

1240-1320 Presentation: How To Implement The Anti-Corruption Program in a Bank?

- Yuri Bondarchuk, Chief Compliance Officer, Idea Bank
1. Regulatory regulation of anti-corruption activities in the bank
 2. Anti-corruption program and Anti-corruption commissioner
 3. Measures to control and combat corruption
 4. Practical cases

1320-1400 Break

How Should The Compliance Function Protect The Rights Of Consumers Of Financial Services?

- Moderator: Ihor Olekhov, Partner Financial Practice, CMS Cameron McKenna Nabarro Olswang, Co-Chair, Banking and Financial Services Committee of the American Chamber of Commerce in Ukraine

1400-1440 Presentation: The NBU Regulatory Prospects In Protection Of The Rights Of Consumers Of Financial Services. Why Do Compliance Functions Need To Prioritize This Task In Their Banks, Insurance And Financial Companies Now?

- Olha Lobaichuk, Head of Consumer Rights Protection, National Bank of Ukraine
 1. Legislation on consumer protection - key priorities of the Regulator
 2. Status of fulfilment of the first requirements of the NBU on consumer protection by banks and their analysis by the Regulator
 3. Consumer protection risk - assessment and supervision.
 4. The Regulatory prospects in consumer protection and approximate terms of its implementation.

1440-1530 Presentation: Protecting The Rights Of Consumers Of Financial Services: Where Are We Now And What More Needs To Be Done?

- Yulia Vitka, Deputy Chief of Party, USAID Financial Sector Transformation Project
 1. Dynamics and trends of compliance by banks and financial companies with regulatory requirements and standards for the protection of the rights of consumers of financial services (based on surveys and research by the mystery shopper method)
 2. What are the main gaps in the legislation of Ukraine to protect the rights of consumers of financial services in comparison with EU legislation and international standards? What is recommended for implementation in the first place in Ukraine?

1530-1610 Presentation: The UK's Experience In Protecting The Rights Of Consumers Of Financial Services. Cases Of Malpractice Of Selling Banking And Insurance Products.

- Jeremy Denton-Clark, Director, GBRW, Ex-CEO, London Interstate Bank (UK)

1610-1630 Break

How To Manage Compliance Risk In Practice?

1630-1710 Presentation: How To Conduct A Compliance Risk Self-Assessment? Examples Of Implementation

- Vira Serdyuk, Chief Compliance Officer, FUIB
 1. The purpose of self-assessment and expected results
 2. Preparation for self-assessment: methodology and forms
 3. Interaction of participants in the process of compliance risk self-assessment
 4. Processing the results of self-assessment of compliance risks

1710-1750 Presentation: How To Investigate Compliance Risk Incidents in a Bank? Cases Studies

- Lyubov Litovchak, Chief Compliance Officer, Piraeus Bank
 1. Types of Investigations into Compliance Risk Incidents.
 2. What is Forensic? Examples of its application at the level of the Compliance Division.
 3. Organization of the investigation. Action plan
 4. Important aspects during the interview.
 5. The main mistakes that arise during the investigation.

1750-1800 Conference Closing

The Program is subject to change.

About the Organizer

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consulting

Extra Consulting Ltd (www.extra-consulting.net) is a leading banking consulting and training provider in Ukraine. The company's Mission is to advise Ukrainian and CIS banks on the world best practice of management and advanced information technologies to improve their efficiency. This shall be achieved through the combined expertise of a network of international and local consultants. The Company has 20 year successful experience in delivering professional conferences and training – with Risk Management as the major topic. The Company initiated an establishment of the GARP presence in Ukraine in 2009 by taking part in setting up the GARP's Regional Chapter and in a successful launch of the FRM Certification. The company's experts successfully accomplished several consulting projects in Ukraine, countries of the Western Balkans, Eastern Partnership, Kyrgyz Republic, Tajikistan, Vietnam and Russia.