

DRAFT

THE V ANNUAL ICA CONFERENCE

“COMPLIANCE: OPTIMIZATION AND EFFECTIVENESS”

Date:

February 18, 2016

Time:

Registration: 9.00 am to 9.30 am

Conference: 9.30 am to 5.30 pm

The «Compliance 2015» Award Ceremony: 6.00 pm to 7.30 pm

Venue:

Swissôtel Krasnye Holmy, Zurich conference hall,
Kosmodamianskaya nab., 52 bld. 6, 115054 Moscow,
Russia

OBJECTIVE OF THE CONFERENCE

DISCUSS:

- **unification of approaches** of international organizations and government agencies to **compliance regulation and supervision**, and **ranking the liability** subject to presence or absence of compliance management systems

LEARN:

- **what activities and tools** can enable not only an **increase in the reliability** of compliance system performance, but also a **reduction of costs**
- what benefits the **Modern Behavioural Science** can provide to the **Compliance professionals**
- ISO version 2015 introduced “Delta Leadership”, a **new criterion for evaluation of management systems**. Why was it introduced? What lies in the heart of it?

EVALUATE:

- The extent, to which your internal control system is ready to **implement the declared standards** of business conduct,

BE UP TO DATE:

- **with the news** on compliance regulation and management
- **with results of brining to liability** of organizations and top management in 2015

SHARE THE EXPERIENCE:

- how to ensure staff **commitment to compliance**

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09.30 – 09.45	Opening of the Conference. Requirements to compliance systems in foreign practice and the impact of their fulfilment on liability for violations. The approach of different regulators in single jurisdiction. Viri Chauhan Global Head of GRC, ICT, training arm for ICA
SESSION – 1	
UNIFICATION AND COORDINATION OF INITIATIVES IN COMPLIANCE REGULATION	
09.45 – 11.00	
Moderator Ekaterina Pustovalova Regional Director (Russia and CIS), ICA; CEO, ICS	
09.45 – 10.30	PANEL DISCUSSION: Do we need coordination of initiatives and standardization of approaches in Russian compliance regulation practices? Moderator: Andrey Emelin Head of the National Financial Market Council Speakers: Andrey G. Tsyganov Deputy Head of the Federal Antimonopoly Service of the Russian Federation (FAS Russia) Dmitry Basnak (TBC) Director of the Department, The Ministry of Labour and Social Protection Elena A. Panfilova Vice-Chair, Transparency International; Chair of the Management Board, Transparency International – Russia TBC Representative of the Central Bank of the Russian Federation Zenkov Oleg Advisor to the Deputy Minister of Economic Development of the Russian Federation — head of the Federal Agency for State Property Management
10.30 – 10.45	TBC Natalia Travkina Senior Associate, PhD in Law, Pepeliaev Group
10.45 – 11.00	A new ISO member in the Compliance family – introducing the ISO 37001: Anti-Bribery Management System Standard. International standardization of assessment systems. Ruslan Yakimov Head of Compliance System Development group, PJSC “MTS”, Member of Project Committee ISO/PC 278 Anti-bribery Management Systems (ISO 37001), Award “Compliance 2013” winner in the category “Best Compliance Legal”, Int.Dip. (Comp)
COFFEE BREAK	
11.00 – 11.30	
SESSION – 2	
URGENT COMPLIANCE RISKS	
11.30 – 12.00	
Moderator Ekaterina Pustovalova Regional Director (Russia and CIS), ICA; CEO, ICS	
11.30 – 11.45	Impact on organizations of the national AML/CFT risk assessment focused on the industry, operations, or regulatory nuances. Alexander Naumov 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 and of the Expert Board under the Committee of State Duma on Financial Markets; Deputy Head, National Financial Market Council (NFMC), Int.Dip.(Comp)

11.45 – 12.00	Key compliance risks for 2015. Anna Maximenko Senior associate, Debevoise & Plimpton LLP
SESSION – 3 12.00 – 13.30	
REDUCTION OF COSTS AND AN INCREASE IN THE RELIABILITY OF COMPLIANCE SYSTEM PERFORMANCE Moderator Oleg Kourzanov Head of Business Development, Risks, Thomson Reuters 	
12.00 – 12.15	Recommendation of a compliance management system auditor on how to achieve effective compliance in the organization. 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
12.15 – 12.55	IT tools to improve reliability and reduce costs: Automating processes of internal control, certification, and generation of management information using the example of the anti-corruption compliance. Optimization: screening with mutual sharing of the results. TBC Thomson Reuters
12.55 – 13.30	PANEL DISCUSSION: Experience of organizations in implementing measures to improve the efficiency and reliability of compliance systems. Moderator: Ekaterina Pustovalova Regional Director (Russia and CIS), ICA; CEO, ICS Speakers: 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) Larissa Zyamzina Adviser to the Chief Executive Officer, “Samruk-Kazyna”/ Diana Aldanova, Senior specialist, Fund Transformation Team, “Samruk-Kazyna”
LUNCH 13.30 – 14.15	
SESSION – 4	
LEADERSHIP. COMPANY SHOWING THE WAY Moderator Ekaterina Pustovalova Regional Director (Russia and CIS), ICA; CEO, ICS 	
14.15 – 14.45	Quick Quiz: Leadership as a skill/personal quality and a management tool. Speaker: Oliver Bosc President & CEO, GE Healthcare Russia & CIS
SESSION – 5 14.45 – 15.30	
COMPLIANCE PROFESSIONAL: SKILLS AND QUALITIES Moderator Ekaterina Pustovalova Regional Director (Russia and CIS), ICA; CEO, ICS 	
14.45 – 15.00	“Delta Leadership”. Leadership VS Management: Reasons to shift to the new ISO approach and performance evaluation. TBC TBC
15.00 – 15.30	A new working tool: The Modern Behavioural Science – skills of behavioural analysis and content analysis helping to assess the validity. Situations and methods where a compliance professional can use the skills.

	Mikhail Krapivin Managing Director, Krapivin Group, Exclusive Licensed Provider of Paul Ekman Trainings in Russia
COFFEE BREAK	
15.30 – 16.00	
SESSION – 6	
16.00 – 17.30	
HOW TO ENSURE STAFF COMMITMENT TO COMPLIANCE?	
Moderator Falk Tischendorf Head of the Compliance Working Group of the German-Russian Chamber of Foreign Trade	
16.00 – 16.15	Company liability for compliance commitments it declares. Ekaterina Pustovalova Regional Director (Russia and CIS), ICA; CEO, ICS
16.15 – 16.45	What techniques and methods are effective in development of internal corporate values and internal and external communications. TBC
16.45 – 17.30	PANEL DISCUSSION: Compliance: Methods to deliver content and explain its importance. Sample communications. Moderator: Falk Tischendorf Head of the Compliance Working Group of the German-Russian Chamber of Foreign Trade Speakers: Ekaterina Karlova-Ignatieva Lead Country Compliance Officer, Siemens 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) Ludmila Aitova Local Compliance Manager, Mercedes Benz Olga Ostrovskaia Director, Ethics and Compliance, Itella
COCTAIL RECEPTION	
17.30 – 18.00	
THE “COMPLIANCE 2015” AWARD CEREMONY	
18.00 – 19.30	

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