

CONFERENCE OVERVIEW



In an era of increased regulatory scrutiny, particularly in response to the Hayne and Productivity Commission reports, technological advancement, investment complexity, economic uncertainty, competition and heightened customer expectations, it has never been a more urgent time for the financial services industry to prioritise operational risk management. The myriad of risks borne out of this increasingly complex and challenging environment and losses that can result both from external factors and from an organisation's internal failure to effectively manage people, processes and systems can seriously damage reputation, business viability and sustainability. It is crucial that relevant action is taking place front and centre to identify, mitigate, measure and manage these risks quickly and successfully.

This timely two day event, seeks to take a candid and in-depth look at this diverse range of operational risks, associated challenges and to discuss strategies and solutions to improving RM practices. A stellar line-up of industry experts, including a special international presentation from Andrew Sheen of Credit Suisse, and the Institute of Operational Risk, UK, will provide invaluable insights in solo and panel sessions, covering a range of topics including:

- Interpreting and identifying specific risks and their impact on operational efficiency and member/client outcomes
- Dissecting the provisions of the various regulations and the effect of new reforms to operational risk framework in FSI organisations
- Addressing the issue of risk culture and adopting best practices across all levels to have a tighter grip on risk compliance and control
- Determining Risk appetite, assessing risk and developing failsafe RM frameworks by selecting the best tools, techniques and strategies to implement
- Combatting specific challenges associated with regulatory, conduct, fraud, technology, data and third party risk
- Enlightening insights into the maturation of risk management and future outlook

This is the only comprehensive event addressing operational risk management in Australia, where information shared can be utilised and actioned immediately. Attendees will have the opportunity to gain a greater understanding of these risks and how best to manage them, in order to stay ahead of the curve and forge the most optimal way forward with control and confidence. Come solo or with your colleagues to this important event for 2019 to listen, learn and interact as the sessions unfold whilst enjoying the many opportunities to network during the breaks. Book today to save your place.

WHO SHOULD ATTEND ?

CROs, COOs, Directors and Managers of operational risk in roles across IT, data analytics and research, cybersecurity, compliance, fraud, control, conduct, audit and reporting in financial institutions; banks, superfunds; insurance companies, asset management organisations, risk consultants, regulators, lawyers, academics, service providers, software vendors, and other stakeholders.

INVESTMENT OPERATIONS RISK MANAGEMENT FOR THE FINANCIAL SERVICES INDUSTRY

25th-26th September 2019, Grace Hotel Sydney

DAY ONE

25th September
Wednesday

8.00 REGISTRATION AND NETWORKING

9.00 OPENING REMARKS FROM THE CHAIR



Stephen Huppert, Director, SH Consulting

9.10 IT'S A RISKY BUSINESS - RISING TO AND MEETING THE CHALLENGES OF INVESTMENT OPERATIONAL RISK ISSUES TODAY

KEYNOTE PANEL DISCUSSION

- Operating under multiple risks borne out of an increasingly digital and data led world, heightened regulatory scrutiny, member/client expectations, competition and market complexity and uncertainty
- Getting the board's buy-in to prioritise ORM
- Building a culture of risk awareness, trust and best practice
- Impact of findings from the Royal Banking and Productivity Commissions on risk management's programs to counter fraud, unethical behaviour, and underperformance
- Working more effectively with regulators to meet obligations
- Using technology and innovation to improve risk management processes

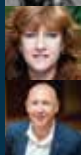


Moderator:

BRYAN WHITEFIELD, Director, Bryan Whitefield Consulting

Panellists:

CLOE REECE, Head of Risk & Compliance - Super, Investments, Platforms & Operations, BT Financial Group
NICOLA RIMMER-HOLLYMAN, Head of Internal Audit - Wealth, Bank and NZ | AMP



9.55 UK INSIGHTS INTO OPERATIONAL RISK MANAGEMENT

- The Level Playing Field for Operational Risk:
- The Standardised Approach for Operational Risk - The National Discretions
- Operational Resilience - the UK position
- Climate Change - The Bank of England's view
- Operational Risk Modelling - Where are we
- Brexit - The elephant in the room



ANDREW SHEEN, Former Head of Operational Risk Credit Suisse Non-Executive Director, Institute of Operational Risk, UK

10.40 MORNING TEA AND NETWORKING

Regulations

11.10 BENEFITS VS DRAWBACKS OF REGULATORY OBLIGATIONS FOR ORM

- Update on existing and new regulations for investment operations
- How regulations can be used effectively to reduce incidences of fraud, improved efficiencies and manager performance
- Challenges of meeting stringent compliance obligations
- What can be done to reduce the cost, time and resources needed to meet regulations satisfactorily

Moderator:

KYLE RINGROSE, Principal, Athena IOC

Panellists:

ANDREW SHEEN, Former Head of Operational Risk Credit Suisse Non-Executive Director, Institute of Operational Risk, UK
NATASHA HALL, MD, Hall Advisory



EMMA MURPHY, Head of Risk, Compliance and Customer Remediation - customer marketplace, Suncorp Group



11.55 POST HAYNE & PRODUCTIVITY COMMISSION REPORTS - INCREASING RISK MANAGEMENT PRACTICES TO MITIGATE FRAUD, MISCONDUCT AND UNDERPERFORMANCE & IMPROVE MEMBER/CLIENT OUTCOMES

- Shining the spotlight on misconduct, fraud, inefficiency and underperformance
- Increasing risk management programs in areas that need attention
- Building a culture of trust, exemplary conduct, and best practice
- Making ORM practices more member/client centric

Moderator:

KYLE RINGROSE, Principal, Athena IOC

Panellists:

STEPHANIE LYONS, Chief Risk Officer, EISS Super
MARTIN WALSH, Trustee Board Independent Director, IOOF Holdings Ltd
CHALISA PAREKOWHAI, Assoc Director of Policy, Australian Finance Industry Association (AFIA)



12.40 LUNCH AND NETWORKING

People and Culture

1.40 PSYCHOLOGY OF RISK, ENHANCED DECISION MAKING & RISK CULTURE

This session will investigate:

- Psychology of risk, enhanced decision making and risk culture
- How we think about risk, how we make decisions and the impact on regulatory compliance, innovation and performance
- Key aspects of the psychology of risk and risk leadership
- Approaches that improve risk culture and enhanced decision making across and organisation



DR GAVRIEL SCHNEIDER, Group CEO, Risk2 Solution

CASE STUDY

2.25 MITIGATING MAJOR OPERATIONAL RISKS

- Critical Operational Risk Management
- How well do your staff appreciate the critical operational risks they face?
- How to ensure the risks are fully communicated and understood
- Mitigators for critical operational risks
- Gathering insights into people's perceptions of operational risk management



THEO VOSNIDIS, Head of Investment Risk and Compliance, Cbus Super

3.10 AFTERNOON TEA AND NETWORKING

3.40 HOW TO MINIMISE RISK ASSOCIATED WITH THIRD PARTIES

- Understanding vendor and third party risk
- Developing risk profiles for service providers
- Monitoring and managing the relationship in an operational risk framework
- Formulating an effective end-to-end risk assessment framework



Connail McEvedy, Managing Partner, Risk as a Service, DXC Technology

Insourcing Risk Management

4.25 ASSET OWNER PERSPECTIVE - HANDLING OPERATIONAL RISK CHALLENGES IN-HOUSE

- How do you manage risk when resources are constrained
- The functions that can and cannot be insourced in the short to medium term
- Impact on custodian relationship
- Are we increasing operational risk by removing one layer of control
- Promoting risk awareness and risk management amongst staff



NARESH SUBRAMANIAM, Director, PwC

5.00 CLOSING REMARKS FROM THE CHAIR

5.00 - 6.00 ONE HOUR NETWORKING DRINKS



PANEL DISCUSSION

PANEL DISCUSSION

INVESTMENT OPERATIONS RISK MANAGEMENT FOR THE FINANCIAL SERVICES INDUSTRY

25th-26th September 2019, Grace Hotel Sydney

DAY TWO

26th September
Thursday

8.00 REGISTRATION AND NETWORKING

9.00 OPENING REMARKS FROM THE CHAIR



STEPHEN HUPPERT, Director, SH Consulting

Risk Appetite, Assessment, Strategy And Implementation

9.10 DETERMINING YOUR COMPANY'S RISK APPETITE FOR INVESTMENT OPERATIONS MANAGEMENT

- How to best align the Board's appetite to the risk management of the organisation
- How well does your team understand the operational risk appetite?
- Developing KRIs



Tim Boyle, Group Managing Partner, Blackhall and Pearl

CASE STUDY

9.55 IMPORTANCE OF A STRATEGIC RELATIONSHIP AMONG THE 3 LINES OF DEFENCE

- Clearly defining the three lines in operational risk management
- Strengthening defence through alignment
- Creating common risk taxonomy across lines of defence

10.40 MORNING TEA AND NETWORKING

11.10 DEVELOPING A FAILSAFE RISK STRATEGY AND FRAMEWORK

- How to design efficient internal control and accounting mechanisms,
- Centralise data
- Developing an effective operational risk model
- Successful quantifying and prioritising risks
- Targeted mitigation strategies and implementation



JOANNA FAUX, Head of Operational Risk Management APAC, Optiver

Unit Pricing

11.55 THE RISK OF ARBITRAGE IN UNIT PRICING

- Unitisation- the risks – higher costs, operational time pressures, process re-engineering



KYLE RINGROSE, Principal, Athena IOC

12.40 LUNCH AND NETWORKING

1.40 TECHNOLOGICAL ADVANCEMENT AND DISRUPTION RISK MANAGEMENT

- Optimising the benefits of technologies including RegTech, AI, RPA and Blockchain whilst facing and dealing with inherent risks
- Upgrading risk management capabilities to keep pace with technology and disruption
- Applying innovative and design thinking to enhance RM processes

Moderator:

STEPHEN HUPPERT, Director, SH Consulting

Panellists:

CONNUIL MCEVEDY, Managing Partner, Risk as a Service DXC Technology

DAVID JOHNSON, Executive Director of Business Transformation, IFM Investors

2.25 DATA DRIVEN RISK MANAGEMENT

- What kind of data does your organisation have
- The "7 Dangers" of document-based risk management
- Whether "working in documents" is materially damaging our value and relevance as risk professionals
- What is data driven risk management
- Data driven risk management techniques and common pitfalls
- Applying techniques to high risk areas - 1. AML's increasing regulatory burden and; 2. Keeping up with sophisticated fraudsters



MOSES MAIGURIRA, Pre-sales and Customer Engagement Leader, Data Driven Solutions Architect, Satori Group

3.10 AFTERNOON TEA AND NETWORKING

Maturation Of Risk Management And Future Outlook

3.40 RISK MANAGEMENT MATURITY. WHERE IS THE FINANCIAL SERVICES INDUSTRY UP TO?

- What does risk management maturity look like?
- Where do challenges remain?
- Under-reporting of risk events – why?



ELIZABETH SHEEDY, Professor and Program Director, Risk Management Stream, Macquarie Applied Finance Centre, Macquarie University

4.25 FUTURE OF THE FINANCE INDUSTRY AND OPERATIONAL RISK MANAGEMENT

- Emerging operational risks and how they will be managed in the future
- What tools and strategies will be employed to identify and mitigate risks in the future?
- How the changing nature of the banking and FSI industry will affect operations and the management of risk

Moderator:

KYLE RINGROSE, Principal, Athena IOC

Panellists:

STEPHEN HUPPERT, Director, SH Consulting

CHALISA PAREKOWHAI, Assoc Director of Policy, Australian Finance Industry Association (AFIA)

5.10 CLOSING REMARKS FROM THE CHAIR

5.15 CLOSE OF CONFERENCE



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INVESTMENT OPERATIONS RISK MANAGEMENT FOR THE FINANCIAL SERVICES INDUSTRY

25th-26th September 2019, Grace Hotel Sydney



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