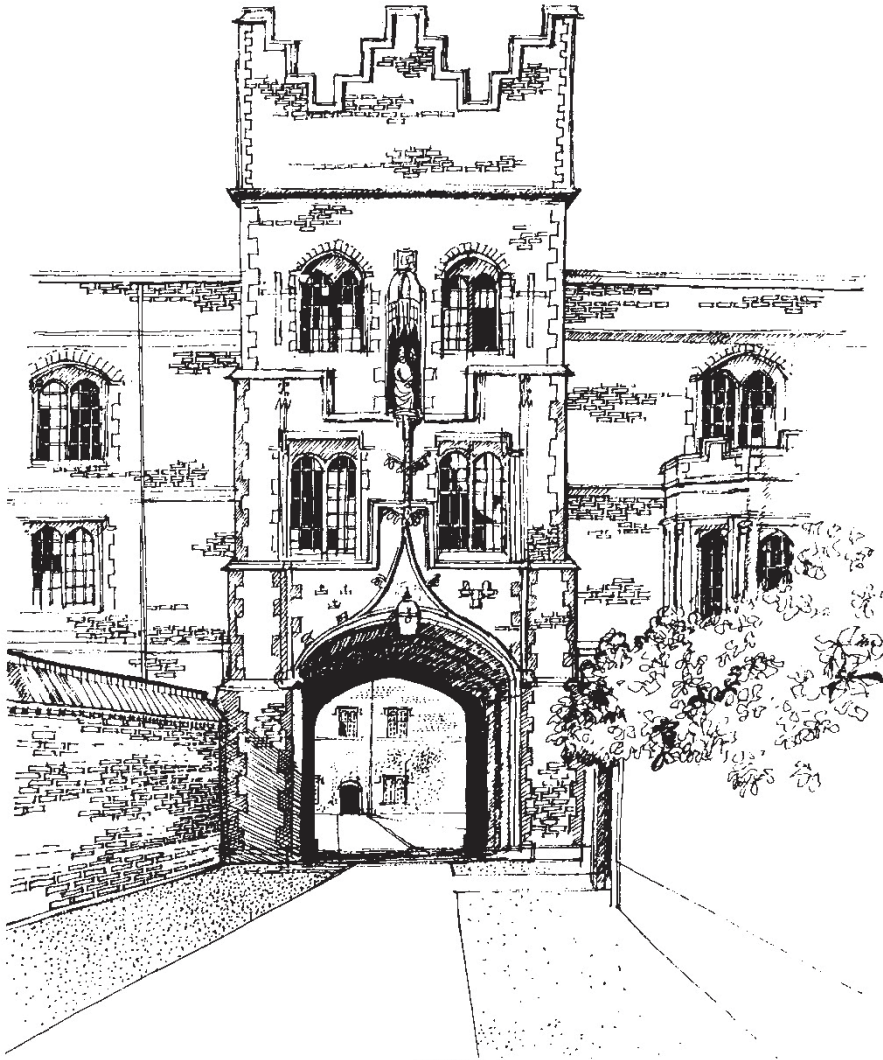


# THIRTY-THIRD INTERNATIONAL SYMPOSIUM ON ECONOMIC CRIME

SUNDAY 6th SEPTEMBER - SUNDAY 13th SEPTEMBER 2015

JESUS COLLEGE, UNIVERSITY OF CAMBRIDGE

## THE LIMITS OF THE LAW The role of compliance in the 21<sup>st</sup> Century



# *The 33<sup>rd</sup> Cambridge International Symposium on Economic Crime*

## **The Limits of the Law – the role of compliance in the 21<sup>st</sup> Century**

This year the Cambridge International Symposium on Economic Crime will celebrate its thirty-third year. It is a testament to the Symposium's unique blend of relevance, practicality and topicality that over the years it has enjoyed the support of so many institutions and experts from around the world. It also attests to the deep concern of governments, financial and other institutions and their professional advisers as to the extent of the risks to stability and security thrown up by economic crime and misconduct, and in particular organised crime. The annual Cambridge Symposium is a truly unique event, which, over the years, has made an unrivalled contribution to understanding the real issues involved in preventing and controlling economically motivated serious crime. As a uniquely respected and trusted international forum and network it has also made an impressive and meaningful contribution to fostering international co-operation and promoting mutual understanding and goodwill.

The Thirty-third symposium has as its overarching theme the vital role that compliance plays in promoting integrity and reinforcing the law. In recent years we have increasingly placed those institutions and their advisers who mind other people's wealth in the vanguard in reducing exposure to the risks presented by economic crime and subversion. The obligations that are placed on those who operate in the ordinary course of their business and profession in the financial sector are significant and the consequences of failing in the discharge of their compliance duties severe. The benefits to society by transferring legal and regulatory risk in this manner on to those who mind other people's wealth, as the agencies adopt disruptive strategies rather than those of the traditional criminal justice system, are sometimes less obvious. Getting the balance right in sharing the responsibility to protect our institutions, economies and ourselves is neither easy nor uncontroversial. Banks and other institutions devote vast resources to compliance and yet repeatedly they are sanctioned for not doing enough. Notwithstanding the serious regulatory, legal and financial consequences of all this, little considered thought has been given to the issues let alone to the future. The Symposium seeks to address this deficit in a practical and informed manner in its plenary sessions, numerous specialist workshops and think tanks.

While the primary focus of this year's symposium is on the risks related to compliance, as in previous years the programme includes a host of other issues, some more related to the theme than others, which are of pressing concern to those seeking to protect the integrity and stability of financial and business institutions and the wider economy. In particular this year we will be focussing on strategies that are being developed within law enforcement and the regulators to target key facilitators and the choke points in the flow of crime related wealth. Relevant to, but also beyond this, will be the concern to improve the effectiveness of anti-corruption laws particularly in regard to the financial sector and law enforcement itself. We will also give considerable emphasis to the sharing of information between the public and private sectors both domestically and internationally. The programme provides a unique opportunity, at a very practical level, to share the experiences of over 360 specialist speakers and panellists in the prevention and control of risk to the integrity and stability of the financial system and those who operate within it.

The Symposium brings together in one of the oldest medieval Colleges within the University of Cambridge, ministers, legislators, senior officials, diplomats, judges, regulators, law enforcement, intelligence and security officers, financial intermediaries, bankers, professional advisers, compliance and risk officers and scholars from around the world. Last year the symposium attracted well over 1,600 participants from over 100 countries.

The programme is structured to provide a depth and breadth of opportunity - second to none, for those participating in the programme to become aware not only of existing, but also new threats, and how best to address them. Through the numerous plenary and other workshops and in particular the considerable opportunities to meet colleagues socially, there is a degree of interaction and collaboration that could only be encountered in an institution that has the highest world reputation for learning and research. The University of Cambridge, collaborating with a host of distinguished institutions throughout the world, offers a wholly different experience in addressing these fundamentally important issues.

The Cambridge Symposium is not and has never been just a conference. It is organised on a non-profit making basis by some of the world's most respected academic and research institutions with the active involvement and support of numerous governmental and inter-governmental organisations. It was established to promote meaningful international co-operation – in the fight against financial crime. Its record is its best testimonial. Successive symposia have made a real contribution – at all levels, to promoting stability, good governance and the disruption and control of serious crime and terror. Those who are concerned to protect and promote the integrity and wellbeing of their national economy, institution or enterprise – or who are concerned to better understand the risks facing business today, cannot afford to miss this very special event.

Professor Barry A.K. Rider OBE  
Founding Director and Co-Chairman  
Jesus College  
Cambridge.

**Sunday, 6<sup>th</sup> September 2015**

**13:00** Registration in the Marquee, Jesus College, Cambridge

**18:30** Cocktails in the Marquee

**Dinner** in Hall and Upper Hall, Jesus College

A civic welcome will be extended by **Counsellor Robert Dryden**, the Mayor of Cambridge after-dinner addresses will be given by **Alderman Sir Paul Judge**, Alderman and former Sheriff of the City of London, Director of the UK Accreditation Service and Benefactor of the Judge Business School, University of Cambridge, **Mr Saul Froomkin QC**, Chairman of the Symposium and the Committee of the Organising Institutions, Chairman of the Centre for International Documentation on Organised Crime Centre, former Attorney General and Solicitor General of Bermuda and Director of Criminal Law, Federal Government of Canada and currently Director, Head of Litigation, BeesMont Law Limited, Bermuda, and **Professor Barry A.K. Rider**, Founder, Director and Co-Chairman of the Symposium, Professorial Fellow, Centre of Development Studies, University of Cambridge, Professor of Comparative Law, Renmin University, PRC, Professor of Law, University of the Free State, South Africa and BPP University, Master of the Bench of the Inner Temple and former Director of the Institute of Advanced Legal Studies, University of London and sometime Fellow of Jesus College, Cambridge, introduced by **Colonel Robert Murfin DL**, President of the Fellowship of Clerks of the City of London and Clerk to the Worshipful Company of Pattenmakers of the City of London, UK

**Monday, 7<sup>th</sup> September 2015**

**08:00** Opening Addresses

Chair: **Mr Saul M Froomkin QC**, Symposium Chairman

- **The Rt Hon Mr Robert Buckland PC, QC, MP**, HM Solicitor General for England and Wales, UK
- **The Rt Hon The Lord Mayor of the City of London, Alderman Alan Yarrow PC**, Chairman, Chartered Institute for Securities & Investment, UK

**Keynote Speeches**

- **Mr David Green QC**, Director, Serious Fraud Office of England, Wales and Northern Ireland, UK
- **Mr Donald Toon**, Director, Economic Crime Command, National Crime Agency, UK
- **The Hon Dr Ye Feng**, Secretary General, International Association of Anti-Corruption Authorities Qatar and Vice President, International Association of Prosecutors and former Director General, Supreme People's Procuratorate of the People's Republic of China
- **Mr Leonard McCarthy**, Integrity Vice-President, The World Bank, USA
- **The Hon Mrs Judith Jones-Morgan**, Attorney General, St Vincent and the Grenadines
- **The Hon Mr Luis Cevasco**, Deputy Attorney General, City of Buenos Aires, Argentina
- **Mr Ciaran Martin**, Director General for Government and Industry Cyber Security GCHQ, UK
- **Alderman Sir Paul Judge**, Alderman and former Sheriff of the City of London, Director of the UK Accreditation Service and Benefactor of the Judge Business School, University of Cambridge, UK
- **The Hon Judge Frederik Brand**, Judge of the High Court of South Africa and Professor Extraordinarius, Faculty of Law, University of the Free State, Republic of South Africa
- **The Hon Mr Theodore Huckle QC**, HM Counsel General for Wales and Master of the Bench of Lincoln's Inn, UK
- **The Hon Mr Luis Cevasco**, Deputy Attorney General, City of Buenos Aires, Argentina
- **The Hon Worgu Boms**, former Attorney-General of The River State, Nigeria

**10:45** Coffee

**Keynote Addresses (continued)**

Chair: **Mr Saul M Froomkin QC**, Symposium Chairman

- **Shri Najib Shah**, Director General, Directorate of Revenue Intelligence, Government of India
- **Ms Jennie Granger**, Director General of Enforcement and Compliance, HM Revenue and Customs, UK
- **Mr Tatsuya Inagawa**, Director-General, General Affairs Department, Supreme Public Prosecutors Office Ministry of Justice, Japan
- **The Hon Dr Guiseppe Lumia**, Member of Italian Senate and former President of Italian Parliamentary Anti-Mafia Commission, Italy
- **Ms Julie Read**, Director, Serious Fraud Office New Zealand
- **Dr Chung-yi Wang**, Director-General, Investigation Bureau, Ministry of Justice, Taiwan
- **Mr Martin Kreutner**, Dean and Executive Secretary, The International Anti-Corruption Academy, Austria
- **The Hon Mr Masayuki Yoshida**, Commissioner, Securities and Exchange Surveillance Commission, Japan
- **Mr Hongtao Qin**, Founder and President of Hengchang, Hengchang Litong Investment Management (Beijing) Co. Ltd, People's Republic of China
- **Mr Frank Cassidy**, National Member for Ireland, Eurojust, The Hague, The Netherlands
- **Mr Carlo van Heuckleom**, Director, Economic Crime Business Area, Europol, The Hague, The Netherlands

13:00 Lunch in Hall and Upper Hall, Jesus College

14:00 Group Photograph, Jesus College

14:30 Keynote Addresses (continued)

Chair: **Mr Saul M Froomkin QC**, Symposium Chairman

- **Mr Tan Ken Hwee**, Chief Prosecutor (Financial Crimes and Technology Division), Attorney General's Chambers, Singapore
- **Professor Mads Andenas**, UN Human Rights Mandate Holder, Chairman of UN Working Group against Arbitrary Detention, Professor of Law at the Universities of Oslo and Leicester, Senior Research Fellow at the University of Oxford and the IALS, and Master of the Bench of the Inner Temple and former Director of the Norwegian Centre for Human Rights and Director of the British Institute of International and Comparative Law
- **The Hon Dr Ching-Chang Yen**, former Minister of Finance, Taiwan and Chief Advisor, Taiwan Financial Services Roundtable (TFSR), Taiwan
- **Mr Nicholas Ilett**, Advisor, European Commission Anti-Fraud Office, Brussels, Belgium
- **Professor Datuk Rifaat Ahmed Abdel Karim**, former Secretary-General, Islamic Financial Services Board and Research Professor, International Centre for Education in Islamic Finance (INCEIF), Malaysia
- **The Hon Dr Sush-Der Lee**, Chairman, Taiwan Stock Exchange, Taiwan Financial Services Roundtable and former Minister of Finance, Taiwan
- **The Hon Mr William Frei**, Chargé de Relations to the European Parliament, Mission of Switzerland to the European Union, Belgium
- **Professor Barry A.K Rider**, Founder and Executive Director and Co-Chairman of the Symposium, Professorial Fellow, Centre of Development Studies, University of Cambridge, UK

15:30 Session Ia: The role of compliance in the modern world

Chair: **Mr Michael Ashe QC SC**, 9 Stone Buildings, London, Co-Chairman of the Symposium, Recorder of the Crown Court, England and Wales and Master of the Bench of the Middle Temple

- **Mr John Moscow**, Partner, Baker & Hostetler, USA and former Assistant District Attorney, Office of the District Attorney of New York, USA
- **Dr Shailaja Fennell**, Lecturer and Assistant Director, Centre of Development Studies, University of Cambridge and Fellow and Graduate Tutor of Jesus College, Cambridge, UK
- **The Hon Justice Abdulai Sheikh Fofanah**, Justice of Appeal, Sierra Leone
- **Professor Hans Geiger**, Emeritus Professor of Banking, Swiss Banking Institute, University of Zurich, Switzerland
- **Professor Johan Henning**, Senior Professor of Mercantile Law, Distinguished Emeritus Professor and sometime Dean of Law, University of the Free State, Republic of South Africa and Visiting Professor of Corporate Law, BPP University, UK
- **Dr Alain Sham**, Deputy Director of Public Prosecutions and Head of Corruption and Commercial Crime, Department of Justice, Hong Kong SAR, People's Republic of China
- **Professor Chizu Nakajima**, Co-Director of the Symposium, Professor of Corporate Law and Governance, Guildhall Faculty of Business and Law, London Metropolitan University, Visiting Professor of Comparative Law, BPP University and Affiliated Lecturer, University of Cambridge, UK

**PARALLEL PLENARY WORKSHOP I – 14:30 to 16:00**

**Specialised workshop organised by the Wolfsberg Group  
A Bank's end to end financial crime risk management programme**

**Chair: Mrs Susan Wright**, Global Head Financial Crime External Relations, HSBC Holdings plc & Co-The Wolfsberg Group, UK

**Mr Jason Haines**, Senior Manager, Financial Crime External Relations, HSBC Holdings plc, UK

**Ms Valerie Leila Jaber**, Former Global Financial Crimes Compliance Head, Asset Management, JP Morgan Chase, UK

**Ms Genevieve Rose**, Director, Global Financial Crimes Compliance Executive, Bank of America Merrill Lynch, UK

**Ms Emma Smith**, Head of Threat Groups and Taskforces, Economic Crime Command, National Crime Agency, UK

**PARALLEL PLENARY WORKSHOP II – 14:30 to 16:00**

**Compliance issues as they concern the institutions of the European Union**

Convened by **Dr Simone White**, Legal Officer, European Commission Anti-Fraud Office, Belgium

16:00 Tea

16:15

**Session Ib:**

Chair: **Mr Michael Ashe QC SC**, 9 Stone Buildings, London, Co-Chairman of the Symposium, Recorder of the Crown Court, England and Wales and Master of the Bench of the Middle Temple

- **The Hon Justice Olayinka Faji**, Judge of the Federal High Court, Nigeria
- **Professor Antonello Miranda**, Professor of Comparative Law and Dean of the School of Social Sciences, University of Palermo, Italy
- **Mr Andrew Boye-Doe**, Secretary and Director, Bank of Ghana, Ghana
- **Mr Chris Blackhurst**, Columnist and Business Commentator for the Independent and Evening Standard and former Editor, the Independent, UK
- **Ms Anne Sheedy**, Head of Financial Crime and Strategic Intelligence, CIFAS – The UK’s Fraud Prevention Service, UK
- **Mr David Stevens**, Integrity and Law Manager, Institute of Chartered Accountants in England and Wales, UK
- **Professor Janusz Bojarski**, Professor of Criminal Law and Criminal Policy, Nicolas Copernicus University, Poland
- **Cdor Raul Saccani**, Partner, Deloitte, Argentina
- **Mr Obot Udofia**, Assistant Director, AML/CFT Office, Financial Policy and Regulation Department, Central Bank of Nigeria
- **Dr Domitilla Vanni di San Vincenzo**, Lecturer in Comparative Law, University of Palermo, Italy

**PARALLEL PLENARY WORKSHOP III – 16:15 to 18:00**

**The long reach of US law and its impact on compliance practices in the UK and elsewhere**

Chair: **Professor Philip Rutledge**, Partner, Bybel and Rutledge LLP, Visiting Professor in Securities Law, BPP University and former Chief Counsel, Pennsylvania Securities Commission, USA

**Mr Tom Newkirk**, Partner, Jenner & Block LLP and former Associate Director, Division of Enforcement, Securities and Exchange Commission, USA

**Professor Stuart Bazley**, Barrister, Consultant and Professor in Financial Law and Compliance, BPP University, UK

**Professor Andrew Haynes**, Director, Institute of Financial Law, University of Wolverhampton, UK

**Mr Ian M. Comisky**, Partner, Blank Rome LLP, Philadelphia and former Assistant US Attorney, Southern District of Florida, USA

18:30

Cocktails in the Marquee generously hosted by **Centre for Financial Crime and Security Studies, Royal United Services Institute (RUSI)**

**Dinner** in Hall and Upper Hall, Jesus College generously sponsored by **The Ministry of Justice Investigation Bureau of Taiwan** represented by **Dr Wang Cung-yi**, Director General of the Ministry of Justice Investigation Bureau, Taiwan, the **Taiwan Stock Exchange Corporation (TWSE)** represented by **The Hon Dr Sush-Der Lee**, Chairman of the TWSE and former Minister of Finance, Taiwan and the **Taiwan Securities Association (TSA)** represented by **Dr Hung-Wen Chien**, Chairman of the TSA

**After-dinner Addresses** by **The Rt Hon Alderman Sir David Wootton PC**, Alderman of the City of London, former Lord Mayor and Sheriff of the City of London, Partner, Allen and Overy and Honorary Fellow, Jesus College, Cambridge, UK, **The Hon Mrs Judith Jones-Morgan**, Attorney General, St Vincent and the Grenadines introduced by **Colonel Robert Murfin DL**, President of the Fellowship of Clerks of the City of London and Clerk to the Worshipful Company of Pattenmakers of the City of London, with a vote of thanks proposed by **Dr Marcelo Ruiz**, Senior Partner, Canguero Ruiz Abogados and former Minister Counsellor, Argentine Embassy, UK

**Tuesday, 8<sup>th</sup> September 2015**

7:15

**Breakfast Meeting – Think Tank I precursor – The impact of cyber- crime and cyber- crime prevention and compliance**

The Combination Room, Jesus College

08:00

**Session II: The nature of compliance**

Chair: **Ms Susan Galli**, Managing Director, Advisory Services Risk and Regulatory, PwC, USA

- **Mr David Johnston**, Head, The National Technical Assistance Centre (NTAC), UK and former Commander, Special Operations, Metropolitan Police, UK

- **Ms Bridget Brennan**, Special Prosecutor for Narcotics, Office of the Special Narcotics Prosecutor, City of New York, USA
- **The Hon Mr Reginald Rhoda QC**, Senior Counsel and former Attorney General, HM Attorney General of Gibraltar
- **Professor Mike Levi**, Professor of Criminology, Cardiff University, UK
- **Mr Alun Milford**, General Counsel, Serious Fraud Office of England, Wales and Northern Ireland
- **Mr Daniel Tannebaum**, Director and Global Financial Services Sanctions Leader, PwC, USA
- **Mr John Harris**, Director General, Jersey Financial Services Commission, Jersey
- **Mr Nadim Kyriakos-Saad**, Senior Counsel, International Monetary Fund, USA
- **Mr Jeff Simser**, Legal Director, Ministry of the Attorney General, Canada
- **Professor Leonid Fituni**, Director of Strategic and Global Studies, Russian Academy of Sciences, Moscow, Russia
- **Professor Ernesto Savona**, Professor of Criminology, Catholic University of Milan and Director of Transcrime, Research Centre for Transnational Crime, University of Trento, Italy
- **Ms Alison Levitt QC**, Partner and Head of Business Crime, Mishcon de Reya and Recorder of the Crown Court, UK
- **Dr August Garrido**, Partner, Cuneo Libarona, Argentina
- **Mr Olu Adaramewa**, Deputy Director, Banking and Payments System Department, Central Bank of Nigeria, Nigeria
- **Dr Frank Madsen**, Affiliated Lecturer, Centre of Development Studies, University of Cambridge, Von Hugel Institute, St. Edmund's College, Cambridge, Adjunct Professor at Henley-Putnam University at Santa Clara, California, USA and former senior official, General Secretariat, ICPO-Interpol

**PARALLEL PLENARY WORKSHOP IV - 08:00 to 10:45**

**Compliance in the context of tax and fiscal crime**

Chair: **Mr Tarrant Green**, Fellow of the Institute of Chartered Accountants in England and Wales and Tax Consultant and Honorary Treasurer of the British Institute of Securities Laws, UK

**Mr James Springer**, AML/CTF Advisor, JPS Consulting and former Resident Financial Enforcement Advisor, Morocco, Namibia and Bulgaria, Office of Technical Assistance, US Department of Treasury and Senior Counsel for International Tax Matters, Tax Division, US Department of Justice, USA

**Cdor Hernan Gianni**, Director, Tax Office, City of Buenos Aires, Argentina

**Ms Caroline D. Ciraolo**, Acting Assistant Attorney General, Tax Division, United States Department of Justice, Washington, D.C., USA

**Professor Julian Hickey**, Fellow of the Chartered Institute of Taxation, Solicitor, Barrister and Professor of Tax Law, BPP University, UK

**Mr Frank Cihlar**, Chief, Criminal Appeals and Tax Enforcement Policy Section (CATEPS), US Department of Justice, USA

**Ms Tessa Lorimer**, Special Counsel, Withers LLP, formerly of the Crown Prosecution Service for England and Wales and the HM Revenue and Customs Prosecution Office, UK

**Mrs Julie Zhuge Wilson**, Partner, UHY Hacker Young LLP and China Fellow of the Institute of Chartered Accountants in England and Wales, UK and People's Republic of China

**Ms Shenshen Lin**, Tax Advisor, Customs, Excise and International Trade, KPMG LLP, UK  
**A Senior Representative** from HM Revenue and Customs, UK

**PARALLEL PLENARY WORKSHOP V – 08:00 to 10:45**

**Cyber security and SMEs: protecting the backbone of the economy**

Under the auspices of the **Federation of Small Businesses**

Chair: **Mr Richard Parlour**, Chairman of the Federation of Small Businesses Home Affairs Committee and Managing Director of Financial Markets Law International, UK

**Mr Peter Wilson**, Research, Information and Communications Unit, Office for Security and Counter Terrorism, Home Office, UK

**Ms Orla MacRae**, Assistant Director - Cyber Security, Department of Business, Innovation and Skills, Government, UK

**Mr Dave Porter**, Head of Fraud Strategy, SAS, UK

**Mr Doug Turner**, Director of Group Engineering Service, British Telecommunications, UK

**Mr Brian Quinn**, Detective Superintendent, Protective Services (Major Crime) National Team, HM Inspectorate of Constabulary, UK

**Mr Giles Herdale**, Digital Intelligence and Investigation Strategy Lead, Essex Police, College of Policing and Home Office, UK

Chair: **Mr George Littlejohn**, Senior Adviser, Chartered Institute for Securities & Investment, UK

- **Mr Sean O'Malley**, Vice President and Deputy Chief Investigator, Enforcement Division, Federal Reserve Bank of New York, USA
- **Professor Irina Abramova**, Deputy Director, Institute of African and Arab Studies, Russian Academy of Sciences, Moscow, Russia
- **Professor Eisuke Nagatomo**, Waseda Graduate University, Japan, President and CEO, EN Associates Co. Ltd and former Managing Director and Chief Regulatory Officer, Tokyo Stock Exchange, Japan
- **Mr Michael Ashe QC SC**, 9 Stone Buildings, London, Co- Chairman of the Symposium, Recorder of the Crown Court, England and Wales and Master of the Bench of the Middle Temple
- **Ms Niamh Mulholland**, Associate Director, KPMG Regulatory Advisory Services and former EU and International Unit, Markets Policy Division, Central Bank of Ireland
- **Mr Stephen Ball**, Partner, KPMG LLP and former General Counsel, Kroll, UK
- **Mr Mark Turkington**, UK Head of Sanctions, HSBC and former Senior Manager Australian AML, Bribery and Sanctions Compliance, National Australia Bank, Australia
- **Dr Marcelo Ruiz**, Senior Partner, Cangueiro Ruiz Abogados and former Minister Counsellor, Argentine Embassy, UK
- **Mr Stephen Foster**, Head of Sanctions and Anti-Bribery and Corruption, Conduct, Compliance and Operational Risk, Lloyds Banking Group, London, UK
- **Mr Ian M. Comisky**, Partner, Blank Rome LLP, Philadelphia and former Assistant US Attorney, Southern District of Florida, USA
- **Dr Marcus Smith**, Principal Research Analyst, Australian Institute of Criminology, Canberra, Australia
- **Mrs Abimbola Izu**, Director, Corporate Affairs, Skye Bank Plc, Nigeria
- **Dr Guillermo Marijun**, National Federal Prosecutor, Argentina

**PARALLEL PLENARY WORKSHOP VI – 11:00 to 12:45**

**The Media's role in reporting and exposing economic crime - the practical issues**

**Mr Chris Blackhurst**, Columnist and Business Commentator for the Independent and Evening Standard and former Editor, The Independent, UK

**Mr Stephen Grey**, Special Correspondent, Reuters Enterprise Team, UK

**Mr Richard Brooks**, Investigative Journalist and author, UK

**Mr Michael Ricks**, Managing Director, Enquire International Ltd, UK

**Mr John Sweeney**, Investigative Journalist, Broadcaster and author, BBC TV Newsnight and Panorama, UK

**Ms Margarita Woyciechowsky de Tablante**, Journalist and Editor of CuentasClarasDigital.org, Venezuela

12:45

**Lunch** in Hall and Upper Hall, Jesus College

**5<sup>th</sup> Annual football match - Argentina v Rest of the World – in the grounds of Jesus College**

13:45

**Session IV: The process of due diligence and its limitations in practical and legal terms**

Chair: **Ms Ros Wright**, Independent Director, Department of Business, Innovation and Skills, UK Government, Master of the Bench of the Middle Temple, , Member of the Supervisory Committee, European Anti-Fraud Office and former Chair, Fraud Advisory Panel and Director of the Serious Fraud Office of England, Wales and Northern Ireland, UK

- **Mr Adam Kaufmann**, Partner, Lewis, Baach, Kaufmann and Middlemiss, former Executive Assistant District Attorney and Chief of the Investigation Divisions, New York County District Attorney's Office, USA
- **Professor Wassim Shahin**, Dean and Professor of Business Economics, Lebanese American University, Lebanon
- **Mr Martin Saunders**, Partner, Clifford Chance LLP, UK
- **Mr Tom Newkirk**, Partner, Jenner & Block LLP and former Associate Director, Division of Enforcement, Securities and Exchange Commission, USA
- **Ms Meryl Lutsky**, Deputy Bureau Chief, Crime Proceeds Strike Force, Criminal Enforcement and Financial Crimes Bureau, New York State Attorney General's Office, USA
- **Ms Niamh Mulholland**, Associate Director, KPMG Regulatory Advisory Services and former EU and International Unit, Markets Policy Division, Central Bank of Ireland
- **Mr John Mair**, Office of the Chief Compliance Officer, The European Bank for Reconstruction and Development, UK
- **Ms Marty Rolle**, Partner, Bryan Cave LLP, London, UK
- **Mr Khawar Qureshi QC**, Barrister and former Junior Treasury Counsel, Serle Court, London, UK and McNair Chambers, Qatar
- **Mr Stephen Grey**, Special Correspondent, Reuters Enterprise Team, UK
- **Mr P Mukundan**, Director, Commercial Crimes Services, International Chamber of Commerce, UK

- **Mr Kola Awodein**, Senior Advocate, Nigeria
- **Professor Dora Neo**, Associate Professor of Law and Director, Centre for Banking and Financial Law, National University of Singapore
- **Professor David Chaikin**, Associate Professor of Law, University of Sydney Business School, Barrister, and formerly of the Australian Federal Attorney-General's Department and the Commonwealth Secretariat
- **Ms Niamh Mulholland**, Associate Director, KPMG Regulatory Advisory Services and former EU and International Unit, Markets Policy Division, Central Bank of Ireland
- **Professor Rita Cheung**, Assistant Professor, Faculty of Law, Chinese University of Hong Kong SAR, People's Republic of China
- **Ms Tessa Lorimer**, Special Counsel, Withers LLP and formerly of the Crown Prosecution Service for England and Wales and the HM Revenue and Customs Prosecution Office, UK

**PARALLEL PLENARY WORKSHOP VII – 13:45 to 16:00**

**A critical and practical evaluation of the efficacy and cost benefit of anti-money laundering laws**

Chair: **Professor William Tupman**, Professor of Criminal Justice, BPP University and Research Fellow, University of Exeter, UK

**Professor Jackie Harvey**, Professor of Financial Management and Director of Business Research, Newcastle Business School, Northumbria University, UK

**Dr Silvina Rivarola**, Prosecutor, Head of Cybercrime Unit, Attorney General's Office, City of Buenos Aires, Argentina

**Professor Fletcher Baldwin**, Chesterfield Smith Professor of Law and Director, Centre for International Financial Crimes Studies, University of Florida, USA

**Mr Andrew Hayman**, former Chief Constable, Norfolk Constabulary and Assistant Commissioner for Specialist Operations, Metropolitan Police, UK

**Professor Francesca Longo**, Jean Monnet Professor of European Public Policy, University of Catania, Italy

**Dr Anna Sergi**, Lecturer in Policing and Crime Sciences, University of West London and Newsletter Editor, ECPR Standing Group on Organised Crime, UK

**Counsellor Carina O'Reilly**, Anglia Ruskin University and Deputy Leader of Cambridge City Council, UK

**Dr Sam Sittlington**, Director, The Fraud Company Ltd, UK

**PARALLEL PLENARY WORKSHOP VIII – 13:45 to 16:00**

**Compliance issues in the Far East**

Chair: **Professor Chizu Nakajima**, Co-Director of the Symposium, Professor of Corporate Law and Governance, Faculty of Business and Law, London Metropolitan University, Visiting Professor of Comparative Law, BPP University, Affiliated Lecturer, University of Cambridge

**Professor Eisuke Nagatomo**, Waseda Graduate University, Japan, President and CEO, EN Associates Co. Ltd and former Managing Director and Chief Regulatory Officer, Tokyo Stock Exchange, Japan

**Ms Jill Wong**, Partner, Howse Williams Bowers, Hong Kong SAR, People's Republic of China

**Dr Keiichiro Komatsu**, Member of the Board, Anglo Japanese Centre for International Intellectual Exchange Asia Pacific, Principal, Komatsu Research and Advisory and former Consultant to the World Bank and Senior Trade Advisor to the UK Trade & Investment.

**Mr Shigeki Mitomo**, Director, Financial Stability Organization Office, Financial System Stabilization Division, Ministry of Finance, Japan

**Ms Unsun Park**, Compliance, Royal Bank of Scotland, UK

**Dr Bian Jing**, Head of Chinese Market, Orwell Group Holding Ltd and formerly of the Public Security Bureau of the People's Republic of China

**Dr Ye Zhen**, Centre for Development Studies, University of Cambridge and BPP Law School, BPP University, UK

**Ms Xiaoya Fu**, Researcher, Renmin University, Peoples Republic of China

**Dr Jacob Schumacher**, School of Oriental and African Studies, University of London and Lecturer in Corporate Finance Law, BPP University, UK

16:00

Tea

**PLENARY WORKSHOP IX – 16:15 to 17:15**

**Compliance in the 21<sup>st</sup> Century - U.S. enforcement efforts in the first fifteen years of the century and beyond**

Chair: **Mr Ian M. Comisky**, Partner, Blank Rome LLP, Philadelphia and former Assistant US Attorney, Southern District of Florida, USA

**Ms Caroline D. Ciraolo**, Acting Assistant Attorney General, Tax Division, United States Department of Justice, Washington, D.C., USA

**Ms Jenny L. Johnson**, Partner, Holland & Knight, LLP, Chicago, IL, USA

**Mr Larry A. Campagna**, Chamberlain, Hrdlicka, White, Williams & Aughtry, Houston, USA

**PLENARY WORKSHOP X – 16:15 to 17:15**

**Compliance in the context of Islamic finance**

Chair: **Professor Chizu Nakajima**, Co-Director of the Symposium, Professor of Corporate Law and Governance, London Guildhall Faculty of Business and Law, London Metropolitan University, Visiting Professor of Comparative Law, BPP University, and Affiliated Lecturer, University of Cambridge, UK

**Professor Datuk Rifaat Ahmed Abdel Karim**, former Secretary-General, Islamic Financial Services Board and Research Professor, International Centre for Education in Islamic Finance (INCEIF), Malaysia

**Mr Madzlan bin Mohamed Hussain**, Partner and Head, Islamic Financial Services Practice, Zaid Ibrahim & Co, and former General Counsel, Islamic Financial Services Board, Malaysia

**Dr Lu'ayy Al-Rimawi**, Programme Leader in Islamic Finance Law, BPP University, former Visiting Fellow, Harvard Law School, USA and Consultant, UK

**Professor Siti Faridah**, Associate Professor of Law, National University of Malaysia and Advocate and Solicitor, Malaysia

**Sheikh Faizal Ahmad Manjoo**, Head, Islamic Finance Department, Markfield Institute and Visiting Lecturer in Islamic Finance, BPP University, UK

**Mr Mohamad Joseph Naffa**, Legal Counsel and Partner, International Compliance Group LLP and Researcher, Washington College of Law, USA and Institute of Advanced Legal Studies, University of London, UK

**Mr Salim Al-Ali**, Researcher, Institute of Advanced Legal Studies, University of London, UK and Lecturer College of Law, University of the United Arab Emirates, Abu Dhabi

**Ms Sara Ashrafkashani**, Attorney at Law and Legal Consultant in (Iran) and Researcher, Institute of Advanced Legal Studies, University of London, UK

**Dr Kadir Ozkan**, School of Government and International Affairs, Durham University and Director, International Affairs Division, Turkish National Police Forensic Laboratories, Turkey

**PLENARY WORKSHOP XI – 16:15 to 18:30**

**Compliance issues as they affect banks in Eastern Europe**

Chair: **Mr Istvan Lengyel**, Secretary General, Banking Association for Central and Eastern Europe, Hungary

**Mr Levente Kovacs**, Chairman, Hungarian Banking Association, Hungary

**Professor Leonid Fituni**, Director, Strategic and Global Studies, Russian Academy of Sciences, Moscow, Russia

**Mr Rafal Demczuk**, Imran Khan & Partners, London, UK

**Mr Richard Parlour**, Principal, Financial Markets Law International, UK

**PLENARY WORKSHOP XII – 16:15 to 18:30**

**Multilateral aid agencies' anti-corruption strategies**

**Dr Jesper Johnson**, Senior Advisor, U4 Anti-Corruption Resource Centre, Chr. Michelsen Institute, Norway

**Mr Francesco de Simone**, Advisor, Inter-American Development Bank and U4 Anti-Corruption Resource Centre, Chr. Michelsen Institute, Norway

**Ms Alessandra Fontana**, Advisor on Governance, Development Co-operation Directorate, Organisation for Economic Co-operation and Development (OECD), France

**WORKSHOP 1 – 17:30-18:30**

**Managing de-risking : The art and science of compliance**

**Mr Nadim Kyriakos-Saad**, Senior Counsel, International Monetary Fund, USA

**Dr Concepcion Verdugo**, Economist, International Monetary Fund, USA

**WORKSHOP 2 – 17:30-18:30**

**Lobbying vs. sustainable development**

**Professor Odd-Helge Fjeldstad**, Senior Researcher, Chr. Michelsen Institute, Norway

**Professor Lise Rakner**, Department of Comparative Politics, University of Bergen, Norway and Senior Researcher, Chr. Michelsen Institute, Norway

**Dr Jesper Johnson**, Senior Advisor, U4 Anti-Corruption Resource Centre, Chr. Michelsen Institute, Norway

**WORKSHOP 3 – 17:30-18:30**

**The long arm reach of anti-bribery laws**

Chair: **Professor Philip Rutledge**, Partner, Bybel and Rutledge LLP, Visiting Professor in Securities Law, BPP University and former Chief Counsel, Pennsylvania Securities Commission, USA

**Mr David Bacon**, Editor, Business Crime and Investigations, Thomson Reuters Practical Law and formerly of the Serious Fraud Office for England, Wales and Northern Ireland and the Solicitors Regulatory Authority, UK

**Professor Paul Latimer**, Associate Professor of Law and former Head, Department of Business Law and Taxation, Monash University, Australia

**Ms Kathleen Kao**, Anti-Corruption Policy Analyst, Directorate for Financial and Enterprise Affairs, OECD, France

**Professor Fletcher Baldwin**, Chesterfield Smith Professor of Law and Director, Centre for International Financial Crimes Studies, University of Florida, USA

**Professor David Chaikin**, Associate Professor of Law, University of Sydney Business School, Barrister, formerly of the Australian Federal Attorney-General's Department and the Commonwealth Secretariat

**Professor Johan Henning**, Senior Professor of Mercantile Law, Distinguished Emeritus Professor and sometime Dean of Law, University of the Free State

**WORKSHOP 4 – 17:30-18:30**

**Why does your organisation behave more or less ethically? Some new indicators**

**Dr Nick Duncan**, Researcher, Department of Politics and International Studies, University of Cambridge, Cambridge UK

**WORKSHOP 5 – 17:30-18:30**

**Million dollar objects: Trafficking in culture**

**Professor Janet Ulph**, Professor of Law, University of Leicester, UK

**Dr Frank Madsen**, Von Hugel Institute, St. Edmund's College, Cambridge, Affiliated Lecturer, University of Cambridge, Adjunct Professor at Henley-Putnam University at Santa Clara, California, USA and former senior official, General Secretariat, ICPO-Interpol

**Ms Sophie Vigneron**, Senior Lecturer in Law, Law School, University of Kent, UK

**WORKSHOP 6 – 17:30-18:30**

**The punishment and prevention of online financial crimes in the big data era**

**Dr Shi Chen**, Research Fellow, Hubei Institute for Strategic Studies of Legal Development, Zhongnan University of Law and Economic, People's Republic of China

**WORKSHOP 7 – 17:30-18:30**

**Asset recovery – The practicalities**

**Mr Anthony Shipman**, Barrister (England and Wales), Principal EMA International and Asset Recovery Specialist, UK

**Mr John Moscow**, Partner, Baker & Hostetler, USA and former Assistant District Attorney, Office of the District Attorney of New York, USA

**WORKSHOP 8 – 17:30-18:30**

**Priorities in anti-money laundering compliance – the cart before the horse!**

**Professor Jackie Harvey**, Professor of Financial Management and Director of Business Research, Newcastle Business School, Northumbria University, UK  
**Dr Abdullahi Bello**, Graduate Tutor, Newcastle Business School, Northumbria University

**19:00**

**Cocktails** in the Marquee generously hosted by **Academic Initiatives**

**Dinner** in Hall and Upper Hall, Jesus College generously hosted by the **British Institute of Securities Laws (BISL)**

**After-dinner Addresses** by **The Lord Davidson of Glen Clova QC**, HM Loyal Opposition's Spokesperson for the Law Officers of Scotland and former Advocate General and Solicitor General of Scotland and **The Rt Hon Lord Justice Rupert Jackson PC**, Lord Justice of Appeal, England and Wales and Honorary Fellow of Jesus College, Cambridge and Lecturer in Law, University of Cambridge, UK introduced by **Dr Findlay Stark**, Yates Glazebrook Fellow in Law and Director of Studies in Law, Jesus College, Cambridge and Lecturer in Law, University of Cambridge, with a vote of thanks proposed by **Mr Clark Abrams**, Assistant District Attorney and Chief, Money Laundering and Financial Investigations Unit, Office of the Special Narcotics Prosecutor, City of New York, USA

08:00

**Session V: AML the acid test of effective compliance**

Chair: **Ms Bridget Brennan**, Special Prosecutor for Narcotics, Office of the Special Narcotics Prosecutor, City of New York, USA

- **Dr Peter German**, Regional Deputy Commissioner, Correctional Service and former Deputy Commissioner and Director General, Financial Crime, Royal Canadian Mounted Police, Canada
- **Mr Roger Best**, Partner, Clifford Chance LLP, London, UK
- **Professor Louis de Koker**, Professor of Law, School of Law, Faculty of Business and Law, Deakin University, Australia
- **Colonel Grant Newsham**, former Executive Director, Corporate Security, Morgan Stanley (Japan) Securities Ltd, Japan
- **Mr Richard Collins**, Head of Risk Management, Wood MacKenzie, UK and former Managing Director, Authorisation, Qatar Financial Centre Regulatory Authority Managing Director, Authorisation, Qatar Financial Centre Regulatory Authority
- **Mr Clark Abrams**, Assistant District Attorney and Chief, Money Laundering and Financial Investigations Unit, Office of the Special Narcotics Prosecutor, City of New York, USA
- **Mr Rune Grundekjon**, Special Advisor and Controller, Finanstilsynet (Financial Services Authority), Norway
- **Professor Margaret Beare**, Professor of Law and Sociology and former Director, Nathanson Centre on Transnational Human Rights, Crime and Security, Faculty of Law, York University, Toronto, Canada
- **Mr Larry Boyce**, Senior Vice President, SB Regulatory Consulting Inc, Canada
- **Dr Thomas Spies**, Counsel and Senior Manager, Regulatory Service Group, KPMG, Germany
- **Dr Carlos Rivola**, National Federal Prosecutor, Argentina
- **Mr Michael Duncan**, Justice System Specialist, Currency Department, Bank of Canada, Canada

**PARALLEL PLENARY WORKSHOP XIII – 08:00 to 10:30**

**Responses to corruption**

Chair: **Dr Colin King**, Senior Lecturer in Law, University of Sussex, UK

**Mr Jonathan Benton**, Detective Superintendent, Joint Head of Corruption Unit, National Crime Agency, UK

**Dr Nicholas Lord**, Lecturer in Criminology, School of Law, University of Manchester, UK

**Mr Nick Maxwell**, Head of Research, Transparency International UK

**PARALLEL PLENARY WORKSHOP XIV – 08:00 to 10:30**

**Taking back criminal money – Three approaches from Sweden, Portugal and Scotland**

Chair: **Mr Kenneth Murray**, Head of Forensic Accountancy, Police Scotland, Scotland, UK

**Mr Stefan Lind**, Enforcement Officer, Swedish Enforcement Agency, Sweden

**Dr Ana Rita Duarte Campos**, Lawyer, Morais Leitao, Galvao Teles, Soares Da Silva, Soc. Advogados R.I, Portugal

**Ms Tessa Lorimer**, Special Counsel, Withers LLP, and formerly of the Crown Prosecution Service for England and Wales and the HM Revenue and Customs Prosecution Office, UK

10:30 Coffee

10:45 **Session VI: Managing the consequences of suspicion**

Chair: **Dr Justine Walker**, Director, Financial Crime (Sanctions and Bribery), British Bankers Association, UK and formerly of the Financial Services Authority and HM Treasury, UK

- **Mr Stephen Foster**, Head of Sanctions and Anti-Bribery and Corruption, Conduct, Compliance and Operational Risk, Lloyds Banking Group, London, UK
- **Mr Stephen Sterling**, Assistant Crown Attorney, Guns and Gangs Taskforce, Ministry of the Attorney General, Canada
- **Ms Jill Wong**, Partner, Howse Williams Bowers, Hong Kong SAR, People's Republic of China
- **Professor Philip Rutledge**, Partner, Bybel and Rutledge LLP, Visiting Professor of Securities Law, BPP University and former Chief Counsel, Pennsylvania Securities Commission, USA
- **Dr Ana Rita Duarte Campos**, Lawyer, Morais Leitão, Galvão Teles, Soares Da Silva, Soc. Advogados R.L, Portugal
- **Mr Peter Gray**, Kingsgrove Partners, In Association with Al Bawardi Advocates and Legal Consultants, Dubai, United Arab Emirates
- **Professor Caroline Bradley**, Professor of Law, School of Law, University of Miami, Florida, USA
- **Professor Kiymet Tunca Caliyurt**, Faculty of Business Administration and Economics, Department of Accounting and Finance and Manager of Social Graduate School, Trakya University, Turkey
- **Mr Paul Gully-Hart**, Partner, Schellenberg Wittmer, Switzerland

- **Mr Jeffrey Bryant**, Crown Advocate, Proceeds of Crime Unit, Crown Prosecution Service for England and Wales, UK
- **Professor Hans Tjio**, Professor of Law, National University of Singapore
- **Professor Louis de Koker**, Professor of Law, School of Law, Faculty of Business and Law, Deakin University, Australia
- **Mr Alan Bacarese**, Director of Anti-Corruption and Asset Recovery, Stream House AG and consultant, Cooley (UK) LLP and former Special Counsel, Peters & Peters LLP, UK
- **Mr Neil Jeans**, Director, Yarra Valley Associates, Australia and former Chief Executive Officer, Australian Transaction Reports and Analysis Centre (AUSTRAC), Australia
- **Mr Madzlan bin Mohamed Hussain**, Partner and Head, Islamic Financial Services Practice, Zaid Ibrahim & Co and former General Counsel, Islamic Financial Services Board, Malaysia
- **Professor Paul Larsson**, Professor, Police University College, Oslo, Norway
- **Dr Mariano Cuneo Libarona**, Senior Partner, Cuneo Libarona Abogados, Argentina

**PARALLEL PLENARY WORKSHOP XV – 11:30 to 12:30**

**The Enemy Within - the penetration of financial institutions and the subversion of compliance**

- Chair: **Professor Philip Rutledge**, Partner, Bybel and Rutledge LLP, Visiting Professor in Securities Law, BPP University and former Chief Counsel, Pennsylvania Securities Commission, USA
- Professor Chizu Nakajima**, Co-Director of the Symposium, Professor of Corporate Law and Governance, London Guildhall Faculty of Business and Law, London Metropolitan University, Visiting Professor of Comparative Law, BPP University, and Affiliated Lecturer, University of Cambridge, UK
- Mr Wilmer Parker III**, Partner, Maloy Jenkins Parker, USA and formerly of the Justice Department, USA
- Mr Eugene Corcoran**, Detective Chief Superintendent, Chief Bureau Officer, Criminal Assets Bureau, An Garda Siochána, Ireland
- Professor Margaret Beare**, Professor of Law and Sociology and former Director, Nathanson Centre on Transnational Human Rights, Crime and Security, Faculty of Law, York University, Toronto, Canada
- Mrs Svetla Konstantinova**, Attorney-at-Law, Sofia, Bulgaria and former Minister Counsellor, Bulgarian Embassy, London
- Dr Jacob Schumacher**, School of Oriental and African Studies, University of London

**PARALLEL PLENARY WORKSHOP XVI – 11:30 to 12:30**

**The importance of judicial independence, competence and integrity  
in the fight against corruption and economic crime**

- Chair: **Mr Michael Ashe QC SC**, 9 Stone Buildings, London, Co-Chairman of the Symposium, Recorder of the Crown Court, England and Wales and Master of the Bench of the Middle Temple, UK
- Sir Gavin Lightman QC**, Consultant, Asserson & Co, former Judge of the Chancery Division, High Court of Justice of England and Wales and former Master Treasurer of Lincoln's Inn, UK
- The Hon Mr Rigo Lua**, Chief Ombudsman, The Ombudsman Commission, Papua New Guinea
- The Hon Justice Olayinka Faji**, Judge of the Federal High Court, Nigeria
- The Hon Judge Frederik Brand**, Judge of the High Court of South Africa and Professor Extraordinarius, Faculty of Law, University of the Free State, Republic of South Africa
- Mr Oliver Sells QC**, Master of the Bench of the Inner Temple and Recorder of the Crown Court, England and Wales, UK
- Dr Javier Concepcion**, Director, Centre for Judiciary Investigations, City of Buenos Aires, Argentina

**13:00** Lunch in Hall and Upper Hall, Jesus College

**14:00** **Session VII: Financial Crime and Compliance – The wider issue**

- Chair: **Mr George Staple QC**, Consultant and former Partner, Clifford Chance LLP, Master of the Bench of the Inner Temple and former Director of the Serious Fraud Office of England, Wales and Northern Ireland, UK
- **Mr Stefan Cassella**, Chief, Asset Forfeiture and Money Laundering Section, Office of the US Attorney, Baltimore, USA
  - **Ms Helen Hatton**, Managing Director, Sator Regulatory Consulting Ltd and former Deputy Director, Jersey Financial Services Commission
  - **Mr David Gray**, Manager and Chief Counsel, Proceeds of Crime Litigation, Australian Federal Police, Australia
  - **Ms Laura Atherton**, Solicitor, K&L Gates, LLP, UK
  - **Dr Joachim Kaetzler**, Partner, CMS Hasche Sigle, Germany
  - **Mr John Masters**, Director of Public Prosecutions, Turks and Caicos Islands and former Senior Crown Counsel, Attorney General's Chambers, Cayman Islands
  - **Mr Barry Faudemer**, Director of Enforcement, Jersey Financial Services Commission, Jersey
  - **Mr John Howell**, Principal, John Howell & Co Ltd, UK
  - **Mr Robin Dyer**, Head of Compliance, Bermuda Commercial Bank Ltd, Bermuda

- **Mr James Springer**, AML/CTF Advisor, JPS Consulting, former Resident Financial Enforcement Advisor, Morocco, Namibia and Bulgaria, Office of Technical Assistance, US Department of Treasury, USA
- **Dr Rinita Sarker**, Manager, Economic Crime Command, National Crime Agency, UK
- **Ms Wei-Mu Su**, Prosecutor, Tainan District Prosecutors Office, Taiwan
- **Mr Lampros Tsogkas**, Public Prosecutor, Thessaloniki, Greece
- **Mr Kenneth Murray**, Head of Forensic Accountancy, Police Scotland, Scotland, UK

**PARALLEL PLENARY WORKSHOP XVII– 14:00 to 16:00**

**Collective action – global impact: sanctions and cross-debarment regimes of international financial institutions**

Chair: **Ms Jelena Madir**, Senior Counsel, European Bank for Reconstruction and Development, UK  
**Mr John Coogan**, Head of Conflicts and Integrity, International Finance Corporation, Washington, USA  
**Ms Mariam Diawara**, Secretary to the Sanctions Appeals Board, African Development Bank, Ivory Coast  
**Ms Pascale Helene Dubois**, Chief Suspension and Debarment Office, World Bank, USA  
**Ms Elizabeth Lin Forder**, Secretary to the Sanctions Board, World Bank Group Sanctions Board, USA  
**Mr Norbert Seiler**, Deputy General Counsel, European Bank for Reconstruction and Development, UK  
**Ms Clare Wee**, Head, Office of Anticorruption and Integrity, Asian Development Bank, Philippines  
**Ms Judith Shenker**, Deputy Chief Compliance Officer, European Bank for Reconstruction and Development, UK  
**Mr Andres Rigo**, Chairman of the Inter-American Development Bank’s Sanctions Committee, USA

**PARALLEL PLENARY WORKSHOP XVIII– 14:00 to 16:00**

**Post LIBOR/FX, what is the right advice?**

Chair: **Ms Kathryn Arnot Drummond**, Barrister at 25 Bedford Row, London, UK  
**Mr Paul Hynes QC**, Barrister at 25 Bedford Row, London, UK  
**Mr Simon Pentol**, Barrister at 25 Bedford Row, London, UK  
**Ms Louise Hodges**, Partner, Kingsley Napley LLP, London, UK

16:00 Tea

**PLENARY WORKSHOP XVIIIa – 16:15 to 17:15**

**Sanctions and denied parties**

Chair: **Ms Laura Atherton**, Solicitor, K&L Gates, LLP, UK  
**Mr Dan Gerkin**, Of Counsel, K&L Gates, LLP, London, UK  
**Mr Matthew Taylor**, Deputy Director, Sanctions and Illicit Finance, HM Treasury, UK  
**Mr Brian Kennelly**, Barrister, Blackstone Chambers, London, UK  
**Ms Louise Forbes**, EMEA Regional Head of Sanctions, Citi Bank, London, UK

**PLENARY WORKSHOP XIX – 16:15-17:15**

**Financial Crime compliance challenges**

Chair: **Ms Susan Galli**, Managing Director, Advisory Services Risk and Regulatory, PwC, USA  
**Mr Clark Abrams**, Assistant District Attorney and Chief, Money Laundering and Financial Investigations Unit, Office of the Special Narcotics Prosecutor, City of New York, USA  
**Mr John Moscow**, Partner, Baker & Hostetler, USA and former Assistant District Attorney, Office of the District Attorney of New York, USA  
**Mr Sean O’Malley**, Vice President and Deputy Chief Investigator, Enforcement Division, Federal Reserve Bank of New York, USA  
**Mr Daniel Tannebaum**, Director and Global Financial Services Sanctions Leader, PwC, USA  
**Mr Michael Weis**, Director, AML and Forensic Services, PwC, Luxembourg

**PLENARY WORKSHOP XX – 16:15-18:30**

**Good governance, integrity and compliance in the financial sector – the case of Taiwan**

Chair: **The Hon Dr Ching-Chang Yen**, former Minister of Finance, Taiwan and Chief Advisor, Taiwan Financial Services Roundtable (TFSR), Taiwan  
**Mr Tsun Cheng**, Senior Vice President, Corporate Governance Department, Taiwan Stock Exchange, Taiwan  
**The Hon Dr Sush-Der Lee**, Chairman, Taiwan Stock Exchange, Taiwan Financial Services Roundtable and former Minister of Finance, Taiwan

**PLENARY WORKSHOP XXI – 16:15-17:15**

**Managing mutual legal co-operation in regard to offshore and developing countries**

Chair: **Mr John Masters**, Director of Public Prosecutions, Turks and Caicos Islands and former Senior Crown Counsel, Attorney General's Chambers, Cayman Islands

**Mr Stuart Diamond**, Attorney, Cayman Islands and international offshore specialist.

**Mr John Tudorovic**, Managing Director of Investigations and Disputes, Kroll, Dubai

**Mr Barry Faudemer**, Director of Enforcement, Jersey Financial Services Commission

**WORKSHOP 9 – 17:30-18:30**

**Illicit financial flows - business profiles**

**Mr Dave Copley**, Organised crime and money laundering investigator and formerly of the Serious Organised Crime Agency, UK

**Mr Oleksiy Feshchenko**, Head, Global Programme against Money Laundering, Proceeds of Crime and the Financing of Terrorism (GPML), United Nations Office on Drugs and Crime (UNODC), Austria

**WORKSHOP 10– 17:30-18:30**

**Money laundering: the fight against “Kleptocracy”**

**Mr Mark Thompson**, Head of Proceeds of Crime, Serious Fraud Office of England, Wales and Northern Ireland, UK

**Mr Simon Daniel**, Head of Fraud Division D, Serious Fraud Office of England, Wales and Northern Ireland, UK

**Mr Jonathan Benton**, Detective Superintendent, Joint Head of Corruption Unit, National Crime Agency, UK

**WORKSHOP 11 – 17:30-18:30**

**Protecting our natural resources - the role of NGOs and governments**

**Mr Euan Grant**, Grant and Gutsell Customs, Tax & Border Control Consultant, formerly of HM Customs and Excise UK

**WORKSHOP 12 – 17:30-18:30**

**What more could Banks do in the Fight Against Money Laundering?**

Organised under the auspices of the **International Compliance Association**

**Mr Viri Chauhan**, Global Head of Governance, risk and Compliance, International Compliance Association, UK

**WORKSHOP 13 – 17:30-18:30**

**Inside the business of the criminal drugs market**

**Mr Tom Lloyd**, International Drug Policy Adviser and former Chief Constable of Cambridgeshire Constabulary, UK

**Mr Jason Reed**, Executive Officer, Law Enforcement Against Prohibition (LEAP), UK

**Mr Neil Woods**, former Detective Sergeant and undercover drugs officer, Derbyshire Constabulary, UK

**WORKSHOP 14 – 17:30-18:30**

**Compliance issues in Australia**

**Professor David Chaikin**, Associate Professor of Law, University of Sydney Business School, Barrister, formerly of the Australian Federal Attorney-General's Department and the Commonwealth Secretariat

**Professor Paul Latimer**, Associate Professor of Law and former Head, Department of Business Law and Taxation, Monash University, Australia

**Mr Neil Jeans**, Director, Yarra Valley Associates, Australia and former Chief Executive Officer, Australian Transaction Reports and Analysis Centre (AUSTRAC), Australia

**WORKSHOP 15 – 17:30-18:30**

**Economic sanctions and compliance**

**Mr Adam Kaufmann**, Partner, Lewis, Baach, Kaufmann and Middlemiss, former Executive Assistant District Attorney and Chief of the Investigation Divisions, New York County District Attorney's Office, USA

**Ms Polly Greenberg**, Kinetic Partners and former Chief, Major Crimes Bureau, New York County District Attorney's Office, USA

**Ms Shaistah Akhtar**, Litigation Partner, King and Wood Mallisons SJ Berwin, London, UK

**WORKSHOP 16 – 17:30-18:30**

**The challenges of regulatory compliance in anti-money laundering and enforcement – a perspective from Africa**

Chair: **Mr Andrew Boye-Doe**, Secretary and Director, Bank of Ghana, Ghana

**Professor Johan Henning**, Senior Professor of Mercantile Law, Distinguished Emeritus Professor and sometime Dean of Law, University of the Free State, Republic of South Africa

**The Hon Justice A B Mohammed**, High Court of the Federal Capital Territory, Nigeria

**Mr Brian Sapati**, Deputy Director General, of the Inter-Governmental Action Group against Money Laundering and Terrorism Financing in West Africa (GIABA) and former Director, The Serious Fraud Office, Ghana

**Dr Emmanuel Adegbite**, Associate Professor in Accounting, Durham University Business School, UK

**19:00**

Cocktails in the Marquee generously sponsored by **Lewis, Baach, Kaufmann & Middlemiss**

Dinner in Hall and Upper Hall, Jesus College generously sponsored by **PwC**

**After-dinner Addresses** by **Professor Sir Ivan Lawrence QC**, 5 Pump Court, London and Visiting Professor of Law, University of Buckingham and BPP University, UK, Master of the Bench of the Inner Temple, former Member of Parliament and Chairman, Home Affairs Committee, House of Commons, UK and former Recorder of the Crown Court England and Wales and **Mr Andrew Clark**, Partner and Financial Crime EMEA Leader, PwC, London, UK, introduced by **Mr Mark Blandford-Baker**, Bursar and Fellow, Magdalene College, University of Oxford, with a vote of thanks proposed by **Mr Dominic Gibbs**, Chief Operating Officer, The Cayzer Trust Company Limited and the Institute of Advanced Legal Studies, University of London

**Thursday, 10<sup>th</sup> September 2015**

7:15

**Breakfast Meeting – Think Tank II precursor – Issues in the control of organised crime**

The Combination Room, Jesus College

08:00

**Session VIII: Compliance and Corruption**

Chair: **Mr John Moscow**, Partner, Baker & Hostetler, USA and former Assistant District Attorney, Office of the District Attorney of New York, USA

- **Mr Vivian Robinson QC**, Partner, McGuireWoods LLP, London, former General Counsel, Serious Fraud Office of England, Wales and Northern Ireland and former Master Treasurer of the Inner Temple, UK
- **Mr Christopher Pryde**, Director of Public Prosecutions and former Solicitor General, Fiji
- **Mr Tony Wicks**, Director, Compliance Services, SWIFT, UK
- **Mr Robert Barrington**, Executive Director, Transparency International UK
- **Mr Michael Weis**, Director, AML and Forensic Services PwC, Luxembourg
- **Mr Jonathan Benton**, Detective Superintendent, Joint Head of Corruption Unit, National Crime Agency, UK
- **Dr Anastasia Suhartati**, Lecturer, Criminal Law Department, Faculty of Law, University of Surabaya, Indonesia
- **Mr Arthur Middlemiss**, Partner, Lewis, Baach, Kaufmann, and Middlemiss, former District Attorney, New York County District Attorney's Office, USA
- **Ms Sunita Masigani**, Compliance Officer, Danske Bank, London, UK
- **Professor Cindy Schipani**, Professor of Business Law and Chair, Law, History and Communication, Stephen M. Ross School of Business, University of Michigan, USA
- **Mr Serhan Göktürk**, Chief Auditor, Borsa Istanbul, Turkey
- **Professor Maria Angeles Perez Cebadera**, Professor of Law, Jaume University, Spain
- **Mr Tyler Hodgson**, Partner, Borden Ladner Gervais LLP, Canada and former Chief Legal Officer, Dubai First International, Dubai
- **Mr Barnaby Pace**, Senior Campaigner, Governments and Corruption, Global Witness, UK
- **Dr Shazeeda Ali**, former Technical Advisor and Assistant Attorney General, Jamaica and Senior Lecturer and Deputy Dean, Faculty of Law, University of the West Indies, Jamaica
- **Dr Justine Walker**, Director, Financial Crime (Sanctions and Bribery), British Bankers Association, UK
- **Mr Gavin Coles**, Global Head of AML, Citi Private Bank, New York, USA
- **Professor George Millard**, Partner, Performance Global Risk Management and Security Consultants, Professor, Sao Paulo Police Academy, President, International Police Association (Brazil) and former Chief of Police and Director of Security, Sao Paulo, Brazil

**PARALLEL PLENARY WORKSHOP XXII – 08:00-10:45**

**Deferred Prosecution Agreements**

Chair: **Ms Laura Atherton**, Solicitor, K&L Gates, LLP, UK

**Mr George Mills**, Case Controller, Serious Fraud Office of England, Wales and Northern Ireland  
**Ms Kristin Jones**, Joint Head, Bribery and Corruption, Serious Fraud Office of England, Wales and Northern Ireland, UK

**Ms Andrea Gacki**, Associate Director, Office of Compliance and Enforcement, Office of Foreign Assets and Control, US Department of Treasury, USA

**Ms Elizabeth Robertson**, Partner K&L Gates LLP, London, UK

**Ms Polly Sprenger**, Of Counsel, Eversheds LLP, London, UK

**Mr Kevin Abikoff**, Partner, Hughes Hubbard & Reed LLP, USA

**Professor Fletcher Baldwin**, Chesterfield Smith Professor of Law and Director, Centre for International Financial Crimes Studies, University of Florida, USA

**PARALLEL PLENARY WORKSHOP XXIII – 08:00-10:45**

**Monitoring and enforcement of compliance obligations by regulatory agencies**

Chair: **Mr Philip Rutledge**, Partner, Bybel and Rutledge LLP and former Chief Counsel, Pennsylvania Securities Commission, USA

**Mr Jeff Simser**, Legal Director, Ministry of the Attorney General, Canada  
**Mr Larry Boyce**, Senior Vice President, SB Regulatory Consulting Inc, Canada  
**Mr Sean O'Malley**, Vice President and Deputy Chief Investigator, Enforcement Division, Federal Reserve Bank of New York, USA  
**Mr David Kirk**, Partner, McGuireWoods LLP and former Chief Criminal Counsel, Enforcement and Financial Crime, Financial Service Authority, UK  
**Professor Dayanath Jayasuriya**, President's Counsel, consultant to the International Compliance Association and former Chairman, Securities and Exchange Commission of Sri Lanka  
**Dr Robert Vella Baldacchino**, Deputy General Manager, Malta Stock Exchange, Malta  
**Ms Claire Drury**, Barrister and Visiting Lecturer in Law, BPP University, UK  
**Ms Rachel-Marie Vella Balldacchino**, University of Malta, Malta

10:45 Coffee

11:00 **Session IX: Compliance vs Organised Crime and Terror**

Chair: **Mr Robert Rhodes QC**, Outer Temple Chambers, Recorder of the Crown Court of England and Wales and Master of the Bench of the Inner Temple, UK

- **Mr James Bergeron**, Chief Political Advisor, Allied Maritime Command, North Atlantic Treaty Association and former Political Adviser to the Commander, Striking and Support Forces, NATO
- **The Hon Judge Antonio Balsamo**, Judge of the Court of Cassation, Italy and Member of the Scientific Committee of the Consiglio Superiore della Magistratura, Italy and former Judge of the Court of Assizes, Palermo, Sicily, Italy
- **Colonel Grant Newsham**, former Executive Director, Corporate Security, Morgan Stanley (Japan) Securities Ltd, Japan
- **Mr Ayotunde Ogunshakin**, Deputy Inspector General of Police, Nigeria
- **Mr Rory Field QC**, Director of Public Prosecutions, Bermuda and former Legal Advisor (Organised Crime), OECD and OSCE (Serbia)
- **The Hon Mr John Jeremie SC**, University of the West Indies St Augustine, Trinidad and Tobago and former Attorney General and High Commissioner for Trinidad and Tobago to the United Kingdom, Jamaica
- **Mr David Little**, Senior Manager, Intelligence Hub, National Crime Agency, UK
- **Mr Robert Axelrod**, Director, Forensic Practice, Deloitte Financial Advisory Services LLP, USA
- **Dr Shima Keene**, Senior Analyst and Consultant, Thames Valley Police and Director, Security Economics Programme, Institute of Statecraft, UK
- **Dr Patrick Hardouin**, Consultant, International Security and Business, Paris and former Assistant Secretary General, NATO, France
- **Mr Raymond Cheng**, Senior Public Prosecutor, Department of Justice, Hong Kong SAR, People's Republic of China
- **Dr Concepcion Verdugo**, Economist, International Monetary Fund, USA
- **Professor Wang Ying**, Associate Professor of Criminal Law, Renmin University, People's Republic of China
- **Mr Donal Cahalane**, Barrister and Consultant, Ireland

**PARALLEL PLENARY WORKSHOP XXIV – 11:00 to 12:30**

**Governance and its relationship to compliance**

Chair: **Mr Jack Wigglesworth**, President, London Asia Capital and Director of Gresham College and former Chairman of London International Financial Futures and Options Exchange (LIFFE)

**Professor Chizu Nakajima**, Co-Director of the Symposium, Professor of Corporate Law and Governance, London Guildhall Faculty of Business and Law, London Metropolitan University, Visiting Professor of Comparative Law, BPP University, and Affiliated Lecturer, University of Cambridge, UK

**Dr Shirley Quo**, Senior Lecturer, Law School, Murdoch University, Australia

**Dr Afroza Begum**, Senior Lecturer in Law, Wollongong University, Australia

**Mr James Kitching**, Partner, Fried, Frank, Harris, Shriver & Jacobson (London) LLP, UK

**Dr Iris Chiu**, Reader in Law, Faculty of Law, University College London, UK

**Professor Terry Dworkin**, Jack R. Wentworth Professor, Business Law, Kelly School of Business, Dean, Office for Women's Affairs, Indiana University, USA

**Professor Maria Aluchna**, Associate Professor, Warsaw School of Economics, Poland

**Dr Wangwei Lin**, Senior Lecturer in Law, Westminster University, UK

**PARALLEL PLENARY WORKSHOP XXV – 11:00 to 12:30**

**The impact of financial misconduct by and in financial institutions and failures of compliance on small businesses - where does the buck stop?**

Organised under the auspices of the **SME Alliance**

**Mr Andy Keats**, Formerly of the Metropolitan Police and Director of the Serious Banking Complaints

Bureau, UK  
**Mrs Nikki Tuner**, Director SME Alliance Ltd, UK  
**Mr Clive May**, Businessman, UK  
**Mr Nigel Henderson**, Chairman of Angus Tourist Board, UK  
**Mr Paul Turner**, Managing Director of Zenith Publishing, UK  
**Mr Ian Fraser**, Journalist and author and former editor of Sunday Herald, UK

**PARALLEL PLENARY WORKSHOP XXVa – 11:00 to 12:30**

**Economic Sanctions: Lessons learned from Russia**

Chair: **Mr Satindar Dogra**, Partner, Linklaters, London, UK  
**Mr Christopher Kerrigan**, Managing Associate, Linklaters, London, UK  
**Robert Dalling**, Managing Associate, Linklaters, London, UK  
**Mr Daniel Rawsterne**, Executive Director & Assistant General Counsel of Global Financial Crimes Legal (EMEA) JP Morgan, London, UK  
**Mr Paul Hessler**, Partner, Linklaters, New York, USA

**13:00** Lunch in Hall and Upper Hall

**14:00** **Session X: Knowing who you are dealing with – Identification and impersonation**

Chair: **Sir Gavin Lightman QC**, Consultant, Asserson & Co, former Judge of the Chancery Division, High Court of Justice of England and Wales and former Master Treasurer of Lincoln's Inn, UK

- **Mr David Kirk**, Partner, McGuireWoods LLP and former Chief Criminal Counsel, Enforcement and Financial Crime, Financial Service Authority, UK
- **Mr Lee Davis**, BSA/AML Compliance Section, Board of Governors of the Federal Reserve System, USA
- **Mr Simon York**, Director of Risk and Intelligence Service, HM Revenue and Customs, UK
- **Mr John Reading SC**, Head of Pacific Chambers and former Deputy Director of Public Prosecutions, Hong Kong SAR, People's Republic of China
- **Mr Steven Toscher**, Partner, Hochman, Salkin, Rettig, Toscher & Perez, P.C., USA
- **Mr Eugene Corcoran**, Detective Chief Superintendent, Chief Bureau Officer, Criminal Assets Bureau, An Garda Siochana, Ireland
- **Mr Boudewijn Verhelst**, Deputy Director, Belgium Financial Intelligence Processing Unit CTIF-CFI, Belgium
- **Mr Robert Targ**, Partner, Diaz Reus & Targ LLP, Miami, USA
- **Ms Maggie Yang**, Senior Assistant Director of Public Prosecutions, Department of Justice, Hong Kong SAR, People's Republic of China
- **Mrs Svetla Konstantinova**, Attorney-at-Law, Sofia, Bulgaria and former Minister Counsellor, Bulgarian Embassy, London
- **Mr Karim Rajwani**, Global Head of Anti Financial Crime IT Strategy, Deutsche Bank and former Vice President and Chief AML Officer, Global AML Compliance, Royal Bank of Canada, Canada
- **Dr Robert Vella Baldacchino**, Deputy General Manager, Malta Stock Exchange, Malta
- **Mr Dave Copley**, Organised crime and money laundering investigator and formerly of the Serious Organised Crime Agency, UK
- **Dr George Demetriades**, Lecturer in Law, Neapolis University, Cyprus and Advocate Partner Andreas Chr. Demetriades LLC, Cyprus

**PARALLEL PLENARY WORKSHOP XXVI - 14:00 to 16:00**

**Advanced cyber defence, pro-active compliance and insider fraud detection – should today's banks have three separate departments or one?**

**Mr Dave Porter**, Head of Fraud Strategy, SAS, UK  
**Mr Patrick Craig**, Partner, Financial Services Advisory, Ernst & Young LLP, UK

**PARALLEL PLENARY WORKSHOP XXVII - 14:00 to 16:00**

**Resolution and Recovery - the new landscape for banks**

Chair: **Mr James Mews**, Director, Finance Industry Development, Chief Minister's Department, States of Jersey, UK

**Mr Timothy Buenker**, Policy Advisor, Banking Supervision, European Banking Federation, Belgium  
**Mr Geoffrey Davies**, Head, Resolution Policy Division, Resolution Directorate, Bank of England, UK  
**Professor Sarah Paterson**, Associate Professor, London School of Economics and Senior Consultant to

16:00

Tea

**PLENARY WORKSHOP XXVIII -16:15-17:15**

**Compliance – Italian style**

Chair: **Professor Antonello Miranda**, Professor of Comparative Law and Dean of the School of Social Sciences, University of Palermo, Italy

**Professor Alessandra Pera**, Professor of Comparative Law, University of Palermo, Department of European Studies and International Integration, Italy

**Professor Salvatore Casabona**, Professor of Comparative Law, Department of Political Sciences - University of Palermo, Italy

**Avv. Maria Bruccoleri**, Financial Crimes and Compliance Lawyer, Milan, Italy

**Avv Rosario Di Legami**, Advocate and Judicial Conservator, Studio Legale Di Legami, Italy

**Dott. Federico Tosi**, Researcher, University of Palermo

**Dr Federico Zumpani**, Assistant Researcher in Comparative Law, University of Palermo, Italy

**PLENARY WORKSHOP XXIX - 16:15-17:15**

**Justice delivered, deferred or denied: a US retrospective**

**Professor Jim Fisher**, Shaughnessy Fellow, Emerson Ethics Center, and Chair, Department of Marketing, John Cook School of Business, Saint Louis University, USA

**Professor Muhammad Islam**, Department of Economics, John Cook School of Business, Saint Louis University, USA

**Professor Jim Gilsinan**, Des Lee Endowed Collaborative Vision Professor and formerly Dean of the College of Professional Studies, Saint Louis University, USA

**PLENARY WORKSHOP XXX – 16:15 – 18:30**

**The HSBC chronicles – a saga of compliance failures – what can we learn?**

Chair: **Dr Oonagh McDonald**, International Regulatory Consultant, former Member of Parliament and Principal Private Secretary to the Chief Secretary to the Treasury and Opposition Spokesman on Treasury and Economic Affairs, former Director, Financial Services Authority, FSA Ombudsman Scheme and Investors Compensation Scheme and former General Editor of the Journal of Financial Regulation and Compliance, UK

**Mr Joseph Jaffe**, Chief Compliance Officer, Guidepost Solutions LLC and US District Attorney, US Department of Justice, USA

**Mr Rowan Bosworth-Davies**, Lecturer in Financial Crime, BPP University, former Metropolitan Police Fraud Squad Detective and Financial Expert attached to the United Nations Security Council with special reference to Liberia

**Mr John Moscow**, Partner, Baker & Hostetler, USA and former Assistant District Attorney, Office of the District Attorney of New York, USA

**Mr Michael Ricks**, Managing Director, Enquire International Ltd, UK

**Professor Fletcher Baldwin**, Chesterfield Smith Professor of Law and Director, Centre for International Financial Crimes Studies, University of Florida, USA

**PLENARY WORKSHOP XXXI – 16:15-17:15**

**The Personal liability of compliance staff**

Chair: **Mr Arthur Middlemiss**, Partner, Lewis, Baach, Kaufmann, and Middlemiss, former District Attorney, New York County District Attorney's Office, USA

**Mr John Reading SC**, Head of Pacific Chambers and former Deputy Director of Public Prosecutions, Hong Kong SAR, People's Republic of China

**Mr Michael Ashe QC SC**, 9 Stone Buildings, London, Co- Chairman of the Symposium, Recorder of the Crown Court, England and Wales and Master of the Bench of the Middle Temple

**Mr David Kirk**, Partner, McGuireWoods LLP and former Chief Criminal Counsel, Enforcement and Financial Crime, Financial Service Authority, UK

**Mr David Chenkin**, Partner, Zeichner, Ellman & Krause LLP, USA

**Mr Garrett Lynch**, Deputy Chief, Major Crime Bureau, New York County District Attorney's Office, USA

**Mr Richard Crannis**, Managing Director, Regulatory Consulting, Kinetic Partners, London, UK

<p style="text-align: center;"><b><u>WORKSHOP 17 – 17:30-18:30</u></b></p> <p><b>Seizure and management of suspected criminal property</b></p> <p>Chair: <b>Dr Richard Alexander</b>, Lecturer in Financial Law, School of Oriental and African Studies, University of London and former consultant to the Inter-Governmental Action Group against Money Laundering and Terrorism Financing in West Africa (GIABA)</p> <p><b>Avv Rosario Di Legami</b>, Advocate and Judicial Conservator, Studio Legale Di Legami, Italy</p> <p><b>Professor Fletcher Baldwin</b>, Chesterfield Smith Professor of Law and Director, Centre for International Financial Crimes Studies, University of Florida, USA</p> <p><b>Mr Jeffrey Bryant</b>, Crown Advocate, Proceeds of Crime Unit, Crown Prosecution Service for England and Wales</p> <p><b>Mr Kenneth Murray</b>, Head of Forensic Accountancy, Police Scotland, Scotland</p>	<p style="text-align: center;"><b><u>WORKSHOP 18 – 17:30-18:30</u></b></p> <p><b>What is the point of corporate criminal liability?</b></p> <p>Chair: <b>Mr David Kirk</b>, Partner, McGuireWoods LLP and former Chief Criminal Counsel, Enforcement and Financial Crime, Financial Service Authority, UK</p> <p><b>Mr Satnam Tumani</b>, Partner, Kirkland &amp; Ellis International LLP</p> <p><b>Mr Rod Fletcher</b>, Partner, Herbert Smith Freehills LLP, UK</p> <p><b>Mr Fabio Cagnola</b>, Partner, Studio Legale Bana, Italy</p> <p><b>Mr Wilmer Parker III</b>, Partner, Maloy Jenkins Parker, USA and formerly of the Justice Department, USA</p> <p><b>Mr Brian Spiro</b>, Partner, BCL Burton Copeland, London, UK</p>
<p style="text-align: center;"><b><u>WORKSHOP 19 – 17:30-18:30</u></b></p> <p><b>Human trafficking assets, financial institutions and government intervention</b></p> <p><b>Dr Nancy Baldwin</b>, Attorney at Law, Florida, USA</p> <p><b>Dr Kadriye Bakirci</b>, Hacettepe Universitesi, Turkey</p> <p><b>Mr Graham Ritchie</b>, Judge of the First Tier Tribunal, Solicitor, former Consultant to the Commonwealth Secretariat and former Head of IPTU, Institute of Advanced Legal Studies, University of London, UK</p>	<p style="text-align: center;"><b><u>WORKSHOP 20 – 17:30-18:30</u></b></p> <p><b>Trade based money laundering – the issues for compliance and interdiction</b></p> <p><b>Mr Robert Targ</b>, Partner, Diaz Reus &amp; Targ LLP, Miami, USA</p> <p><b>Mr Clark Abrams</b>, Assistant District Attorney and Chief, Money Laundering and Financial Investigations Unit, Office of the Special Narcotics Prosecutor, City of New York, USA</p> <p><b>Mr Ben Luddington</b>, Director, Forensic Services, PwC, UK</p>
<p style="text-align: center;"><b><u>WORKSHOP 21 – 17:30-18:30</u></b></p> <p><b>Practical issues in dealing with financial crime, corruption and related misconduct in developing countries and transition economies</b></p> <p>Chair: <b>Professor Dayanath Jayasuriya</b>, President's Counsel and former Chairman, Securities and Exchange Commission of Sri Lanka</p> <p><b>Professor Johan Henning</b>, Faculty of Law, University of the Free State, Republic of South Africa</p> <p><b>Dr Frank Madsen</b>, Affiliated Lecturer, Centre for Development Studies, University of Cambridge and former senior official, General Secretariat, ICPO-Interpol</p> <p><b>Ms Pavithri Vithanage</b>, Senior Assistant Controller of Exchange, Central Bank of Sri Lanka</p> <p><b>Professor Siti Faridah</b>, Associate Professor in Law, National University of Malaysia</p> <p><b>Dr Yaraslau Kryvoi</b>, Senior Lecturer in Law, University of West London and Editor of the CIS Arbitration Forum</p> <p><b>Mrs Nishadi Tennekoon</b>, Senior Assistant Director of the Department of Supervision of Non-Bank Financial Institutions, Sri Lanka</p>	<p style="text-align: center;"><b><u>WORKSHOP 22 – 17:30-18:30</u></b></p> <p><b>SME– Failure of financial institutions to guard the gates</b></p> <p><b>Mr Mel Loades</b>, Head of the SME Alliance Advisors Panel and Managing Director, Innate Wisdom, UK</p> <p><b>Mr Andy Keats</b>, Formerly of the Metropolitan Police and Director of the Serious Banking Complaints Bureau, UK</p> <p><b>Mr Steve Middleton</b>, Chartered Insurance Institute, UK</p> <p><b>Mr Abhishek Sachdev</b>, Managing Director, Vedanta Hedging Ltd, UK</p> <p><b>Mr Jon Welsby</b>, Director SME Alliance Ltd and Director, Insolvency Assist, UK</p> <p><b>Mr Paul Turner</b>, Managing Director, Zenith Publishing, UK</p>
<p style="text-align: center;"><b><u>WORKSHOP 23 – 17:30-18:30</u></b></p> <p><b>Insider dealing: the compliance issues</b></p> <p><b>Professor Andrew Campbell</b>, Professor of International Banking and Finance Law, University of Leeds and Solicitor, UK</p> <p><b>Mr Jack Davies</b>, Policy Adviser, HM Revenue and Customs, UK</p> <p><b>Miss Elise Campbell</b>, Researcher, University of Leeds, UK</p> <p><b>Dr Ye Zhen</b>, BPP Law School, BPP University, UK</p>	<p style="text-align: center;"><b><u>WORKSHOP 24 – 17:30-18:30</u></b></p> <p><b>The tax gap in the global economy</b></p> <p><b>Professor Konrad Raczkowski</b>, Director of the Institute of Economics, University of Social Sciences, Poland</p> <p><b>Professor Bogdan Mróz</b>, Warsaw School of Economics, Poland</p>

**19:00** **Cocktails** in the Marquee and **Dinner** in Hall and Upper Hall, generously sponsored by **Koyo Holdings Inc**, Japan, represented by **Mr Koichi Kawaji**, President of Koyo Holdings Inc and **Mrs Yoko Kawaji** and **Ms Hiromi Kawaji**, Anglia Ruskin University, UK

Addresses by **Mr Motohiko Katou**, Envoy Extraordinary and Minister Plenipotentiary, Embassy of Japan, London and **Alderman and Sheriff Dr Andrew Parmley**, Sheriff and Alderman of the City of London, introduced by **Professor Chizu Nakajima**, Co-Director of the Symposium, Professor of Corporate Law and Governance, London Guildhall Faculty of Business and Law, London Metropolitan University, Visiting Professor of Comparative Law, BPP University, and Affiliated Lecturer, University of Cambridge, with a vote of thanks proposed by **Professor Peter Crisp**, Barrister (England and Wales), Dean of Law and Chief Executive, BPP University, London, UK

**Friday, 11<sup>th</sup> September 2015**

**7:15**

**Breakfast Meeting – Think Tank IV precursor – De-risking by financial institutions**

The Combination Room, Jesus College

**08:00** **Session XI: Technology and Compliance – The two edged sword**

Chair: **Sir Kenneth Warren**, Consultant and former Chairman, Select Committee on Trade and Industry, House of Commons, UK

- **Professor Ross Anderson**, Professor of Security Engineering, University of Cambridge, UK
- **Mr David Johnston**, Head, The National Technical Assistance Centre (NTAC), UK and former Commander, Special Operations, Metropolitan Police, UK
- **Professor Peter Sommer**, Visiting Professor Cyber Security Centre, De Montfort University, UK
- **Alderman Michael Mainelli**, Alderman of the City of London and Executive Chairman of Z/Yen Group, UK
- **Mr Chris Conroy**, Principal Deputy Chief, Major Crimes Bureau, New York County District Attorney's Office, USA
- **Mr Dave Porter**, Head of Fraud Strategy, SAS, UK
- **Mr G. Monty Rankin**, Attorney at Law, Florida, USA
- **Mr Trevor Bedeman**, Partner, London Risk, UK
- **Mr Simon Kingsbury**, Director, Financial Crime, Conduct and Regulatory Affairs, Royal Bank of Scotland, London, UK
- **Dr Dionysios Demetis**, Lecturer in Management Systems, Business School, University of Hull, UK
- **Mr Stephen Strickland**, Detective Inspector, Office of National Police Co-ordinator for Economic Crime, City of London Police, UK

**PARALLEL PLENARY WORKSHOP XXXII – 08:00 to 10:45**

**Police intelligence gathering, use and value**

Chair: **Dr Peter German**, former Deputy Commissioner and Director General, Financial Crime, Royal Canadian Mounted Police and currently Regional Deputy Commissioner, Correctional Service and Canada

**Dr Shima Keene**, Senior Analyst and Consultant, Thames Valley Police and Director, Security Economics Programme, Institute of Statecraft, UK

**Ms Lam Man-han Amy**, Superintendent of Police, B Division, Hong Kong SAR, People's Republic of China

**Dr Nick Ridley**, Senior Lecturer, John Grieve Centre, London Metropolitan University and former Senior Analyst, Europol

**Mr Richard Lowe**, Criminal Finances, Campaigns and Threats, National Crime Agency, UK

**Professor George Millard**, Partner, Performance Global Risk Management and Security Consultants, Professor, Sao Paulo Police Academy, President, International Police Association (Brazil) and former Chief of Police and Director of Security, Sao Paulo, Brazil

**Mr David Fitzpatrick**, Barrister, England and Wales and Hong Kong and former Senior Crown Counsel, Hong Kong SAR, People's Republic of China

**Dr Li Xuebin**, Probation Service, Ministry of Justice, UK, Lecturer in Chinese Law, BPP University and former Public Security Bureau, People's Republic of China

**Mr Stefan Cassella**, Chief, Asset Forfeiture and Money Laundering Section, Office of the US Attorney, Baltimore, USA

**PARALLEL PLENARY WORKSHOP XXXIII – 08:00 to 10:45**

**The role and efficacy of civil financial penalties in addressing breaches by the regulated community**

Chair: **Mr James Mews**, Director, Finance Industry Development,  
Chief Minister's Department, States of Jersey

**Professor Johan Henning**, Senior Professor of Mercantile Law, Distinguished Emeritus  
Professor and former Dean of Law, University of the Free State, South Africa

**Professor Chizu Nakajima**, Co-Director of the Symposium, Professor of Corporate Law and  
Governance, London Guildhall Faculty of Business and Law, London Metropolitan University,  
Visiting Professor of Comparative Law, BPP University, and Affiliated Lecturer, University of  
Cambridge, UK

**Ms Naomi L'Estrange**, Trustee Director, 20-20 Trustees and former Director of Strategy,  
Pension Protection Fund, UK

**Mr Chris Stears**, Solicitor, Researcher, Institute of Advanced Legal Studies, University of  
London and the Law Commission for England and Wales, UK

10:45 Coffee

11:00 **Session XII: Sharing information and issues of data protection**

Chair: **Mr Christopher Graham**, The Information Commissioner for the United Kingdom

- **Mr Stefan Cassella**, Chief, Asset Forfeiture and Money Laundering Section, Office of the US Attorney, Baltimore, USA
- **Mr Kevin Davis**, Chief Investigator, Serious Fraud Office for England, Wales and Northern Ireland, UK
- **Mr Thomas Sawyer**, Senior Litigation Counsel and Counsel for International Tax Matters, Tax Division, Department of Justice, USA
- **Dr Massimo Nardo**, Co-ordinator, Organised and Economic Crime, National Financial Intelligence Unit, Banca d'Italia, Italy
- **Dr Nick Ridley**, Senior Lecturer, John Grieve Centre, London Metropolitan University and former Senior Analyst, Europol
- **Ms Polly Greenberg**, Kinetic Partners and former Chief, Major Crimes Bureau, New York County District Attorney's Office, USA
- **Mr Richard Parlour**, Principal, Financial Markets Law International, UK
- **Professor Stuart Bazley**, Barrister, Consultant and Professor in Financial Law, BPP University, UK
- **Professor Cheng Lei**, Associate Professor of Criminal Procedure Law, Renmin University, People's Republic of China
- **Mr Jason Woodland**, Special Counsel, Commercial Litigation, Civil Fraud and Asset recovery, Peters and Peters, London, UK
- **Ms Carol van Cleef**, Partner, Manatt Phelps & Phillips, USA
- **Mr Patrick Rappo**, Partner, Steptoe & Johnson, London and formerly of the Serious Fraud Office for England, Wales and Northern Ireland, UK
- **Mr Neil Bennett**, Consultant and formerly Metropolitan Police, UK
- **Dr Li Xuebin**, Probation Service, Ministry of Justice, UK, Lecturer in Chinese Law, BPP University and former Public Security Bureau, People's Republic of China

**PARALLEL PLENARY WORKSHOP XXXIV – 11:00 to 12:30**

**Bank conduct risk – the issues beyond regulatory compliance**

Under the auspices of the **CCP Research Foundation C.I.C**

**Mr Chris Stears**, Solicitor, researcher, Institute of Advanced Legal Studies, University of London and the Law  
Commission for England and Wales, UK

**Professor Roger McCormick**, Solicitor, Visiting Professor, London School of Economics, former Partner,  
Freshfield Bruckhaus Deringer and King & Spalding and Chairman of the Law Sub-Committee of the City of  
London Law Society, UK

**Professor Alan Morrison**, Professor of Law and Finance, The Saïd Business School, University of Oxford, UK

13:00 Lunch in Hall and Upper Hall

14:00 **Session XIII: Disruption, intervention and compliance**

Chair: **Mr Mark Turkington**, UK Head of Sanctions, HSBC and former Senior Manager Australian AML,  
Bribery and Sanctions Compliance, National Australia Bank, Australia

- **Mr Yehuda Shaffer**, Deputy State Attorney (Financial Crime), Israel
- **Mr Frederic Raffray**, Crown Advocate, Guernsey
- **Mr Sarabjit Singh**, former Director General, Bureau of Police Research and Intelligence, Indian Police Service, New Delhi, India
- **Mr John Reading SC**, Head of Pacific Chambers and former Deputy Director of Public Prosecutions, Hong Kong SAR, People's Republic of China

- **The Hon Mr Rufus Godwins**, Head of Service of Rivers State Nigeria and former Director of Public Prosecutions, Rivers State, Nigeria
- **Professor Mario Serio**, Professor of Comparative Law, University of Palermo, Italy and former Consigliere, Consiglio Nazionale della Magistratura and Consiglio Superiore della Magistratura, Italy
- **Mr Paul Hauser**, Partner, Bryan Cave LLP, UK
- **Mr David Fitzpatrick**, Barrister, England and Wales and Hong Kong and former Senior Crown Counsel, Hong Kong SAR, People's Republic of China
- **Dr Paul Catchick**, Senior Investigator, Head of Investigations and Counter-Fraud, Gavi, the Vaccine Alliance, Switzerland
- **Mr Ming-Hsien Lin**, Special Agent, Investigation Bureau, Ministry of Justice, Taiwan
- **Mr Rowan Bosworth-Davies**, Lecturer in Financial Crime, BPP University, former Metropolitan Police Fraud Squad Detective and Financial Expert attached to the United Nations Security Council with special reference to Liberia
- **Dr David Lowe**, Principal lecturer in law, Liverpool John Moores University, Academic Fellow of the Honourable Society of the Inner Temple and formerly Special Branch's Counter Terrorism Unit, UK
- **Professor Dan Magnusson**, Professor of Law and Society, Jönköping International Business School, Sweden and former Deputy Director of the Swedish Economic Crime Bureau, Sweden

**PARALLEL PLENARY WORKSHOP XXXV – 14:00 to 16:00**

**The consequences of a risk based approach: government deputization, requiring financial institutions to take on (and not exit) high risk customers**

Chair: **Mr Robert Axelrod**, Director, Forensic Practice, Deloitte Financial Advisory Services LLP, USA  
**Mr Neil Jeans**, Director, Yarra Valley Associates, Australia and former Chief Executive Officer, Australian Transaction Reports and Analysis Centre (AUSTRAC), Australia  
**Mr Mark Turkington**, UK Head of Sanctions, HSBC and former Senior Manager Australian AML, Bribery and Sanctions Compliance, National Australia Bank, Australia  
**Mr Karim Rajwani**, Global Head of Anti Financial Crime IT Strategy, Deutsche Bank and former Vice President and Chief AML Officer, Global AML Compliance, Royal Bank of Canada, Canada  
**Mr Clark Abrams**, Assistant District Attorney and Chief, Money Laundering and Financial Investigations Unit, Office of the Special Narcotics Prosecutor, City of New York, USA

16:00 Tea

**PLENARY WORKSHOP XXXVI – 16:15 to 17:15**

**Confiscating the proceeds of crime - the ideal system?**

**A comparison of legislative and administrative provisions facilitating the seizure of criminal proceeds**

Chair: **Mr John Reading SC**, Head of Pacific Chambers and former Deputy Director of Public Prosecutions, Hong Kong SAR, People's Republic of China  
**Mr Stefan Cassella**, Chief, Asset Forfeiture and Money Laundering Section, Office of the US Attorney, Baltimore, USA  
**Dr Marcus Smith**, Principal Research Analyst, Australian Institute of Criminology, Canberra, Australia  
**Ms Catherine Fung**, Barrister, former Assistant Director of Public Prosecutions in Hong Kong SAR, People's Republic of China

**PLENARY WORKSHOP XXXVII– 16:15 – 17:15**

**Data sharing and the information war against economic crime**

Chair: **Mr Trevor Bedeman**, Partner, London Risk, UK  
**Mr Sven Kihlgren**, Head, Special Enforcement, Ekobrottsmyndigheten (Economic Crime Authority), Sweden  
**Ms Anne Green**, Head of Underwriting Fraud, Aviva, UK  
**Mr Dave Porter**, Head of Fraud Strategy, SAS UK  
**Mr Simon Dukes**, Chief Executive, Cifas, UK

**PLENARY WORKSHOP XXXVIII – 16:15 to 17:15**

**Money Laundering and the art market**

Chair: **Dr Cécile Ringgenberg**, Law Office of C Ringgenberg, Geneva, Switzerland  
**Mr John Moscow**, Partner, Baker & Hostetler, USA and former Assistant District Attorney, Office of the District Attorney of New York, USA  
**Mr Charles Hill**, Artrisk UK and formerly of the Arts and Antiques Squad, Metropolitan Police, UK

**PLENARY WORKSHOP XXXIX– 16:15 to 17:15**

**Banking confidentiality and the right to privacy: Tracing the proceeds of crime in offshore financial centres**

Chair: **Mr Saul M Froomkin QC**, Director, Head of Litigation, BeesMont Law Limited and former Attorney General of Bermuda

**Professor Rose-Marie Antoine**, Dean, Faculty of Law, University of the West Indies, St Augustine, Trinidad and Tobago

**Dr Mary Alice Young**, Lecturer in Law, Bristol Law School, University of the West of England, UK

**Mr Simon Dickson**, Partner, Mourant Ozannes, Cayman Islands

**WORKSHOP 25 – 17:30-18:30**

**US DOJ Swiss Bank Program: perspectives on the program for non-prosecution agreements for the resolution of tax issues**

**Mr Thomas J. Sawyer**, Senior Litigation Counsel and Counsel for International Tax Matter, Tax Division U.S. Department of Justice

**Mr Steven Toscher**, Partner, Hochman, Salkin, Rettig, Toscher & Perez, P.C., USA

**WORKSHOP 26 – 17:30-18:30**

**The compliance officer’s dilemma – What to put in writing**

Chair: **Mr Martin Johnson**, Compliance Officer, Thomson Reuters, UK

**Mr Martin Woods**, MLRO, Thomson Reuters, UK

**Ms Samantha Sheen**, Consultant and former Director, Financial Crime Supervision and Policy Division, Guernsey Financial Services Commission, UK

**Mr Mark Emery**, Partner, Withy King, Oxford, UK

**WORKSHOP 27 – 17:30-18:30**

**Why do people commit financial crime and can we learn anything from the cultural environment?**

**Dr Kadir Ozkan**, Director of the International Affairs Division, Turkish National Police Forensic Laboratories, Turkey

**WORKSHOP 28 – 17:30-18:30**

**Issues related to digital currencies and digital assets in policing integrity**

**Ms Carol van Cleef**, Partner, Manatt Phelps & Phillips, USA

**Ms Katherine Haun**, Assistant US Attorney, Northern District of California, USA

**WORKSHOP 29 – 17:30-18:30**

**Complying with local regulation and global standards: a Chinese perspective**

Chair: **Mr Clark Abrams**, Assistant District Attorney and Chief, Money Laundering and Financial Investigations Unit, Office of the Special Narcotics Prosecutor, City of New York, USA

**Mr Geoffrey Sant**, Special Counsel, Dorsey & Whitney, Adjunct Professor, Fordham Law School, and Director, Chinese Business Lawyers Association, New York, USA

**Mr Frank Hong**, Partner, Dorsey & Whitney, Shanghai, People’s Republic of China

**Mr Armstrong Sheng Chen**, Partner, King & Wood Mallesons and formerly Deputy Director of the Supervisory Rules and Regulations Department, China Banking Regulatory Commission, Beijing, People’s Republic of China

**Mr Zheng Yu**, Partner, Jun He, Beijing, People’s Republic of China

**Dr Bian Jing**, Head of Chinese Market, Orwell Group Holding Ltd and formerly of the Public Security Bureau of the People’s Republic of China

**Ms Jing Xu**, Research Fellow, Hubei Institute for Strategic Studies and Legal Development, Zhongnan University of Economics and Law

**WORKSHOP 30 – 17:30-18:30**

**Compliance - the changing dynamics in the interaction between regulators and regulated entities**

Chair: **Professor Dayanath Jayasuriya**, President's Counsel, consultant to the International Compliance Association and former Chairman, Securities and Exchange Commission of Sri Lanka

**Mr Philip Rutledge**, Partner, Bybel and Rutledge LLP and former Chief Counsel, Pennsylvania Securities Commission, USA

**Mrs Nishadi Tennekoon**, Senior Assistant Director of the Department of Supervision of Non-Bank Financial Institutions, Sri Lanka

**WORKSHOP 31 – 17:30-18:30**

**Politically Exposed Persons – the compliance issues**

**Mr Ricardo Alba**, Consultant and Advisor to the

**WORKSHOP 32 – 17:30-18:30**

**Sources of information – witness and informant protection**

**Mr Mike Dixon**, Researcher, Anglia Ruskin University,

<p>Government of Panama, Panama  <b>Dr Richard Alexander</b>, Lecturer in Financial Law, School of Oriental and African Studies, University of London and former consultant to the Inter-Governmental Action Group against Money Laundering and Terrorism Financing in West Africa (GIABA)  <b>Professor Fletcher Baldwin</b>, Chesterfield Smith Professor of Law and Director, Centre for International Financial Crimes Studies, University of Florida, USA  <b>Mr Rowan Bosworth-Davies</b>, Lecturer in Financial Crime, BPP University, former Metropolitan Police Fraud Squad Detective and Financial Expert attached to the United Nations Security Council with special reference to Liberia</p>	<p>Cambridge and former Detective Inspector Metropolitan Police, London, UK  <b>Professor William Tupman</b>, Professor of Criminal Justice, BPP University and Research Fellow, University of Exeter, UK</p>
<p><b><u>WORKSHOP 33 – 17:30-18:30</u></b>  <b>‘Boiler room’ scams</b></p> <p><b>Ms Wendy Mead</b>, Member of the Common Council of the City of London and former Sheriff of the City of London, UK  <b>Ms Sally Oakley</b>, Trading Standards Officer, Corporation of the City of London, UK</p>	<p><b><u>WORKSHOP 34 – 17:30-18:30</u></b>  <b>International corruption in publicly subsidized transactions</b></p> <p><b>Dr Alessandro Napolitano</b>, Legal Director, SACE S.P.A, Italy</p>

**Alternative Programme – Friday 11<sup>th</sup> September 2015**

**Restoring the reputation of the City of London**

Under the auspices of the **Chartered Institute for Securities and Investment (CISI)**

**14:00**      **Session 1: The criminal threat to the city**  
Chair: **Mr George Littlejohn**, Senior Adviser, Chartered Institute for Securities & Investment, (CISI) UK

- **Mr Richard Parlour**, Principal, Financial Markets Law International, UK
- **Mr Mark Rainsford QC**, 33 Chancery Lane, London, UK
- **Mr Jason Sugarman**, Chamber of Mukul Chawla, UK

**16:00**      **Tea**

**Session 2: New threats to the markets and financial infrastructure**  
Chair: **Mr Alan Ramsey**, Senior Advisor, PWC and Deputy Chairman, Chartered Institute for Securities and Investment (CISI), UK

- **Mr Daniel Corrigan**, Chief Executive Officer, CME Europe Trade Repository, UK
- **Alderman Michael Mainelli**, Alderman of the City of London and Executive Chairman of Z/Yen Group, UK
- **Mr Martin Watkins**, Partner, Ernst & Young, London, UK

**Questions and Answers:**  
Chair: **Mr Michael Ashe QC SC**, 9 Stone Buildings, London, Co- Chairman of the Symposium, Recorder of the Crown Court, England and Wales and Master of the Bench of the Middle Temple, UK

**19:00**      **Cocktails** in the Marquee Generously hosted by **The Company Lawyer**

**Dinner** in Hall and Upper Hall, Jesus College generously sponsored by **Chartered Institute for Securities and Investments (CISI)**

Addresses by **Dr Kwasi Alfred Addo Kwarteng MP**, author and formerly of JP Morgan, **The Hon John Maher III**, Member and Speaker *pro tempore*, House of Representatives, Commonwealth of Pennsylvania and Vice Chairman, Centric Bank, USA and **Mr Stephen Alexander Hockman QC**, Master Treasurer of the Honourable Society of the Middle Temple and former Chairman of the Bar Council for England and Wales, introduced by **Mr Nicholas Walmsley**, Director, Head of Compliance and Risk Culture Training, Deutsche Bank AG, London, UK, with a vote of thanks proposed by **Ms Wendy Mead**, Member of the Common Council of the City of London and former Sheriff of the City of London, UK

**Saturday, 12<sup>th</sup> September 2015**

**8:00**      **Session XIV: The legal and regulatory risks to those who do compliance**

Chair: **Professor Barry A.K Rider**, Co-Chairman of the Symposium, Professorial Fellow, Centre of Development Studies, University of Cambridge

- **Mr Roger Stewart QC**, 4 New Square, Recorder of the Crown Court of England and Wales and Master of the Bench of the Inner Temple, UK
- **Mr Alistair Graham**, Partner, Mayer Brown International LLP, UK
- **Professor Michelle Gallant**, Associate Dean (Research and Graduate Studies) and Executive Director, Legal Research Institute, Faculty of Law, University of Manitoba, Canada
- **Mr Nicholas Walmsley**, Director, Head of Compliance and Risk Culture Training, Deutsche Bank AG, London, UK
- **Mr Mark Compton**, Partner, Mayer Brown LLP, London, UK
- **Professor Siti Faridah**, Solicitor and Advocate (Malaysia) and Associate Professor of Law, National University of Malaysia, Malaysia
- **Professor Andreas Kapardis**, Chairman and Professor of Criminology, Law Department, University of Cyprus
- **Professor Maria Krambia-Kapardis**, Associate Professor of Accounting, Cyprus University of Technology
- **Professor Fletcher Baldwin**, Chesterfield Smith Professor of Law and Director, Centre for International Financial Crimes Studies, University of Florida, USA
- **Mr K Muralidharan Pillai**, Partner, Rajah & Tann LLP, Singapore
- **Dr Alessandro Napolitano**, Legal Director, SACE S.P.A, Italy
- **Dr Iyandra Bryan**, Barrister, Managing Director, Lyford Tree Legal and Assistant Professor, Faculty of Law, College of the Bahamas
- **Professor Nigam Nuggenhalli**, Associate Professor, Azim Premji Univeristy, Bangalore, India
- **Mr Mark Sutherland**, Barrister, Joseph W.Y. Yse, SCs Chambers, Hong Kong SAR, People's Republic of China

**Alternative Programme (Continued) – Saturday 12<sup>th</sup> September 2015**

Organised by the **Chartered Institute for Securities and Investment (CISI)**

**08:00**

**Session 3: Tackling new threats in wealth management**

Chair: **Mr John Barrass**, Deputy Chief Executive, The Wealth Management Association, UK

- **Mr Mark Johnson**, CEO, The Risk Management Group, UK
- **Mr Nick Newman**, Policing Expert, PA Security, UK
- **Mr Carl Roberts**, Policing Expert, PA Security, UK

**10:45**

**Coffee**

**11:00**

**Session 4: Building the right leadership cultures**

Chair: **Dr Andrew Hilton**, Director, Centre for the Study of Financial Innovation, UK

- **Professor Jackie Harvey**, Professor of Financial Management and Director of Business Research, Newcastle Business School, Northumbria University, UK
- **Mr Andrew St George**, Principal, St George Partners, UK
- **Mr Gulrez Yazdani**, Author, Pakistan
- **Professor Chizu Nakajima**, Co-Director of the Symposium, Professor of Corporate Law and Governance, London Guildhall Faculty of Business and Law, London Metropolitan University, Visiting Professor of Comparative Law, BPP University, Affiliated Lecturer, University of Cambridge, UK
- **Professor Andrew Haynes**, Director, Institute of Financial Law, University of Wolverhampton, UK

**13:00**

**Lunch** in Hall and Upper Hall

**14:00**

Participants in this alternative programme are invited to join the Plenary Sessions

**10:45** **Coffee**

**11:00** **Session XV: The legal, regulatory and ethical responsibilities of those in management in regard to the efficacy of their compliance systems and the conduct of their clients**

Chair: **His Honour Judge Michael Hopmeier**, Circuit Judge Kingston-upon-Thames Crown Court, Visiting Professor at City University London and Master of the Bench of the Middle Temple, UK

- **Ms Angela Foyle**, Partner, MLRO and Head of Financial Services and Tax, BDO LLP and chairman of the ICAEW Money Laundering Committee, UK

- **Mr Philip Rutledge**, Partner, Bybel and Rutledge LLP and Visiting Professor in Law, BPP University and former Chief Counsel, Pennsylvania Securities Commission, USA
- **Mr Michael Ashe QC SC**, 9 Stone Buildings, London, Co-Chairman of the Symposium, Recorder of the Crown Court, England and Wales and Master of the Bench of the Middle Temple
- **Mr John Moscow**, Partner, Baker & Hostetler, USA and former Assistant District Attorney, Office of the District Attorney of New York, USA
- **Professor Virginia Maurer**, Professor of Business Law and Legal Studies and Director, Poe Center for Business Ethics, Warrington College of Business Administration, University of Florida, USA
- **Professor Dalvinder Singh**, Professor of Banking Law, School of Law, Warwick University, UK
- **Ms Wendy Tien**, Deputy Assistant Director, Office of Review and Oversight, former Trial Attorney, Civil Division, US Department of Justice, Executive Office for the United States Trustees, USA
- **Ms Felicity Banks**, Head of Business Law, Institute of Chartered Accountants in England and Wales and member of HM Treasury's Money Laundering Advisory Committee, UK
- **Mr Simon Dickson**, Partner, Mourant Ozannes, Cayman Islands
- **Ms Catherine Pedamon**, Lecturer, School of Law, University of Westminster, London, UK, Director of the Franco British Lawyers Association and a member of the Paris and New York Bars
- **Mr Salim Al-Ali**, Researcher, Institute of Advanced Legal Studies, University of London, UK and Lecturer College of Law, University of the United Arab Emirates, Abu Dhabi

**PARALLEL PLENARY WORKSHOP XLI – 11:00 to 13:00**

**Corruption, governance and development**

**Ms Ingrida Kerusauskaite**, International Development Assistance Services, KPMG LLP, London and researcher, Centre for Development Studies, University of Cambridge, UK

**Mr Matthew Glanville**, Senior Advisor on International Development, KPMG LLP, London, UK

**13:00** Lunch in Hall and Upper Hall

**14:00** **Session XVI: The future of compliance**

Chair: **Sir Kenneth Warren**, Consultant and former Member of Parliament and Chairman, Select Committee on Trade and Industry, House of Commons, UK

- **The Hon John Maher III**, Member and Speaker *pro tempore*, House of Representatives, Commonwealth of Pennsylvania and Vice Chairman, Centric Bank, USA
- **Mr Mark Cheeseman**, Head of Fraud and Error Policy, Fraud Error and Debt Team, Efficiency & Reform Group, Cabinet Office, UK
- **Lic Zenón Biagosch**, President, Fides Net, Director, Business School, Pontifical Catholic University, Argentina and former Vice President, Central Bank of Argentina, Argentina
- **Mr Armstrong Sheng Chen**, Partner, King & Wood Mallesons, and formerly Deputy Director of the Supervisory Rules and Regulations Department, China Banking Regulatory Commission, Beijing, People's Republic of China
- **Professor Rose-Marie Antoine**, Dean, Faculty of Law, University of the West Indies, St Augustine, Trinidad and Tobago
- **Mr Nick Andrews**, Managing Director Mpac Group and Master of the Worshipful Company of Pattenmakers of the City of London, UK
- **Professor Johan Henning**, Senior Professor of Mercantile Law, Distinguished Emeritus Professor and former Dean of Law, University of the Free State, South Africa
- **Professor Dayanath Jayasuriya**, President's Counsel and former Chairman, Securities and Exchange Commission of Sri Lanka and Consultant to the International Compliance Association
- **Dr Nurset Cetin**, Attorney at Law, Deputy of Legal Affairs and Head of Institutional Relations Group, Capital Markets Board of Turkey
- **Professor Antonello Miranda**, Professor of Comparative Law and Dean of the School of Social Sciences, University of Palermo, Italy
- **Dr Shirley Quo**, Senior Lecturer, Law School, Murdoch University, Australia
- **Dr Robert Vella Baldacchino**, Deputy General Manager, Malta Stock Exchange, Malta
- **Ms Helen Hatton**, Managing Director, Sator Regulatory Consulting Ltd and former Deputy Director, Jersey Financial Services Commission
- **Mr Adam Kaufmann**, Partner, Lewis, Baach, Kaufmann and Middlemiss, and former Executive Assistant District Attorney and Chief of the Investigation Divisions, New York County District Attorney's Office, USA
- **Professor Andrew Haynes**, Director, Institute of Financial Law, University of Wolverhampton, UK
- **Mr Rob McCusker**, Senior Vice President (Asia-Pacific), Vigilance Australia and Director of the Transnational Crime Academy, Gulf Vigilance, Dubai
- **Dr Bian Jing**, Head of Chinese Market, Orwell Group Holding Ltd and formerly of the Public Security Bureau of the People's Republic of China
- **Professor Richard Gordon**, Director, Financial Integrity Programs, Brown University and former Senior Counsel, International Monetary Fund, USA

- **Dr Lu'ayy Al-Rimawi**, Programme Leader in Islamic Finance Law, BPP University and former Visiting Fellow, Harvard Law School, USA and Consultant, UK
- **Dr Kadir Ozkan**, School of Government and International Affairs, Durham University and Director International Affairs Division, Turkish National Police Forensic Laboratories, Turkey
- **Professor Wei Yee Wan**, Associate Professor, Singapore Management University, Singapore
- **Mr Brian Sapati**, Deputy Director General, of the Inter-Governmental Action Group against Money Laundering and Terrorism Financing in West Africa (GIABA) and former Director, The Serious Fraud Office, Ghana
- **Dr Samah Aga**, Assistant Professor, Dar Al Hekma University, Saudi Arabia
- **Mr Roger McCormick**, Visiting Professor, London School of Economics, former Partner, Freshfield Bruckhaus Deringer and King & Spalding and Chairman of the Law Sub-Committee of the City of London Law Society

### Closing Address

- **The Hon Dr Ravi Karunanayake**, Minister of Finance, Government of Sri Lanka

### Closing Remarks

- **Professor Barry A.K Rider**, Founder and Executive Director and Co-Chairman of the Symposium, and Professorial Fellow, Centre of Development Studies, University of Cambridge, UK
- **Mr Saul M Froomkin QC**, Chairman of the Symposium, Director, Head of Litigation, BeesMont Law Limited and former Attorney General of Bermuda and former Attorney General of Bermuda

### Alternative Programme – (Saturday 12<sup>th</sup> September)

#### WHISTLE-BLOWING – THE PRACTICAL ISSUES

An alternative programme under the auspices of **Whistleblowers UK**

08:30

#### **Session I: What is and is not whistle-blowing**

Chair: **Mr Ian Foxley**, Chairman, Whistleblowers, UK and formerly SANGCOM, Airbus Industries and Project Manager, GPT

- **The Lord Phillips of Sudbury**, Solicitor, Member of the Liberal Democratic Party and former Chancellor of the University of Essex, UK
- **Mrs Tessa Munt**, Liberal Democratic Party and Parliamentary Private Secretary to the Secretary of State for Business Innovation and Skills, UK
- **Professor David Lewis**, Director, Whistleblower Research Unit, Middlesex University, UK
- **Dr Marianna Fotaki**, Professor of Business Ethics, Business School, Warwick University and Visiting Fellow, University of Manchester, UK
- **Dr Katharina Wegmann**, Adjunct Professor, NYU Stern School of Business, USA
- **Professor Terry Dworkin**, Jack R. Wentworth Professor, Business Law, Kelly School of Business, Dean, Office for Women's Affairs, Indiana University, USA

10:45

Coffee

11:00

#### **Session 2: The whistle-blowers**

Chair: **Mr Ian Foxley**, Chairman, Whistleblowers, UK and formerly SANGCOM, Airbus Industries and Project Manager, GPT

- **Ms Bonita Mersiades**, formerly FIFA, Australia
- **Mr Paul Moore**, Non-Executive Chairman, Assetz Capital, and formerly Head of Group Regulatory Risk, HBOS Plc, UK
- **Ms Sue Shelley**, Compliance Consultant and former HSBC Luxembourg Chief Compliance Officer, Luxembourg
- **Ms Daphne Havercroft**, former University Hospitals Bristol, NHS Foundation Trust, UK
- **Ms Tracy Boylin**, former Human Resources Director, The Christi Hospital, UK
- **Ms Georgina Halford-Hall**, Consultant, UK
- **Mr Ian Foxley**, Chairman, Whistleblowers, UK and formerly SANGCOM, Airbus Industries and Project Manager, GPT
- **Ms Wendy Addison**, author, Republic of South Africa

13:00

Lunch in Hall and Upper Hall

14:00

#### **Session 3: Celebrating good practice – Balancing the cost and benefits to business and whistle-blower protection mechanisms**

Chair: **Ms Georgina Halford-Hall**, Consultant, UK

- **Ms Bonita Mersiades**, formerly FIFA, Australia

- **Professor Craig Smith**, Chair in Ethics and Social Responsibility, European Institute of Business Administration (INSEAD), France
- **Dr Mary Gentile**, Senior Research Scholar, Babson College, USA
- **Dr Katharina Wegmann**, Adjunct Professor, NYU Stern School of Business, USA
- **Dr Philipa Foster Back**, Director, Institute of Business Ethics, UK
- **Ms Cathy James**, CEO, Public Concern at Work, UK

**16:15** **Discussion** chaired by **Professor Chizu Nakajima**, Co-Director of the Symposium, Professor of Corporate Law and Governance, Faculty of Business and Law, London Metropolitan University, Visiting Professor of Comparative Law, BPP University, Affiliated Lecturer, University of Cambridge, UK

**18:30** **Cocktails** in the Marquee generously sponsored by **Mayer Brown International LLP**

**19:45** **Dinner** in Hall and Upper Hall, Jesus College generously hosted by **The Centre for International Documentation on Organised and Economic Crime (CIDOEC)**

**After-dinner Addresses** by **Professor Ian White**, The Master of Jesus College and Deputy Vice Chancellor of the University of Cambridge, Van Eck Professor of Engineering and Head of the Photonic Research Group, University of Cambridge, **The Rt Hon Sir John Mummery PC, QC**, former Lord Justice of Appeal, England and Wales, President of the Intelligence Services Tribunal and the Investigating Powers Tribunal and Honorary Fellow of Pembroke College, University of Oxford, UK, **Professor Jonathan Jansen**, Rector and Vice Chancellor, University of the Free State, Republic of South Africa and **Mr Saul Fromkin QC**, Chairman of the Symposium, introduced by **Colonel Robert Murfin DL**, President of the Fellowship of Clerks of the City of London and Clerk to the Worshipful Company of Pattenmakers of the City of London, with a votes of thanks proposed by **Professor Michael Waring**, Emeritus Professorial Fellow, Jesus College, University of Cambridge and **Mr Nick Andrews**, Managing Director Mpac Group and Master of the Worshipful Company of Pattenmakers of the City of London, UK

***Sunday, 13<sup>th</sup> September 2015***

**8:00** **After breakfast participants in the 33<sup>rd</sup> Cambridge International Symposium on Economic Crime may participate in one or more of the following think tanks or a forum held under ‘Chatham House Rule’**

**Think Tank I: The impact of cyber crime and cyber crime prevention and compliance**

Co-Convenors: **Mr Dave Porter**, Head of Fraud Strategy, SAS, UK and **Mr Trevor Bedeman**, Partner, London Risk, UK

**Think Tank II: Issues in the control of organised crime**

Co-Convenors: **Professor William Tupman**, Professor of Criminal Justice, BPP University and Research Fellow, University of Exeter; **Dr Shima Keene**, Senior Analyst and Consultant, Thames Valley Police and Director, Security Economics Programme, Institute of Statecraft, UK and **Dr Frank Madsen**, Von Hugel Institute, St. Edmund's College, Cambridge, Affiliated Lecturer, University of Cambridge, Adjunct Professor at Henley-Putnam University at Santa Clara, California, USA and former senior official, General Secretariat, ICPO-Interpol

**Think Tank III: Governance, compliance, accountability and lobbying**

Co-Convenors: **Professor Chizu Nakajima**, Co-Director of the Symposium, Professor of Corporate Law and Governance, London Guildhall Faculty of Business and Law, London Metropolitan University, Visiting Professor of Comparative Law, BPP University, Affiliated Lecturer, University of Cambridge, **Mr Stephen Alexander Hockman QC**, Master Treasurer of the Honourable Society of the Middle Temple and former Chairman of the Bar Council for England and Wales, **Mr Rod Dowler**, Chairman, Industry Forum and former partner, KPMG, London, and **Professor Wes Harry**, senior advisor and consultant to Asian and Arab banks and Visiting Professor, Chester Business School, UK.

**Think Tank IV: De-risking by financial institutions**

Co-Convenors: **Professor Louis de Koker**, Professor of Law, School of Law, Faculty of Business and Law, Deakin University, Australia and **Dr Matt Collin**, Research Fellow, Centre for Global Development and member of the Secretariat for the Working Group on the Unintended Consequences of Rich Countries’ AML Policies on Poor Countries, UK

## Compliance Forum

Chair: **Mr Saul Froomkin QC**, Chairman of the Symposium

The above programme is confirmed. However, inevitably given the number of speakers and panellists, there will be changes and a fully updated programme will be available on the website, [www.crimesymposium.org](http://www.crimesymposium.org)

## Workshops

Participation in the **non-plenary** workshops will be restricted so as to facilitate informal discussion. Registration for workshops will be on a first come basis. The convenors for each workshop are indicated in the programme, but discussion will be open to all those participating



**UNIVERSITY OF  
CAMBRIDGE**

### **Jesus College, Cambridge and the University of Cambridge**

Jesus College was founded as a college, within the University of Cambridge, in 1496 by Bishop Alcock of Ely. The history of the College is, however, rather more ancient. An order of nuns occupied the site and buildings for at least two hundred and fifty years before this. Since the inception of the annual Cambridge Symposium, thirty-three years ago by Professor Barry Rider, the Master and Fellows of the College have been pleased to host the event and the College administers all financial matters pertaining to the programme.

The earliest record of the University of Cambridge is in 1209 so the University has recently celebrated its 800th anniversary. The University, consisting of over 100 departments, faculties and schools, is rated as the world's foremost research university. A number of the University's centres and programmes are involved in supporting the annual Cambridge Symposium on Economic Crime.



CIDOEC

### **The Centre for International Documentation on Economic and Organised Crime (CIDOEC)**

CIDOEC was established as a non-profit making organisation and network in 1988 to promote collaborative and comparative research in the prevention and control of organised and economic crime. It is based in Cambridge, although it has branches in southern Africa, North America, Latin America and the Far East. The Chairman of CIDOEC's Advisory Board is Mr Saul M Froomkin QC, OBE, a former Attorney General of Bermuda.



### **The Institute of Advanced Legal Studies and the Society for Advanced Legal Studies**

The IALS was established in 1947 and is a constituent member of the School for Advanced Study of the University of London. Although part of the University of London, the Institute's role is national, and is funded by government on this basis. Its library is the national law library and the Institute's research staff are concerned with promoting and conducting research across a broad spectrum of legal and related issues.



### **National Crime Agency**

The NCA leads, supports and co-ordinates the response against serious and organised crime affecting the UK with a national and international reach and the mandate and powers to work in partnership with other law enforcement organisations. It incorporates a number of commands including the Economic Crime Command and the National Cyber Crime Unit. The commands are supported by a central Intelligence Hub. The Economic Crime Command is tasked with leading and co-ordinating the response to economic crime affecting the U.K., including amongst others: fraud; cyber-enabled fraud; bribery and corruption; intellectual property crime and market abuse



### **City of London Police**

The City of London's Police are entrusted as the National Lead Force for fraud on behalf of the UK Police Service. They lead the police service fight against fraud and economic crime.



### **The Serious Fraud Office of England, Wales and Northern Ireland**

The Serious Fraud Office is an independent government department, operating under the superintendence of the Attorney General. Its purpose is to protect society by investigating and, if appropriate, prosecuting those who commit serious or complex fraud, bribery and corruption and pursuing them and others for the proceeds of their crime. Its Director is David Green CB QC.

The Organising Institutions of the Thirty-Third Cambridge International Symposium on Economic Crime and Jesus College, Cambridge wish to acknowledge the generous support of the following sponsors:

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The Centre for International Documentation on Organised and Economic Crime (CIDOEC); the Centre of Development Studies, University of Cambridge; the Computer Security Group, University of Cambridge; the Institute of Advanced Legal Studies (IALS), University of London; the Society for Advanced Legal Studies (SALS); Hengchang Litong Investment Management (Beijing) Co. Ltd.; City of London Police UK, National Lead Force for Fraud and Economic Crime; the International Chamber of Commerce (ICC); the International Anti-Corruption Academy; Hubei Institute for Strategic Studies of Legal Development, Centre of Rule of Law Development and Judicial Reform, Zhongnan University of Economics and Law; the Australian Institute of Criminology; the Centre for Strategic and Global Studies, Russian Academy of Sciences; the Nathanson Centre on Transnational Human Rights, Crime and Security, York University, Canada; the Argentine Federation of Judges; the Faculty of Political Science, Department of European and International Studies, Centre for European and Comparative Studies, University of Palermo; University of the Free State, Republic of South Africa; International Compliance Association (ICA); the Anglo Japanese Centre for Intellectual Exchange Asia Pacific, Tokyo, Japan; the University of Cyprus; the Graduate School of Arts and Sciences, University of Tokyo; Department of Business Law and Taxation, Monash University, Australia; Saint Louis University, USA;; the Centre for International Financial Crimes Studies, University of Florida, USA; Centre for Criminology, University of Hong Kong; The British Institute of Securities Laws; *In association with:* Jesus College, University of Cambridge



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**For information on other CIDOEC programmes and  
*The Journal of Financial Crime* and *The Journal of Money Laundering Control*,  
Please contact**

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