



## Waters Europe 2019

*A conference and networking opportunity for senior decision makers in data, regulation and technology in capital markets.*

Covering a range of current topics such as applicable uses for AI and Alternative and Unstructured Data to name a few.

These sessions will be focused on the implementation of new technology, exploring the opportunities of alternative data and how to manage operating costs with so many frequent changes to the industry.

***Waters Europe will bring together the brightest minds across Capital Markets***

### To help:

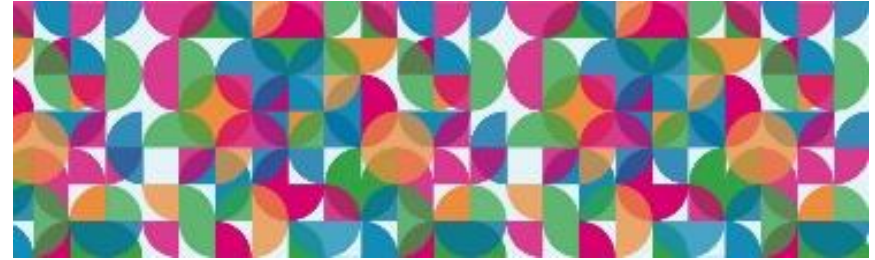
- Move from the theory of AI/ML, to its implementation
- Advising you on how to lower operating costs
- Comply with the regulatory environment
- Ensuring you are up to date with new technologies and data; Blockchain, Front office automation and alternative data.

***Specific speeches from CIO's, FinTech start up showcases and other varied sessions create a conference that fully represents the industry.***

## 2019 Speaker Faculty

1. Adri Purkayastha, Head of Technology and Cyber Risk Analytics, **BNP Paribas**
2. Naomi Clarke, Head of Data, **MSAmlin**
3. Joanne Hannaford, Head of Technology, **Goldman Sachs**
4. Joerg Guenther, CTO, **Northern Trust**
5. Simon Lumsdon, Head of Technology, **Hermes Investment Management**
6. Richard Herbert, CIO, **HSBC**
7. Pinar Emridag, Head of Product Development and Innovation, **State Street**
8. Beatriz Martin, Global COO, UK CEO, **UBS Investment Bank**
9. Patrick Maes CTO, **Credit Suisse**
10. Moderator: Rob Scott, Head of Custody and Collateral, **Commerzbank**
11. Tony Chau, Lead Architect, **UBS**
12. Chad Giussani, Head of Transaction Reporting and Compliance, **Standard Chartered**
13. Anil Nayak, Blockchain Expert, **National Standards Authority of Ireland**
14. Maria Angeles Baena, Executive Director, **BBVA**
15. Angela Johnson, Global Programme Director, Anti-Financial Crime Analytics Technology, **Deutsche Bank**
16. Irene Kan, Implementation Manager, **TD Securities**
17. Chris Johnson, Senior Product Manager, Market Data, **HSBC**
18. Naomi Clarke, Head of Data **MSAmlin**
19. Joerg Guenther, CTO, **Northern Trust**
20. Dr Mariarosaria Taddeo, Faculty Research Fellow, **Alan Turing Institute**
21. Abhijit Akerkar, Head of Applied Sciences, **Lloyds Banking Group**
22. James Bickerton, Head of Operational Strategy, **HSBC**
23. Jiahao Sun, Lead A.I Engineer, **RBC Asset Management**
24. Adri Purkayastha, Head of Technology, **BNP Paribas**
25. Richard Bateson, Quant Researcher, **Bateson Asset Management**
26. Alice Alder, Head of Data Quality, **Lloyds Banking Group**
27. Dr Christine Chow, Director, **Hermes Investment Management**
28. Nico Smuts, Investment Data Scientist, **Investec Asset management**
29. Samuel Livingston, Head of Data Science, **Jupiter Asset Management**
30. Moderator: Suren Siva, Head of Innovation, **Credit Suisse**
31. Igor Lobanov, Chief Digital Architect, **Legal and General**
32. Charlotte Wood, Head of Innovation and Fintech, **Schroders**

**Waters Europe 2019**  
**Technology Platform**  
**Evaluation Day July 1<sup>st</sup>**



12:00	Registration and welcome lunch
13:00	Welcome address
13:10	<p><b>Panel – Exploring the opportunities of Technology and finding the right solutions for your firm</b></p> <ul style="list-style-type: none"><li>▪ How can you establish which platforms can be most easily embedded within your current operating model? – exploring the challenges of legacy systems and siloed data and technology</li><li>▪ Finding the right partners – best practices when evaluating new solutions</li><li>▪ Collaboration between stakeholders to ensure successful implementation – how can different functions including the business, technology and compliance departments work together to improve efficiencies and ensure compliance?</li></ul> <p><b>Sid Dash</b>, Research Director, Chartis <b>Adri Purkayastha</b>, Head of Technology and Cyber Risk Analytics, BNP Paribas <b>Naomi Clarke</b>, Head of Data, MSAmclin</p>
13:40	Meet the platforms

	<p><b>Roundtables – Evaluate each platform with 8-10 of your peers during 20 minute roundtable discussions</b></p> <p><i>Meet each platform and evaluate which platform is best suited to fit within your current workflow and how they can help increase your business efficiency and reduce costs to turn the increasing regulatory demands into a competitive advantage.</i></p>
14:15 – 14:45	Smartstream
14:45 – 15:15	Unavista, LSEG
15:15 – 15:45	Nasdaq
15:45	<b>Coffee break</b>
	<p><b>Roundtables – Evaluate each platform with your peers during 20 minute roundtable discussions</b></p>
16:05 – 16:35	Rotation 4
16:35 – 17:05	Rotation 5
17:05 – 17:35	Rotation 6
17:35	<b>Closing remarks</b>
17:45	<b>Technology Platform Evaluation Day Drinks Reception</b>

# Waters Europe Masterclass: Cloud: Migration, Data and Security July 1<sup>st</sup>

<b>8:30</b>	Registration and refreshments
<b>9.00</b>	<p><b>Migration</b></p> <ul style="list-style-type: none"> <li>○ Single vs multivendor strategies</li> <li>○ Finding the right talent, bringing in experts</li> <li>○ Cloud migration strategies that can reduce infrastructure costs</li> <li>○ Lifting and shifting vs Hands on architecting</li> <li>○ Commercial considerations, legal considerations and technical capabilities</li> <li>○ Cloud models (IaaS/PaaS/SaaS)</li> <li>○ Cloud economics (price to performance)</li> </ul> <p><b>Rafik Harabi</b>, Solutions architect, Deloitte</p>
<b>10:30</b>	Morning break
<b>11:00</b>	<p><b>Cloud security and regulation</b></p> <ul style="list-style-type: none"> <li>○ Layering your own security over public cloud security</li> <li>○ Working with Fintech's and the cloud</li> <li>○ Cloud outages and cybersecurity incidents</li> <li>○ Developing flexible software to suit different regulatory requirements</li> <li>○ Shared responsibility model</li> </ul>
<b>12:30</b>	Lunch
<b>13:30</b>	<p><b>Data handling for the cloud</b></p> <ul style="list-style-type: none"> <li>○ Data Residency</li> <li>○ Data regulations and the cloud</li> <li>○ Data migration</li> <li>○ AI and the Cloud</li> <li>○ Data processing in the Cloud</li> </ul>
<b>14:15</b>	<b>Risks and pitfalls of working in the cloud</b>

	<ul style="list-style-type: none"> <li>○ How do you build in an efficient governance layer to prevent cloud sprawl?</li> <li>○ Doing the cloud wrong?</li> <li>○ Outages risks</li> <li>○ Focusing tech talent on solving core business problems</li> <li>○ Proof of concepts</li> </ul>
<b>15:00</b>	Afternoon break
<b>15:30</b>	<p><b>Working in the cloud, what new skills are needed?</b></p> <ul style="list-style-type: none"> <li>○ Migration project management</li> <li>○ Working with service providers to overcome the skill gap</li> <li>○ Measuring Cloud usage and spend</li> <li>○ Cost saving strategies</li> <li>○ Optimizing cloud spend as costs grow</li> <li>○ Using cloud to close the “innovation-execution” gap</li> </ul>
<b>17:00</b>	End of Masterclass

## Main Conference July 2<sup>nd</sup> 2019

07:45 -  
08:40

### **WatersTechnology “Women in Technology and Data” briefing – open to all attendees**

Back by popular demand! Following on from the success of the Women in Technology and Data Awards and our series of briefings we'll be hosting this exclusive networking, sharing and learning session before the main conference that is open to all attendees.

WatersTechnology has committed to creating a platform for both men and women within the industry to come together to discuss issues around gender equality and the cultural shift still needed to ensure inclusion, understanding and change.

Open to all attendees, this session will consist of a keynote address followed by an open panel session involving the audience.

We'll be running live polls to generate opinion and gauge how the industry perceives the move towards a more inclusive culture of equal opportunity.

**07:45 – 08:00 Meet your peers: Networking exercise to make new contacts**

**08:00 – 08:40 A culture shift: an industry of diversity, equality and opportunity: Interactive panel session**

#### **Points for discussion include:**

- Why are we still having this conversation?
- Advice to other firms for creating a culture of equality and opportunity
- Pathway to the top – what can firms be doing to ensure development and career progression across the board?
- Encouraging the next generation of female leaders to consider roles in financial data and technology
- Unconscious bias – recognizing areas for improvement in your firm
- Work/life balance – overcoming the hurdles and changing perceptions

**Hosted: member of the Waters Team**

**Angela Johnson**, Global Programme Director, Cloud Centre of Excellence, Security, Risk and Compliance, Deutsche Bank

# Pre-Event Briefing – Women in Technology and Data

## Main Conference July 2<sup>nd</sup> 2019

<b>08:00</b>	<b>Registration and Refreshments</b>  Grab a coffee and pick up your colour coded badge to network with other delegates interested in the same topics; <b>blue – artificial intelligence</b> , <b>pink – RegTech</b> , <b>green – FinTech partnerships</b> , <b>orange – alternative data</b> and visit the networking zones in the exhibition area.
<b>08:45</b>	<b>Welcome Address</b>  <b>Victor Anderson</b> , Global Content Director, WATERSTECHNOLOGY
<b>08:50</b>  <b>FORMAT:</b>  <b>Panel Discussion</b>	<b>Embracing Technology Innovation to Drive Profits and Reduce Costs</b>  <b>C- level panel</b>  <i>The World Economic Forum has suggested that we have now entered into the ‘fourth industrial revolution’ as technologies such as robotics, artificial intelligence, Internet of Things (IoT), and quantum computing emerge. The potential benefits for industries and firms that adapt are huge and this panel will explore best practices for organisations to approach innovation strategically to develop new solutions to the biggest pressure points in the business.</i> <ul style="list-style-type: none"><li>• Creating a culture of change – how do you encourage internal innovation across different business lines to develop and implement innovation projects in the areas that are of strategic priority to the business?</li><li>• Building on legacy systems – what are the practical issues around attempting transformation projects in often large, slow to adapt financial institutions?</li><li>• Leveraging the scalability and flexibility of a cloud based infrastructure – how can it help with the data demands of regulations such as GDPR and what are the potential security problems?</li><li>• Managing the exponential growth of data available and what this means for the future</li></ul>

	<p><b>Moderator: Joanne Hannaford</b>, Head of Technology, Goldman Sachs</p> <p><b>Joerg Guenther</b>, CTO, Northern Trust</p> <p><b>Simon Lumsdon</b>, Head of Technology, Hermes Investment Management</p> <p><b>Richard Herbert</b>, CIO, HSBC</p> <p><b>Pinar Emridag</b>, Head of Product Development and Innovation, State Street</p>
<p><b>09:30</b></p> <p><b>FORMAT:</b> Fireside chat</p>	<p style="text-align: center;"><b>Practical usage of exponential technologies in banking – lessons learned</b></p> <p style="text-align: center;">Patrick Maes Group CTO Credit Suisse</p>
<p><b>10:15</b></p>	<p><b>Case study – Data Quality</b></p> <p><i>Data management is an age old problem for firms in capital markets. With access to less data than in the retail environment, the importance of having data of a high quality becomes more important. However continually cleaning up data can incur significant cost. Industry experts will discuss their journey continually managing data and its quality.</i></p> <ul style="list-style-type: none"> <li>• Improving data quality while keeping costs down</li> <li>• What problems can quality data not fix</li> <li>• Data quality and Artificial intelligence</li> </ul>
<p><b>10:45</b></p> <p><b>LOCATION:</b> PARTNER HUB</p>	<p><b>Morning Break</b></p> <p>Your opportunity to refuel, chat with peers about the morning sessions and visit our vendor partners.</p> <p>Don't forget to visit the networking zones meet other experts in the relevant area: <b>blue – artificial intelligence</b>, <b>pink – RegTech</b>, <b>green – FinTech partnerships</b>, <b>orange – blockchain</b></p>



<p><b>11:00</b>  <b>FORMAT:</b>  <b>PRESENTATION</b></p>	<p style="text-align: center;"><b>Beatriz Martin, Global COO, UK CEO UBS Investment Bank</b></p> <p style="text-align: center;">An informal interview with our very own;</p> <p style="text-align: center;"><b>Victor Anderson, Global Content Director, WatersTechnology</b></p>
<p><b>11:30</b></p>	<p><b>Here we go again – how to make SFTR a success</b></p> <ul style="list-style-type: none"> <li>• Looking back: <ul style="list-style-type: none"> <li>○ Regulator’s approach</li> <li>○ How to leverage EMIR and MiFIR</li> <li>○ Matching</li> </ul> </li> <li>• Looking forward: <ul style="list-style-type: none"> <li>○ Technology, vendor and program approach for SFTR</li> <li>○ Pragmatic approach to testing and go live</li> <li>○ What else do I need?</li> </ul> </li> <li>• Could we make this exciting? <ul style="list-style-type: none"> <li>○ Value chain optimisation</li> <li>○ Technology opportunities: cloud, analytics, AI</li> <li>○ Data insight</li> </ul> </li> </ul> <p><b>Tom Wieczorek, Managing Director, Global Product Management, UnaVista, LSEG</b></p>
<p><b>12:00</b>  <b>FORMAT:</b>  <b>PANEL</b>  <b>DISCUSSION</b></p>	<p><b>Using regulation as an opportunity to maximise efficiency as well as ensuring compliance</b></p> <ul style="list-style-type: none"> <li>• Navigating the need for RegTech – exploring the aftermath of MiFID II and GDPR and looking ahead to SFTR as instigators for technological developments</li> <li>• Identifying the right RegTech solutions for your business – what tools and technologies are available for regulatory compliance?</li> <li>• Centralising your compliance strategy to meet reporting requirements</li> <li>• The challenges and benefits of implementing AI to assist with regulatory compliance</li> <li>• Exploring the use of cognitive computing and analytics as well as machine learning to ease the burden of numerous reporting requirements – is a holistic approach better to manage compliance workflows?</li> </ul> <p><b>Moderator: Rob Scott, Head of Custody and Collateral, Commerzbank</b></p>

	<b>Tony Chau, Lead Architect, UBS</b>		
12:30	Lunch	<p><b>Start-Up Showcase</b></p> <p><i>The Waters Europe Advisory Board and the Waters editorial team have shortlisted 4 innovative start-up's to pitch live against the clock in front of the audience.</i></p> <p><i>All firms have been chosen for showing huge potential and scope for creating waves in the FinTech space – if you want to be at the forefront of new technology and want to stay “in the know”, this is the must-attend session of the day!</i></p> <p><i>Vote for the start-up that interests you most during the showcase session via our interactive event technology, Sli.do – the winner will be announced later in the day!!</i></p> <p>10:30 – 10:35 Start-up #1: TBC</p> <p>10:35 – 10:40 Start-up #2: TBC</p> <p>10:40 – 10:45 Start-up #3: TBC</p> <p>10:45 – 10:50 Start-up #4: TBC</p> <p><b>Host: Sophia Bantanidis, EMEA Head of Regulatory &amp; Market Strategy, Citi</b></p>	<b>Private Lunch</b>
<p style="text-align: center;"><b>Roundtables</b></p> <p style="text-align: center;"><i>Each of these off the record learning sessions will be hosted by an industry expert or member of the Waters Europe advisory board – you should join a table relevant to your area of expertise to share ideas with the group and learn from other firms. <u>Real problems can be discussed and solutions shared.</u></i></p>			

<p><b>13:45</b></p> <p><b>FORMAT:</b> <b>WORKSHOPS</b></p>	<p>1: Front Office Automation, <b>Numerix</b></p> <p>2: Blockchain and Distributed Ledger Technology <b>Anil Nayak</b> Blockchain Expert Panel Member National Standards Authority of Ireland</p> <p>3: Cloud – leveraging scalability and flexibility <b>Angela Johnson</b> Global Programme Director, Anti-Financial Crime Analytics Technology Deutsche Bank</p>	<p>1: Creating a culture of innovation <b>Maria Angeles Baena</b> Executive Director BBVA</p> <p>2: Recruiting for the future – the important of diversity and the need for new skills and talents <b>Irene Kan</b> Implementation Manager TD Securities</p>	<p>1: Alternative and unstructured datasets including ESG <b>Chris Johnson</b> Senior Product Manager, Market Data, HSBC</p> <p>2: Data management strategy to support digital transformation <b>Naomi Clarke</b> Head of Data</p>
	<p><b>STREAM 1 – AI &amp; Analytics</b></p>	<p><b>STREAM 2 – Technology and Data Utilization</b></p>	
<p><b>14:30</b></p> <p><b>FORMAT:</b> <b>Case study</b></p>	<p><b>AI Governance and Ethics Discussion</b></p> <p><i>An interactive session where key elements about the ethics of A.I. and the data it uses will be discussed.</i></p> <p><i>How will governance effect the industry?</i></p> <p><b>Joerg Guenther</b>, CTO, Northern Trust</p> <p><b>Dr Mariarosaria Taddeo</b>, Faculty Research Fellow, Alan Turing Institute</p> <p><b>Dr Christine Chow</b>, Director, Hermes Investment Management</p>	<p><b>“Desktop integration across vendor applications and legacy platforms”</b></p> <p><b>ChartIQ</b></p>	
<p><b>15:15</b></p> <p><b>FORMAT:</b> <b>Panel</b></p>	<p><b>The AI Revolution – Moving from the Hype to Reality to Solve Real Business Problems</b></p> <p><i>Artificial Intelligence has the potential to transform the capital markets, with use-cases being applied across the front, middle and back offices to help streamline everyday business processes and enhance the services they offer</i></p>	<p><b>Leveraging Alternative Data Sets to Generate New Sources of Alpha</b></p> <p><i>In a new digital age, this panel will explore the potential returns that buy-side firms can gain from the vast amounts of data from new, non-traditional sources such as satellites, drones, the Internet of Things, mobile phones and social media. It will also discuss how this alternative data can be utilised and integrated with existing data sets.</i></p>	

	<p><i>to their clients. This panel will seek to examine the applications of machine learning and artificial intelligence that have the greatest potential to help businesses cope with increasing regulatory challenges, greater competition and rising costs.</i></p> <ul style="list-style-type: none"> <li>• Maintaining accountability and ability to explain more than just the algorithms' outcomes is key so how can we move beyond the black box?</li> <li>• Artificial intelligence as a tool to augment human traders in the front office – utilising machine learning techniques to identify alpha and improve investment strategies</li> <li>• Automating the back office – exploring how post-trade functions such as clearing and settlements can use RPA and AI to increase operational efficiency</li> <li>• Discussing some of the cases where AI may not have worked and some of the pitfalls of implementation.</li> <li>• Maintaining on-going support with models – how are they being kept fresh moving forward</li> </ul> <p><b>Moderator: James Bickerton</b>, Head of Operational Strategy, HSBC</p> <p><b>Jiahao Sun</b>, Lead A.I Engineer, RBC Asset Management</p> <p><b>Adri Purkayastha</b>, Head of Technology, BNP Paribas</p> <p><b>Andreas Burner</b> Chief Innovation Officer, SmartStream Technologies</p>	<ul style="list-style-type: none"> <li>• Exploring the potential returns and use cases for these data sets across strategies and different asset classes</li> <li>• Key challenges in utilising alternative data vs traditional data – what is the cost of sourcing, evaluating and processing a new data source?</li> <li>• Factor modelling and discerning if a data set will generate alpha</li> <li>• Do specific data sets lead to any compliance or privacy issues?</li> </ul> <p><b>Moderator: Richard Bateson</b>, Quant researcher, Bateson Asset Management</p> <p><b>Dr Christine Chow</b>, Director, Hermes Investment Management</p> <p><b>Nico Smuts</b>, Investment Data Scientist, Investec asset management</p> <p><b>Samuel Livingston</b>, Head of Data Science, Jupiter Asset Management</p>
16:00	<b>Afternoon Break</b>	

<p><b>16:15</b></p> <p><b>FORMAT:</b></p>	<p><b>Centralizing new technology – Debate</b></p> <ul style="list-style-type: none"> <li>• Finding the right strategy for your business – internally driven innovation through a lab or individual team initiatives vs. vendor and FinTech start-up innovation</li> <li>• Exploring the practicalities of procurement – how can financial institutions work with FinTech start-ups to minimise the barriers to entry?</li> <li>• Overcoming the potential challenges including security and on-boarding</li> </ul> <p><b>Moderator: Suren Siva</b>, Head of Innovation, Credit Suisse</p> <p><b>Igor Lobanov</b>, Chief Digital Architect, Legal and General</p> <p><b>Charlotte Wood</b>, Head of Innovation and Fintech, Schroders</p> <p><b>Alexey Utkin</b>, Principal Solution Consultant, Data and Analytics, Finance Practice, Dataart</p>
<p><b>16:45</b></p>	<p><b>Closing Remarks</b></p> <p><i>Announcement of the winner of the ‘Meet the Innovators’ pitch and conference highlights.</i></p> <p><b>Victor Anderson</b>, Editor-in-Chief, WATERSTECHNOLOGY</p>
<p><b>16:50</b></p>	<p><b>Drinks Reception</b></p>