

OPERATIONAL RISK PRACTICES IN THE ASSET MANAGEMENT AND BROKING SECTORS

*Chaired by Ian Livsey, Chief Executive of the Institute of Risk Management,
and Chair of the Institute of Operational Risk*

The Institute of Operational Risk is pleased to invite members, practitioners and investment firm risk professionals to register for a special half-day industry forum. The event will cover a number of current regulatory hot topics with presentations from senior FCA representatives and experienced industry practitioners. Early registration is advised due to limited places.

AGENDA

- 08.30 - Registration and Coffee
- 09.00 - Introduction and Welcome - Ian Livsey
- 09:10 - Opening Remarks - Alison Barker
- 09.15 - Adequate Financial Resources for Investment Firms - Dan Hurl
- 10.00 - Operational Resilience - Robin Jones
- 10.45 - Coffee Break
- 11.15 - Ten Laws of Operational Risk Management - Michael Grimwade
- 12.00 - Operational Risk Appetite: Understanding, structuring and embedding - Manoj Kulwal
- 12.45 - Closing Remarks - Ian Livsey



Wednesday, 20 November 2019



Financial Conduct Authority, 12 Endeavour Square,
London, E20 1JN

To book your place, go to

www.ior-institute.org

SPEAKER BIOS

Alison Barker, Director of Specialist Supervision, FCA

Alison Barker was appointed in December 2016 as Director of Specialist Supervision, within the Supervision Division of the Financial Conduct Authority. She has responsibility for the supervision of financial crime. She was the Head of the Infrastructure & Trading Firms Department, within the Supervision Division.

Ms Barker joined the Financial Services Authority in 2009.

Daniel Hurl – Head of Prudential Specialists Department, FCA

Daniel Hurl is Head of the Prudential Specialists Department. He oversees a group of specialists that assist Supervision, and the wider FCA, assess and act on issues related to risk management and financial soundness. Daniel has been in regulation for fourteen years within senior positions at the FCA and PRA. Prior to this, Daniel worked for eight years in industry, primarily focused on credit risk.

Robin Jones – Head of Technology, Resilience and Cyber Specialists Department

Robin has over 18 years regulatory experience, working in policy, risk analysis, IT and change delivery and, most recently, supervision. He leads the Technology, Resilience and Cyber specialists department in Supervision. The department takes a proactive approach to assessing firms' resilience and also leads the FCA's response to major incidents when IT outages or cyber-attacks occur

Michael Grimwade, Head of Operational Risk, ICBC Standard Bank

Michael has previously held senior Operational Risk management roles at MUFG Securities, RBS and Lloyds TSB. Prior to this Michael was a management consultant with PwC and Deloitte Consulting, and he has also been a Director of the Institute of Operational Risk. He received an award in 2014 from the Institute of Operational Risk for his contribution to the profession.

Manoj Kulwal, Co-Founder and CRO, RiskSpotlight

Manoj is the Co-Founder and CRO at RiskSpotlight which provides content, consulting and training services for operational risk management. Manoj has 22 years of professional experience that includes 15 years in risk management related roles. At RiskSpotlight, he leads the team that developed the world's first forward-looking operational risk news service – RiskSpotlight Portal.