

# SESSIONS

CASS 10 RESOLUTION PACK - 30/06/2020

11th Annual Client Assets Protection Forum

30 June - 2 July 2020  
Online virtual conference  
BST UTC+1h

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## Registration

09:00 - 09:30

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## Morning Session I

09:30 - 10:45

Background to CASS RP:

- Lehmans, MF Global
- Need for CASS RP
- FCA
- Purpose

Your Responsibilities:

- Mindset
- Content
- Governance
- Structure
- Outsourcing
- IT Systems
- Common Issues
- Effectiveness.

## Participants

Mike Rennie - Consultant, Independent

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## Morning Coffee

10:45 - 11:05

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## Morning Session II

11:05 - 12:20

Ownership:

- CASS Office
  - Business
  - Responsibilities
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## Lunch

12:20 - 13:20

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## Afternoon Session I

13:20 - 14:50

Key Requirements of CASS 10:

- Retrieval Document
  - Board Attestation
  - Business Attestation
  - Testing
  - Retrieval
  - Updating
  - Breach Reporting
  - 2 Hour / 48 hour retrieval exercise
  - Training
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## Afternoon Coffee

14:50 - 15:10

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## Afternoon Session II

15:10 - 16:25

Testing:

- Why ?
- How ?
- Test Plan
- Observations
- Governance

Roundup and Q&A:

- FCA visits
  - Mifid 2
  - Bank of New York failure
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## End of Workshop

16:25 - 16:30

# SCHEDULE

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10:00	10:45 - Morning Coffee
11:00	11:05 - Morning Session II
12:00	12:20 - Lunch
13:00	13:20 - Afternoon Session I
14:00	14:50 - Afternoon Coffee
15:00	15:10 - Afternoon Session II
16:00	16:25 - End of Workshop

### Registration

08:30 - 09:00

### Chairman's Opening Remarks

09:00 - 09:15

### Participants

Steven Linnegar - Partner, PwC

### FCA Keynote

09:15 - 09:55

- The FCA's approach to supervision, with emphasis on the Client Assets
- What the FCA is finding on Client Assets
- The role of the auditor report on CASS
- The impact of the Senior Managers Regime

### Participants

Emad Aladhal - Head of Client Assets and Resolution Department, Financial Conduct Authority

### Utilising Tech for CASS Compliance & Controls – Benefits and Challenges

09:55 - 10:35

- What new technologies are useful in a CASS context?
- Governance frameworks around automated systems

### Participants

Moderator: Steven Linnegar - Partner, PwC

Panellist: Greg Hensman - Client Assets Officer, Deutsche Bank

Panellist: Kieran Millar - CASS Business Analyst, AutoRek

Panellist: Christian Thrussell - Head of CASS & Risk, Walker Crips

### Morning Coffee

10:35 - 10:55

### Common difficulties in the threshold application of CASS – a legal perspective

10:55 - 11:25

This presentation will highlight and consider threshold issues of application that give rise to potential difficulties in relation to the CASS perimeter and an examination of the key legal concepts and regulatory rationales that underpin the same.

### Participants

Carl Fernandes - Partner, Latham & Watkins

Kishore Bhindi - Associate, Latham & Watkins

### CASS Culture – Training and 'Tone from the Top'

11:25 - 12:05

- What does good training look like?
- Getting board buy-in
- Embedding culture in the business

### Participants

Moderator: Graham Willcox - CASS Expert, Independent

Panellist: Chris Golland - CF10a, Head of CASS & Middle Office, Aviva

Panellist: Mark Husker - CF10a, Director of CASS Oversight, Equiniti

Panellist: Austin Copp - Global Head of Client Money and Assets Compliance, HSBC

Panellist: Susan Wright - Compliance Director, Technical & Training, Citi

### Insights from Baringa's 2019 CASS Survey

12:05 - 12:35

- Key themes identified across technology, audit, governance and culture;
- Trends observed in the annual survey since 2017; and
- What next for CASS, and what does this really mean for firms?

### Participants

Guy Munton - Partner – Finance, Risk & Compliance, Baringa Partners

### Lunch

12:35 - 13:35

### The View from the Auditors

13:35 - 14:35

- Findings from the latest audit cycle
- Technology focus in CASS audits
- The revised FRC standard

### Participants

Moderator: Graham Willcox - CASS Expert, Independent

Panellist: Shermeen Kazmi - Director, Grant Thornton

Panellist: Colleen Local - Partner, PwC

Panellist: Amarjit Singh - Partner, EY

Panellist: Stuart McLaren - Partner, Deloitte

Panellist: Richard Andrews - Partner, KPMG

### Afternoon Coffee

14:35 - 14:55

### SMCR – Lessons Learnt and Evolving Best Practice

14:55 - 15:35

- Experiences with SMCR to date
- How have CASS operations been affected?
- SM vs CR - Where did the CF10a go?

### Participants

Moderator: Steven Linnegar - Partner, PwC

Panellist: Robert Forbes - Director SMF21/22, Head of CASS, IS Trust and IS Bank, RBC Investor & Treasury Services

Panellist: Shaïd Moughal - Head of CASS and Finance Operations, Standard Life Aberdeen

Panellist: Martin Digweed - Head of Compliance Advisory, Quilter Investors

Panellist: Alexandra Duff - EMEA Client Asset Director, Prime, Futures, ASL, Fiduciary, Citi

### Resiliency in the context of CASS

15:35 - 16:15

- Operational resiliency
- Technological resiliency
- People & processes

### Participants

Moderator: Steven Linnegar - Partner, PwC

Panellist: Stewart Lancaster - Head of CASS Oversight, Close Brothers Asset Management

Panellist: Elaine Rogers - Senior Vice President, Head of Global Functional Control and CASS Office, Northern Trust

Panellist: Peter Norman - Managing Director, Client Service Delivery, Pershing

Panellist: Jonathan Dark - Group CF10a, Smith & Williamson

Panellist: Christian Thrussell - Head of CASS & Risk, Walker Crips

### Chairman's Closing Remarks

16:15 - 16:25

# SCHEDULE

MAIN CONFERENCE - 01/07/2020

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# SESSIONS

EFFECTIVE CASS OVERSIGHT OF OUTSOURCING & OFFSHORING -  
02/07/2020

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## Registration and Light Refreshments

09:00 - 09:30

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## Morning Session I

09:30 - 10:45

- Meeting Expectations for Effective CASS Oversight
- Oversight & Governance Requirements
- FCA/FRC Expectations
- Complying with SYSC

## Participants

**Karen Bond** - Director, Walbrook Partners

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## Coffee Break

10:45 - 11:05

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## Morning Session II

11:05 - 12:25

- EBA & OWG Guidance – Key Themes
  - Effective Due Diligence – What Does Good Look Like?
  - Contractual Requirements
  - Insourcing vs. Outsourcing
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## Lunch

12:25 - 13:25

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## Afternoon Session I

13:25 - 14:25

- Offshoring & Fourth Parties
  - Third Party Assurance & BAU Controls
  - Tailoring Oversight to Your Organisation
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## Afternoon Coffee Break

14:25 - 14:45

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## Afternoon Session II

14:45 - 15:45

- Resilience – Beyond Business Continuity
  - Management Information – Are You Getting This Right?
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## End of Workshop

15:45 - 15:50

# SCHEDULE

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