

## 2022 Digital Finance RegTech events agenda

**Objective:** Develop and encourage interoperability by exploring RegTech themes which are common to Digital Assets, Crypto and Traditional Finance (TradFi) business models.

### Seminar: The Digital Asset RegTech challenge - 5 April 2022

**Description:** As Digital Assets move into the realm of TradFi, the interoperability of the markets depend on common safety standards and communication protocols within the FS infrastructure. In this seminar, leading De Fi, Digital Asset and TradFi SMEs will articulate the key challenges of connecting fast moving private markets to public ones and what RegTech can do to help align shareholder, customer, firm and regulatory interests.

Slot	Title	About the session	Regulatory challenges	RegTech drivers
13:00 – 13:15	<b>TradFi – Digital Asset RegTech Welcome</b>	As more assets move 'onto the chain', TradFi and DeFi compliance trading obligations are moving to on-chain monitoring, AML and investor protection. Digital controls will call into question the role of the custodian, FMI, client and brokers. <b>How can RegTech help join digital and TradFi rails?</b>	<ul style="list-style-type: none"> <li>• Interoperability</li> <li>• Standards</li> <li>• Data</li> </ul>	<ul style="list-style-type: none"> <li>• Digital integrity</li> <li>• Tokenizing compliance</li> <li>• Digital supply chains</li> <li>• Model-driven controls</li> </ul>
13:15 – 14:00	<b>The state of our digital rails</b>	Regulatory frameworks in developed economies are being adjusted to accommodate institutional needs. Permissioned block trading will require legal certainty, standards interoperability and tokenized infrastructure. <b>How will market and regulatory demand drive digital rail development?</b>	<ul style="list-style-type: none"> <li>• E-securities act (DE bonds, funds)</li> <li>• Lux: issuance/ settlement on DLT</li> <li>• US SEC: no-action letter re: ATS role in settlement of digital assets</li> <li>• Tokenized fund law (DE)</li> <li>• Digital fund services (DE)</li> <li>• US SEC: T+1 settlement proposal</li> <li>• MiCA</li> <li>• MiFID III</li> </ul>	<ul style="list-style-type: none"> <li>• International regulatory alignment</li> <li>• Global ledger interoperability</li> <li>• Standard dictionaries</li> <li>• Standard identifiers (e.g., LEI, UPI, DTI)</li> <li>• Glossaries and best practices</li> <li>• Governance and dispute resolution</li> </ul>
14:10 – 15:00	<b>Protecting investors</b>	Purveyors of digital assets face a dichotomy of slow-moving regulatory expectations which lag behind technical capabilities and customer expectations. <b>What are the key safety trends which RegTech can help get out in front of?</b>	<ul style="list-style-type: none"> <li>• Marketing/ Financial promotions</li> <li>• Issuance / prospectus</li> <li>• AML/ KYC/ Travel rule</li> <li>• X- border trading/ treasury/ tax obligations</li> <li>• On/Off-ramp processing (payments)</li> <li>• OpRes and Cybersecurity</li> </ul>	<ul style="list-style-type: none"> <li>• Digital Asset Management standards (e.g., EC <a href="#">travel rule</a>)</li> <li>• HMT crypto asset <a href="#">promotions</a></li> <li>• Identity systems</li> <li>• Product information</li> <li>• Client suitability screening</li> <li>• Compromised ledgers &amp; OpRes</li> </ul>

15:10 – 16:00	<b>Protecting the markets &amp; FMI</b>	Brand-new chain data sets provide Digital Asset transparency, but require complex, deep and market-sensitive analysts to spot market manipulation and illicit activity required by institutional investors. <b>How does RegTech help the 2<sup>nd</sup> line of defence mitigate risks in the right way?</b>	<ul style="list-style-type: none"> <li>• On-chain monitoring</li> <li>• Surveillance/ SARs</li> <li>• Best execution</li> <li>• T0 settlement</li> <li>• P2P market</li> </ul>	<ul style="list-style-type: none"> <li>• ESMA <a href="#">DLT pilot</a></li> <li>• Chain Analysis</li> <li>• Trade Surveillance</li> <li>• eComms surveillance</li> <li>• SARs reporting</li> <li>• Wholesale CBDC</li> </ul>
16:10 – 17:10	<b>Managing risk</b>	Compliance is being tokenized, workflows are being certified, clients credentialed, and new economic activity stimulated – all with regulatory transparency. However, lots of boxes need to be ticked to establish market trust and confidence. <b>Will digital assets embrace RegTech as a way to embed compliance into the workflow?</b>	<ul style="list-style-type: none"> <li>• Embedding changing rules / tokenization to assets</li> <li>• Auditability of compliance rules back to obligations</li> <li>• Linking risk control frameworks to a fast moving, interconnected product lifecycle</li> <li>• Regulatory reporting</li> <li>• Market / Reference data</li> <li>• Third party risk management</li> <li>• Operational resilience</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Blueprint</a> for CBDC post trade</li> <li>• Project <a href="#">Jura</a>: wCBDC settlement</li> <li>• Project <a href="#">Atom</a>: wCBDC lending</li> <li>• UK Lords econ affairs: <a href="#">CBDC</a></li> <li>• Tokenization of compliance in multijurisdictional settings</li> </ul>
17:10 – 18:00	<b>Priorities Wrap-up</b>	2022 will be another critical year for RegTech as the marketplace evolves and regulation evolves with it. Strong planning and co-ordination to align TradFi and digital asset rails. <b>What are the key priorities for 2022 and how should leaders think about charting their future course?</b>	<ul style="list-style-type: none"> <li>• The evolving regulatory landscape</li> <li>• Standards</li> <li>• Vendor assessment</li> <li>• Ecosystem collaboration</li> <li>• Future state architecture targets</li> </ul>	<ul style="list-style-type: none"> <li>• Horizon scanning / digital rule book</li> <li>• Policy management</li> <li>• Model-driven controls</li> <li>• Control standards</li> <li>• Digital accountability</li> <li>• Digital regulatory reporting</li> </ul>

**About JWGI's RegTech conferences:** We strive to create a community which not only discusses the regulatory agenda but encourages strategic conversations on how firms, in conjunction with regulators and trade associations, can avoid the many pitfalls in this space.

**Why join now:** The digital assets marketplace is moving fast and regulatory change is sprinting to catch-up. The stakes are high, scores of TradFi regulation begin amended. Since 2008, our RegTech Conferences have consistently proved to be the ideal forum for FS market leaders and decision makers, to have comprehensive and constructive discussions with their peers, regulatory bodies and technology innovators. We want to see how we can get these changes done in a better, faster and smarter way - RegTech can help. **Be part of the solution and join us to shape the debate.**