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UNIVERSITET

## Symposium

# Risks and Supervision on the Financial Markets

23 September 2014 at DLA Nordic (Kungsgatan 9), Stockholm

A key element of the management of financial undertakings is how to manage risks. What mechanisms should be put in place in financial companies and how should financial regulators supervise and enforce risk management? To discuss this, Uppsala University in cooperation with DLA Nordic invites you to a symposium on risks and supervision on the financial markets.

### Programme:

- 13.15 – 13.30 **Introduction** (Prof. Daniel Stattin, Uppsala University)
- 13.30 – 14.00 **Governance, risk and control – how do the control functions contribute to profitable results?** (Christina Strandman Ullrich, Head of Compliance Forum)
- 14.00 – 14.30 **The Swedish FSA's post-MiFID rulings on deficient internal control** (Annika Walin, Senior Associate, Cederquist Law Firm)
- 14.30 – 14.45 Coffee break
- 14.45 – 15.45 Keynote speech: **Crisis, risk and regulation** (Jonathan Foster, Legal Counsel, European Securities and Markets Authority)
- 15.45 - 16.15 **Risk management and whistle-blowing policies** (Dr Anna Simonova, Uppsala University)
- 16.15 – 17.00 **Panel discussion** (Jenny Keisu, General Counsel, Nordic Capital/NC Advisory AB; Per Håkansson, Chief Legal Counsel, the Swedish Financial Supervisory Authority; Björn Wendleby, Partner, Magnusson)

After the symposium light refreshments will be served. Register no later than 17 Sept. 2014 to Dr Anna Simonova ([anna.simonova@jur.uu.se](mailto:anna.simonova@jur.uu.se)). On registration, please indicate any dietary requirements.

Welcome!

*Daniel Stattin*  
Professor of Corporate Law

*Anna Simonova*  
Researcher in EU Financial  
Services Law

*Karin Eklund*  
Uppsala Corporate and  
Capital Markets Law Forum  
and DLA Nordic