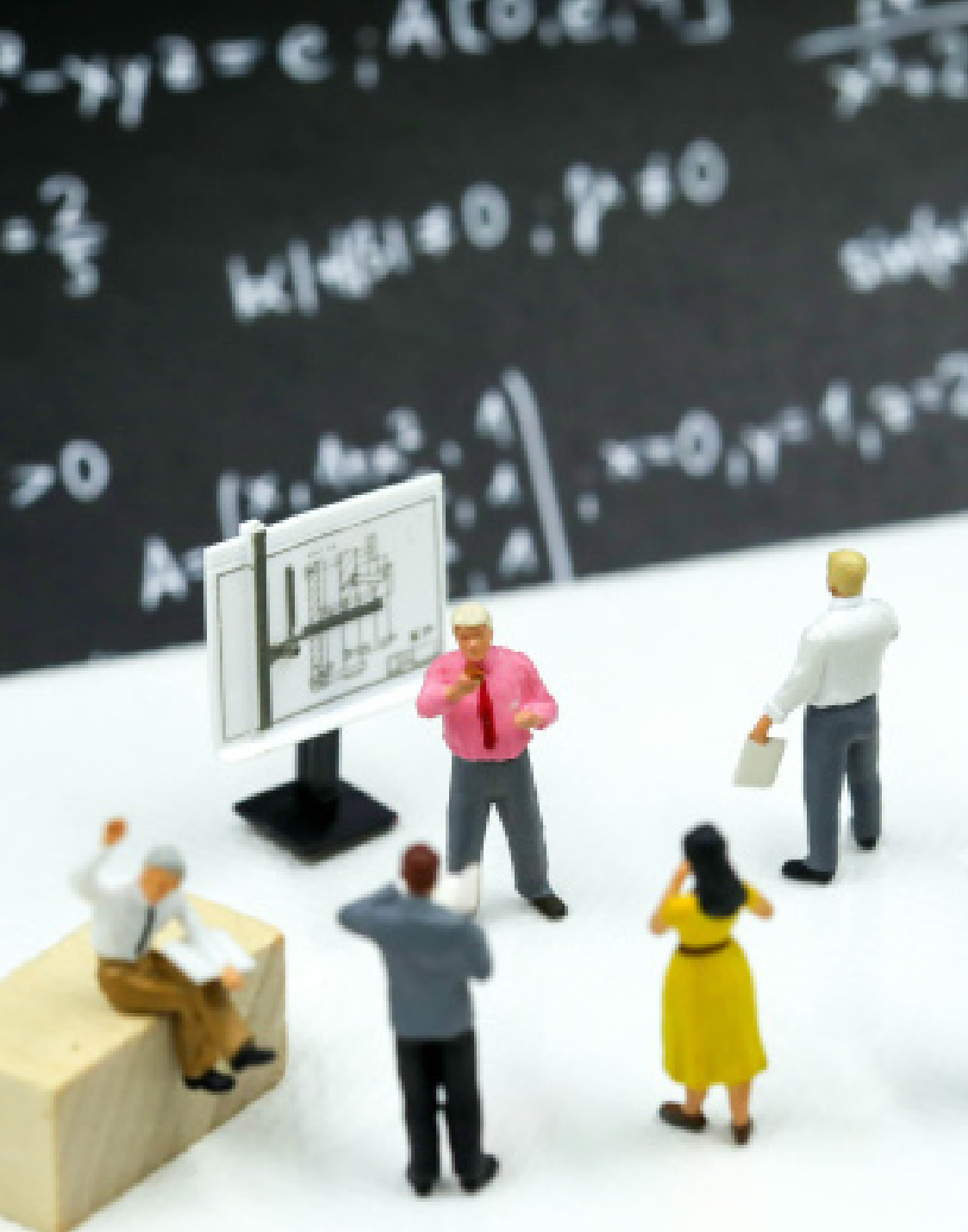




# ARMSTRONG WOLFE

Become a Market Insight Solution Provider.

TORONTO | NEW YORK | LONDON | DUBAI | HONG KONG | SINGAPORE



The Armstrong Wolfe team is highly professional with an extensive network in the industry. They have an intimate understanding of roles and organizational structures in finance and actively help critical knowledge sharing across the industry. Armstrong Wolfe is key partner and provide an extremely valuable service beyond your recruiting services – which is a key differentiator from their competitors.

- GM Controls Americas, Credit Suisse

The leading authority in banking and asset management business solutions, cross-industry collaboration, executive search and career management for the COO community.



ARMSTRONG WOLFE

We leverage our global executive network to support the COO community across Banking, Markets and Asset Management and their business partners with 5 lines of business:

1.

**Consulting Services for the COO:** our team has extensive experience at operational board level in owning the design and delivery of programmes of work and understand the impact of change on all parts of an organisation.

2.

**COO Forums:** promoting cross-industry teamwork, partnerships and dialogue and facilitating the sharing of experiences to help meet common challenges within testing market conditions

3.

**Women in the COO Community:** forums and global connectivity facilitating a cross-industry dialogue amongst women in executive business management positions, thus creating a global network of senior women with a common purpose of sharing knowledge and insights.

4.

**Executive Search:** we are recognised as an authority within business management, the role of the COO and the leadership roles that report through the COO's office or interface with it.

5.

**The COO Training Academy:** providing executive coaching, 121 or group training to the business management community and conduct training through the Conduct Academy.

Our face-to-face and virtual forums are designed for the Chief Operating Officer communities of Global Markets, Banking and Asset Management.



Amidst the COVID-19 crisis we host regular forums worldwide via virtual platforms such as **LoopUp / Zoom / Webex / Bluejeans or Microsoft Teams.**



# Our Women in the COO Community initiative (WCOOC) is focussed on:



Facilitating a cross-industry dialogue amongst women  
in executive business management roles

Creating a global network with a common purpose  
to share knowledge and insights

Career management, coaching and mentoring

Encouraging more women into senior positions within the sector





The team at Armstrong Wolfe have a unique network across the First Line COO and CCO community, bringing together a global group of controls professionals across a wide range of the financial services industry. That reach, combined with their enthusiasm for the agenda of the First Line community means they have added greatly to that community with their program of engaging discussions and networking sessions.

- Head of business, risk and control, Citigroup



# Our COO Universe

Our global COO and CCO community is made up of over **700** members drawn from **70** firms from within Financial Services.

## LONDON COO/CCO

150

Attendees From 25  
Global Investment  
Banks

## NEW YORK COO/CCO

100

Attendees From 25  
Global Investment  
Banks

## ASIA COO/CCO (HK & SING)

100

Attendees From 20  
Global Investment  
Banks

## TORONTO COO/CCO

30

Attendees From 10  
Global Investment  
Banks

## LONDON WCOOC

100

Attendees From 40  
Financial Services  
Companies

## NEW YORK WCOOC

80

Attendees From 40  
Financial Services  
Companies

## ASIA WCOOC (HK & SING)

80

Attendees From 35  
Financial Services  
Companies

## LONDON / NEW YORK Asset Management COO

80

Attendees From 30  
Asset Management  
/ Hedge Funds

# COO Universe

Here are the primary executive contacts of the 30 banks that attend and support the COO Forums. Dependent upon location, availability and subject of debate, delegation may be made by the primary contact to an MD attendee.



**Key:** Location of each Global Lead

1. ANZ	COO Americas & EMEA
2. Bank of America	Global COO, Markets
3. Barclays	Markets CFO
4. BMO	Global Markets COO
5. BNP Paribas	Global COO, Markets
6. BNY Mellon	Global CAO Markets
7. CIBC	Global CAO Markets
8. Citi	Global CAO Markets and Securities Services
9. Commerzbank	Global Head of Markets' Initiatives
10. Credit Suisse	Global Markets COO
11. Deutsche Bank	CIB CAO
12. Goldman Sachs	Global COO Securities
13. HSBC	Global COO, Markets
14. ING	Global COO Markets
15. JPMorgan Chase & Co	CFO, Markets
16. Lloyds	Global COO Commercial Banking
17. Macquarie Bank	EMEA COO
18. Morgan Stanley	Global CAO, Institutional Banking
19. MUFG	Global COO, Markets
20. Natwest Markets	GBM COO
21. Nomura	Global CAO Markets
22. RBC Capital Markets	Global Head of Business Services
23. Santander	UK COO, GBM
24. Scotiabank	Global COO, GBM
25. Societe Generale	Global COO CIB
26. Standard Bank	Global COO CIB
27. Standard Chartered Bank	Global COO Financial Markets
28. TD Securities	Global Head of Markets Business Management
29. UBS	Global COO, Investment Bank
30. Wells Fargo	CIB COO

# CCO Universe

Here are the primary executive contacts of the 25 banks that attend and support the CCO Forums. Dependent upon location, availability and subject of debate, delegation may be made by the primary contact to an MD attendee.



**Key:** Location of each Global Lead

●	1. Bank of America	Chief Control Officer (CCO)
●	2. Barclays	Chief Control Officer (CCO) & Global Head of Markets Risk and Control (split role centrally and by division)
●	3. BMO	Global Head of Regulatory Controls
●	4. BNP Paribas	Chief Control Officer (CCO)
●	5. BNY Mellon	Chief Control Officer (CCO)
●	6. CIBC	Head of Supervision and Governance
●	7. Citi	Global Head of Business Controls and Supervision
●	8. Credit Suisse	Chief Control Officer (CCO)
●	9. Deutsche Bank	Chief Control Officer (CCO)
●	10. Goldman Sachs	Global Head of Supervisory Control
●	11. HSBC	Chief Control Officer (CCO)
●	12. JPMorgan Chase & Co	Global Business Control Officer
●	13. Lloyds Bank	Business Unit Control Officer
●	14. Morgan Stanley	Head of Non Market Risk Management
●	15. MUFG	Global Head of Business Unit Controls, Markets
●	16. Natwest Markets	Head of Front Office Risk Management
●	17. Nomura	Global Head of Front Office Supervision, Conduct and Control
●	18. National Bank of Canada	Chief Control Officer
●	19. Santander	Head of Governance, Operational Risk and Compliance
●	20. Scotiabank	Head of Internal Controls and 1st Line Operational Risk
●	21. Societe Generale	Chief Control Officer (CCO)
●	22. Standard Chartered Bank	Head of 1st Line Operational Risk Management, Governance and Control, Markets (Group is CCO)
●	23. TD Securities	Head of Global Markets Supervision and Business Regulatory Initiatives
●	24. UBS	Chief Control Officer (CCO)
●	25. Wells Fargo	Chief Control Officer (CCO)

# Armstrong Wolfe - Where we operate



TORONTO, NEW YORK, LONDON, DUBAI, SINGAPORE, HONG KONG

## Virtual Forum Orientation

**Host:** Market Insight Partner

**Moderator:** Armstrong Wolfe

**Time:** After markets close - length 1.5 hours

**Audience:** Global or Regional

**Virtual forum** to be hosted on either LoopUp/Zoom/ Webex or Microsoft Teams  
Teams – test call/video call to take place beforehand

**No recording**

**Agenda topics:** up to 2 topics

**Content related to topic:** to be supplied by Market Insight Partner

## Pre forum

- AW to create invitation
- AW to invite pre agreed guests and survey everyone re topic/ technology / firewalls; circulate content
- AW to facilitate connections with all confirmed guests on an individual basis to discuss agenda topics at granular level
- 1/1 marketing campaign and broader social campaign on the AW COO closed group; AW main LinkedIn group and on AW website
  - All content to be available on the AW knowledge centre of the website
- AW to create a slide deck to incorporate the MIP content with the AW content

## Forum - 3 days

- AW to arrange a pre call to discuss attendance/running order

## On the day of the forum

- AW and MIP to meet 30 min before the call to go through slides and latest changes if any
  - Call to last 1.5hr with 2x 10 min break (if needed)
- AW to introduce the host, MIP and representatives and close the forum
- AW to moderate the conversation during the call and Q&A
  - Some attendees will not use the video functionality

## Post virtual forum

- AW to share the post meeting minutes if available
- Thank you for attending and collect feedback communication
  - Advertise the next forum date
  - Distribute additional content

# Our Virtual Forum Policy



## Competition Law & Compliance

Attendees are reminded that the virtual forum attendees meet on a legitimate purpose to discuss pre-identified, market-wide non-proprietary challenges. The agenda will have been established and circulated beforehand. It is recognised and understood that those attending are or may be in competition, and therefore it is an individual and collective responsibility to avoid any discussion on competitive and / or confidential information, such as, but not limited to company strategy or pricing. Any views expressed in these forums will be unattributed to individual and / or firm.



## Chatham House Rule

To further support the above, but to encourage open and lively debate, the forum will additionally operate under The Chatham House Rule. The rule originated at Chatham House with the aim of providing anonymity to speakers and to encourage openness and the sharing of information. It is now used throughout the world as an aid to free discussion, and reads as follows: When a meeting, or part thereof, is held under the Chatham House Rule, participants are free to use the information received, but neither the identity nor the affiliation of the speaker(s), nor that of any other participant, may be revealed. The virtual forum is never recorded and is therefore live and held within a secure and closed group.



I would like to thank you again for the very kind invitation to the Armstrong Wolfe WCOOC Leadership Evening at Morgan Stanley. It was a great privilege to be invited to such a great occasion, and I really think everyone thoroughly enjoyed it.

- Diane Avila, Financial Institutions Coverage,  
Corporate & Institutional Banking,  
BNP Paribas



# Global COO/CCO COVID-19 BCP call – weekly calls



## Markets COO &/or CCO Virtual Forums

Available quarterly

Either for the local London, New York, Toronto Hong Kong and Singapore COO/CCO community or globally

## Asset Management Virtual Forums

x4 Forums Available quarterly

Either for the London and New York community or globally

## Wealth Management Virtual Forums

Available in: New York

## WCOOC Virtual Forums

Available in: London, New York, Hong Kong, Singapore, Dubai and Toronto

## WCOOC Virtual Leadership Forums (for rising stars)

Available in: London and New York Hong Kong and Singapore

# Levels of sponsorship

Available for  
Market Insight Partnership.



## BRONZE

- Company logo shared
- Corporate introduction

## SILVER

- Company logo shared
- Corporate introduction
- x2 Published Articles
- x1 Representative

## GOLD

- Company logo shared
- Corporate introduction
- x2 Published Articles
- Advertising space
- x2 Representatives

## PLATINUM

- Company logo shared
- Corporate introduction
- x2 Published Articles
- Advertising space
- x3 Representatives
- Microsite

# Market Insight Partnership Benefits

**700+**

Client Market  
Access

**20**

MD Level  
Attendees

**ROI**

Showcasing  
your expertise



## Brand Positioning and Awareness

- Bank host and AW targeted COO introductions throughout the forum process
- AW will produce all marketing material for the forum (in line with sponsor brand guidelines)
- Marketing, promotional material, AW's event program and printed event collateral
- All digital activities (dedicated web page on AW website, and social media) will contain Market Insight Partner's name (noted as sponsor) and logo
- Market Insight Partner presenters/attending representatives' contact details will be included in post-event follow up electronic communications
- Post event production of minutes and distribution to AW's global COO community

## Market Access

- From 8 weeks before the event, when pre-forum preparation is undertaken with the host bank, through to the roundtable and post forum activity, the sponsor will benefit from direct exposure to the COO community
- AW guarantees 20 Managing Directors from a minimum of 10 financial services organisations to attend the dinner and round table
- Attendees will hold an in-business executive position, namely Managing Director from within the business area targeted for the forum

## Administration

- AW will share target invitee lists with the Market Insight Partner in advance, with the Market Insight Partner retaining the right to provide input and/or additions
- AW will provide the Market Insight Partner with detailed profiles and contact details of all attendees, falling in line with GDPR requirements
- AW and Market Insight Partner (and where bank hosted, the host) will work closely on shaping the forum program
- Most forums are hosted at a bank, with AW managing the end-to-end event process

# ROI

## Your Return on Investment.



Armstrong Wolfe's role is to provide a gateway that creates client opportunities for the Market Insight Solution Providers, by introductions made within the planning process to the forum themselves. The Market Insight Partner is presented as the informed market voice and is encourage to follow up with all participants post event.

Armstrong Wolfe enable a cross-industry 1st line controls community with regular in depth expert sessions. I gain real value from these sessions as we are able to consider complex challenges and look for potential standards that will help the industry. *We are all different, but have common challenges* and Armstrong Wolfe are able to bring the senior representatives together in a highly professional manner.

- Global Head of Markets Controls





At Societe Generale, we recognize and value what diversity brings to an organization, and we're happy to partner with WCOOC to foster diversity and inclusion throughout the financial services industry. We believe that by continuing to seek out ideas and opinions from those that are different from us, we can build on stronger foundations.

- Slawomir Krupa, CEO, Societe Generale Americas



# Next Step?

Get in touch to become a Market Insight Partner today.

**Gwen Wilcox**, Global COO

G.Wilcox@armstrongwolfe.com T: +44 (0) 7867 424 460



Follow the conversation: Armstrong Wolfe | Global COO Community

**armstrongwolfe.com**



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