



SFC Compliance Forum 2019

Date: 17 June 2019
Time: 2:00pm-4:45pm (Registration starts at 1:30pm)
Venue: Hong Kong Convention and Exhibition Centre (Meeting Room S221, S222 & 223)
Language: English

Time	Programme	Venue	Speakers
1:30pm-2:00pm	Registration		
2:00pm-2:15pm	Opening remarks	S221	Ms. Julia Leung, <i>Deputy Chief Executive Officer and Executive Director, Intermediaries Division, Securities and Futures Commission</i>
2:15pm-3:15pm	<p>Plenary panel: Governance Framework as a Driving Force for a Culture of Accountability and Behavioural Change</p> <ul style="list-style-type: none"> <i>Manager-In-Charge regime, two and a half years on from both regulatory and industry perspective</i> <i>How have LCs changed and difficulties in practice</i> <i>Way forward: tracking of bad apples</i> 	S221	<p>Moderator: Ms. Julia Leung, <i>Deputy Chief Executive Officer and Executive Director, Intermediaries Division, Securities and Futures Commission</i></p> <p>Speakers:</p> <ul style="list-style-type: none"> Mr. Wilson Lo, <i>Senior Director, Licensing Department, Intermediaries Division, Securities and Futures Commission</i> Mr. Peter Li, <i>Partner, Financial Services Assurance and Banking & Capital Markets Leader, PwC Hong Kong</i> Mr. Hugo Leung, <i>Head of Global Markets Hong Kong of BNP Paribas and CEO of BNP Paribas Securities (Asia) Limited</i> Mr. Jonathan Phillips, <i>Head of Asia Pacific Compliance & Operational Risk and Chief Compliance Officer, Bank of America Merrill Lynch</i>
3:15pm-3:45pm	Break		
3:45pm-4:45pm	<p>Breakout session 1: Gearing Up for Distribution of Investment Products in an Evolving World</p> <ul style="list-style-type: none"> <i>Regulatory issues noted in selling practices</i> <i>Distribution of complex and high-risk products</i> <i>Disclosure of trading capacity and charging of spread</i> <i>Industry development and challenges faced by the industry</i> 	S221	<p>Moderator: Ms. Linda Yiu, <i>Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></p> <p>Speakers:</p> <ul style="list-style-type: none"> Ms. Lisa Chen, <i>Senior Director, Enforcement Division, Securities and Futures Commission</i> Mr. Justin Chan, <i>Co-Head of Markets Asia Pacific, The Hongkong and Shanghai Banking Corporation Limited</i> Ms. Florence Kui, <i>Chief Operating Officer in Asia Pacific and Deputy Head of North</i>

			<p><i>Asia Region, Goldman Sachs Private Wealth Management</i></p> <ul style="list-style-type: none"> Mr. Chris Tse, <i>Vice Chairman, Institute of Financial Planners of Hong Kong</i>
	<p>Breakout session 2: Regulatory Obligation and Risk Management Function of Prime Brokerage in Hong Kong as Asia's Hub</p> <ul style="list-style-type: none"> <i>Prime services industry landscape in Hong Kong</i> <i>Operating model, distinctive roles of Hong Kong entities and risk management functions of prime brokers</i> <i>Expected standards on prime brokers and challenges faced by industry practitioners</i> 	S222 & 223	<p>Moderator: Ms. Joanne Li, <i>Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></p> <p>Speakers:</p> <ul style="list-style-type: none"> Mr. Matthew Buck, <i>Chief Operating Officer, BFAM Partners (Hong Kong) Limited</i> Mr. Ken Hon, <i>Managing Director and Head of Prime Products and Trading for APAC Markets Division, Credit Suisse (Hong Kong) Limited</i> Mr. Simon Walker, <i>Head of Institutional Counterparty Risk, Morgan Stanley Asia Limited</i> Ms. Aveline San, <i>Chair of Compliance Committee, ASIFMA and Managing Director & Regional Chief Compliance Officer for Asia Pacific, Independent Compliance Risk Management, Citibank, N.A.</i>
4:45pm	Forum ends		