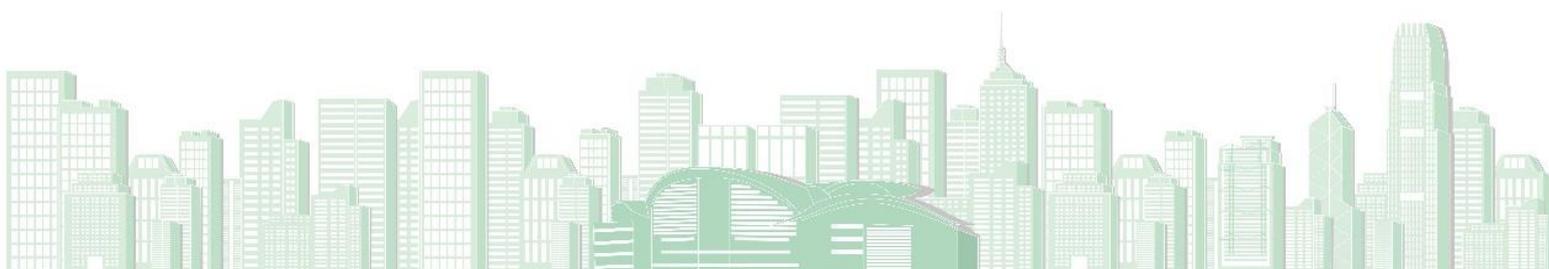




SECURITIES AND
FUTURES COMMISSION
證券及期貨事務監察委員會

SFC Regulatory Forum 2016

23 February 2016
Hong Kong Convention and Exhibition Centre





Programme (as of 20 January 2016)

Opening Remarks

09:00 – 09:15 **Mr Carlson Tong, SBS, JP**
Chairman, Securities and Futures Commission

Panel 1: Hong Kong, Mainland China and Global Markets: Perspectives of Industry, the Exchange and Regulators

The panel members will each share their perspectives on what could lie ahead as China continues to open up: The opportunities and risks, as well as views on how industry, market, and regulators should respond in light of Hong Kong's developing role as a hub for two-way capital flows from global capital markets and mainland China.

Moderator:

09:15 – 10:30 **Mr Ashley Alder, JP**
Chief Executive Officer, Securities and Futures Commission

Panellists:

- **Mr Charles Li**
Chief Executive, Hong Kong Exchanges and Clearing Limited
 - **Mr Andrew Sheng**
Distinguished Fellow, Asia Global Institute, University of Hong Kong
 - **Ms Jing Ulrich**
Managing Director and Vice Chairman for Asia Pacific, J.P. Morgan
 - **Mr Keith Lui**
Executive Director, Supervision of Markets, Securities and Futures Commission
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10:30 – 10:50 **Coffee break**

Panel 2: Spotlight on Corporate Behaviour

Recent events have put the spotlight on corporate behaviour, fueling debates about a range of issues including listing rules, reverse takeovers and the role of audits and professional advisers. Panel members will share their views on the challenges facing companies, investors, advisers and the regulators. What are the implications of the opening up of the Mainland stock market on the corporate scene in Hong Kong?

Moderator:

- **Mr Carlson Tong, SBS, JP**
Chairman, Securities and Futures Commission

10:50 – 11:55 **Panellists:**

- **Ms Pru Bennett**
Director, Head of Corporate Governance and Responsible Investment for Asia Pacific, BlackRock
- **Dr Lo Ka Shui, GBS, JP**
Chairman and Managing Director, Great Eagle Holdings Limited
- **Mr Stephen Taylor**
Partner, Deloitte Touche Tohmatsu
- **Mr Tony Tsoi**
Founder, Stand News
- **Mr Brian Ho**
Executive Director, Corporate Finance, Securities and Futures Commission



Panel 3: Future Proofing Intermediaries: Supervisory and Risk Challenges Ahead

What are the main supervisory and risk issues that lie ahead for the industry in the region? What do firms need to do to “future proof” their businesses from a risk perspective? Regulators and industry experts will give their views on the leading risks – such as cyber, technology and anti-money laundering challenges – that confront the industry, and how cross-border risks are being tackled through international supervisory cooperation and coordination.

Moderator:

- **Mr James Shipton**
Executive Director, Intermediaries, Securities and Futures Commission

11:55 – 13:00

Panellists:

- **Mr Raymond Chan**
Executive Director Designate (Banking Supervision), Hong Kong Monetary Authority
- **Ms Sophia Leung**
Managing Director and Chief Information Officer for Asia Pacific, J.P. Morgan
- **Mr Andrew Procter**
Partner, Financial Services Regulation, Herbert Smith Freehills LLP
- **Mr Stephen Po**
Senior Director, Intermediaries Supervision, Intermediaries, Securities and Futures Commission

13:00 – 14:30 **Lunch**

Panel 4: Market Connectivity and Mutual Recognition: Financial Products across Borders

Cross-border financial cooperation initiatives announced over the past two years such as Stock Connect, Mutual Recognition of Funds and Asia Region Funds Passport present new opportunities and challenges for investors, the industry and regulators. Panellists will discuss cross-border financial products and the market appetite for them as well as conduct regulation and the future evolution of the investment product landscape.

Moderator:

- **Ms Julia Leung, SBS**
Executive Director, Investment Products, Securities and Futures Commission

14:30 – 15:30

Panellists:

- **Mr Mark McCombe**
Global Head of Institutional Client Business, Chairman & Co-Head BlackRock Alternative Investors, BlackRock
 - **Ms Ding Chen**
Chief Executive Officer, CSOP Asset Management Limited
 - **Mr Lieven Debruyne**
Chief Executive Officer, Hong Kong / China; Head of Intermediary Business, Asia Pacific, Schroder Investment Management (Hong Kong) Limited
 - **Mr Bruno Lee**
Senior Managing Director, Head of Partnership, Product and Platform Development, Wealth and Asset Management, Asia, Manulife Asset Management
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15:30 – 15:50 **Coffee break**

Panel 5: Trends in Regional Enforcement

Have enforcement actions had an impact on the culture of the financial industry? What should market participants do to reduce their exposure to such actions? Does strong enforcement stifle market competitiveness? Panel members will discuss major trends in enforcement across the Asia Pacific region in light of these questions.

Moderator:

- **Dr William Wong, SC**
Non-Executive Director, Securities and Futures Commission

15:50 – 16:50

Panellists:

- **Ms Meena Datwani, JP**
Director-General, Enforcement, Hong Kong Monetary Authority
- **Mr Peter Kell**
Deputy Chairman, Australian Securities and Investments Commission
- **Mr Joseph Longo**
Managing Director, General Counsel, Asia Pacific – Legal, Deutsche Bank
- **Mr Matthew Newick**
Head of Litigation and Dispute Resolution, Asia Pacific, Clifford Chance

Closing Remarks

16:50 – 17:00

Mr Ashley Alder, JP
Chief Executive Officer, Securities and Futures Commission

