

COMPLIANCE AND LEGAL CONFERENCE

INAUGURAL ASIA EVENT |
DESIGNED BY THE INDUSTRY, FOR THE INDUSTRY



CONFERENCE PROGRAM (Final)

- Dates:** Wednesday-Thursday 29-30 May, 2019
Location: Mandarin Oriental Hong Kong – The Connaught Room, 1st Floor
 (Address: 5 Connaught Road Central, Hong Kong)
Remarks: Expecting 360 attendees, open to the media except for afternoon Roundtables

DAY 1 Wednesday, 29 May 2019	
08:30-09:00 Check-in, Breakfast, Networking 09:00-09:15 Keynote 09:15-09:30 Keynote - SFC 09:30-10:30 Plenary Panel 1 - State of Markets: Trends Shaping Banking and Financial Services 10:30-11:30 Plenary Panel 2 - Financial Regulatory Outlook Globally and Asia 11:30-13:00 Networking Lunch	
RegTech Demos - Compliance Stream	RegTech Demos - Legal Stream
12:40-12:47 Gekko Lab 12:50-12:57 LeapXpert	12:40-12:47 Taiger 12:50-12:57 Know Your Customer
Compliance Stream	Legal Stream
13:00-14:00 Panel C1 - AI, Big Data and Robotic Process Automation: Tools for Analytics and Surveillance 14:00-15:00 Panel C2 – Financial Crime: AML, KYC and Sanctions 15:00-15:45 Coffee Break 15:45-16:45 Roundtable C1 - Evolution of Compliance Functions Roundtable C2 - Implementation of an Appropriate Control Framework – Moving Forward 16:45-17:00 Wrap Up	13:00-14:00 Panel L1 - Benchmark; Alternatives to IBORS; EU BMR 14:00-15:00 Panel L2 - Dawn Raids and Forensics 15:00-15:45 Coffee Break 15:45-16:45 Roundtable L1 - GDPR, Data Privacy, Security & Management Roundtable L2 - Evidencing Best Execution 16:45-17:00 Wrap Up

DAY 2
Thursday, 30 May 2019

08:30-09:00 Check-in, Breakfast, Networking
 09:00-09:05 Welcome Remarks
 09:05-09:50 **Fireside Chat - Enforcement Trends**
 09:50-10:50 **Plenary Panel 3 - China Compliance and Legal Onshore**
 10:50-11:50 **Plenary Panel 4 - China Compliance and Legal Offshore**
 11:50-13:15 Networking Lunch

RegTech Demos - Compliance Stream

12:55-13:02 **Miotech**
 13:05-13:12 **Emotics**

RegTech Demos - Legal Stream

12:55-13:02 **LeapXpert**
 13:05-13:12 **Onfido**

Compliance Stream

13:15-14:15 **Panel C3 – Conduct, Certification and Culture, Use of Behavioral Cluster Analysis**
 14:15-15:15 **Panel C4 - New Technology Risks – RegTech, Crypto, and Surveillance**

15:15-16:00
Coffee Break

16:00-17:00
Roundtable C3 – Application of Rules and Regulations to Algo and Electronic Trading - The Changing Landscape
Roundtable C4 for Asset Management – Compliance around Funds Distribution

17:00 Close of Conference

Legal Stream

13:15-14:15 **Panel L3 - Brexit**
 14:15-15:15 **Panel L4 - Automation within Legal Services**

15:15-16:00
Coffee Break

16:00-17:00
Roundtable L3 - Diversity and Building a Culture of Inclusion
Roundtable L4 – Impact of Social Media and Instant Messaging on Capital Markets

17:00 Close of Conference

- 08:30-09:00 Check-in, Breakfast, Networking
- 09:00-09:15 **Keynote**
- **Teresa Cheng, SC, Secretary for Justice, Department of Justice, HKSAR Government**
- 09:15-09:30 **Keynote**
- **Ashley Alder, CEO, Securities & Futures Commission (SFC)**
- 09:30-10:30 **Plenary Panel 1 - State of Markets: Trends Shaping Banking and Financial Services**
- What are the compliance/legal implications of Brexit, the rise of interest rates, US-China trade war, slowing down of Chinese economy? How will a move from a multi-polar world impact sanctions, regimes, and compliance therewith?
 - Digital transformation – what it means - what has and has not worked? What will be emergent technologies in the next 2-3 years? How does that impact compliance and legal functions including RegTech and SupTech?
 - What will be the new avenues to raise capital and finance trade?
 - **Jacob Hook, Managing Partner, Asia Pacific, Oliver Wyman**
 - **Stephen Davison, Managing Director, J.P. Morgan**
 - **Neil Pabari, Managing Director, North Asia, Refinitiv**
 - **Shaun Roache, Chief Economist APAC, S&P Global Ratings**
 - **Tara Joseph, President, The American Chamber of Commerce in Hong Kong (moderator)**
- 10:30-11:30 **Plenary Panel 2 - Financial Regulatory Outlook Globally and Asia**
- What are the major trends in the global financial regulatory world 10+ years after the crisis? Will the G20 solve an increasing tendency to regulatory fragmentation, which is the key point on the Japanese presidency's agenda?
 - What are the future roles of G20, FSB, IOSCO? Have they fulfilled their GFC role? Does Asia need a stronger voice? How will global regulators deal with contentious issues of privacy of data, data localization, outsourcing, and KYC/AML? Is the fixation on crypto assets warranted? How will cross-border frameworks and controls develop?
 - **Winnie Pun, Managing Director, APAC Head of Public Policy, Blackrock**
 - **Jiaying Zhou, Managing Director & Head of Legal Department of Legal and Compliance, China International Capital Corporation (Hong Kong) Limited**
 - **Tony Wood, Partner, Financial Services Risk and Regulatory Leader, Deloitte China**
 - **William Hallatt, Head of Financial Services Regulatory, Asia, Herbert Smith Freehills**
 - **Carmen Chu, Executive Director (Enforcement and AML), Hong Kong Monetary Authority**
 - **Jenny Cosco, MD, Co-Head, Government Affairs Asia Pacific, Goldman Sachs (Asia) L.L.C (moderator)**
- 11:30-13:00 Networking Lunch

Compliance Stream

12:40-12:47 **RegTech Demo by Gekko Lab**

- Gekko Lab is an award-winning Hong Kong-based RegTech startup for financial intelligence and investigation, whose graphical network analytics software and built-in proprietary database enhance users' capability to detect and manage risks using data analytics.
- Gekko Lab's core product Gekko Graph makes monitoring capital market connections and risks ever easier. The company builds a unique database for quantifying and connecting deep-level relationship and behaviors among Hong Kong and China financial entities. Gekko Graph has an interactive visualization interface that empowers users to build visual intuition and uncover hidden insights.
- **Ric Cheng, Founder Gekko Lab**

12:50-12:57 **RegTech Demo by LeapXpert**

- LeapXpert is a desktop and mobile platform for **compliant and secure** omnichannel communication between companies and their clients.
- LeapXpert allows **3-rd party integration** with WhatsApp, WeChat, Line and other messengers. You send a message on one platform, a recipient receives it on the other.
- **Dima Gutzeit, Founder, LeapXpert**
- **Greg Kail, Business Director, LeapXpert**

13:00-14:00 **Panel C1 - AI, Big Data and Robotic Process Automation: Tools for Analytics and Surveillance**

- What are the leading data analytics/AI tools in enforcement/surveillance?
- Will it make regulatory compliance easier, or raise the bar higher?
- Is there convergence forming on the regulatory approach to AI globally?
- Are LCs well equipped in terms of upcoming timely/ongoing surveillance?
- What are the challenges in surveillance, especially between 1LOD vs 2LOD?
- How to design your AI governance frameworks in a way that is safe, future proof?
- **Chad Olsen, Partner, Forensic/Financial Crime, Deloitte**
- **Joseph M. Quiazon, MD, Head of Financial Crime Compliance, APAC, Exiger**
- **James Phillips, Head of Regulatory Reporting Strategy, VERMEG**
- **Laurence Van der Loo, Director, Technology and Operations, ASIFMA**
(moderator)

14:00-15:00 **Panel C2 – Financial Crime: AML, KYC and Sanctions**

- What are the most pressing challenges of KYC/AML requirements in the Asia region?
- How can these be solved, or can they be solved?
- Are industry best practices a way forward?
- Is regulatory standardization possible globally or within Asia? Alternatively, are utilities the solution?
- What is the appropriate role for regulators to play?
- Can we leverage technology to solve the problem?
- Are there unique challenges for KYC/AML for the fund business? What about layering for AML in the markets business?
- **Alisa Milburn**, APAC Head of Financial Crime **Blackrock**
- **Helena Tang**, Head of Risk Proposition Sales, North Asia, **Refinitiv**
- **Raymond Wong**, Director, Intermediaries Supervision, Intermediaries, **Securities and Futures Commission (SFC)**
- **Cowina Leung**, Head of Anti-Money Laundering and Anti-Bribery & Corruption, Asia Pacific, **T. Rowe Price**
- **Lisa Brander**, Global Head of Client Onboarding and Regulatory Reporting, Operations, **CLSA (moderator)**

15:00-15:45 Coffee Break

(The below Roundtables are closed to the media)

15:45-16:45 **Concurrent Roundtable C1 - Evolution of Compliance Functions *(closed to media)***

- What are the tensions between the role of legal to protect the firm and compliance in driving better management decision (compensate clients, dismissing high performers with cultural issues, escalating breaches to regulators, etc.), and how can they be resolved?
- What do we think compliance should be?
- What is the increasing role of technology in making compliance easier? Is this the workforce of tomorrow?
- **Eileen Koo**, MD, Compliance APAC ex Japan, **AllianceBernstein**
- **Mark Satterthwaite**, APAC Head of ICG Compliance, **Citi**
- **Philippa Allen**, CEO and Founder, **ComplianceAsia**
- **Sue de Broglio**, Head of Compliance – Asia, **Macquarie**

15:45-16:45 **Concurrent Roundtable C2 – Implementation of an Appropriate Control Framework – Moving Forward**

- What is the relevance concerning the increasing focus of individual accountability?
- How is the MIC regime operating?
- What about Singapore? Malaysia?
- **Luke Holder**, Vice President, APAC Lead, Regulatory Risk and Review, **Blackrock**
- **Tim Woodward**, Head, Financial Markets Compliance, **BNP Paribas**
- **Julie Wan**, Managing Director, APAC Markets Control & Regulatory COO, **Credit Suisse**
- **William Hallatt**, Head of Financial Services Regulatory, Asia, **Herbert Smith Freehills**

Legal Stream

12:40-12:47 RegTech Demo by Taiger

- TAIGER is a visionary Artificial Intelligence (AI) company, pioneering next-generation AI solutions. TAIGER uses human-like logic to automatically read, understand and extract information, guaranteeing unrivalled levels of accuracy of 90% and above. TAIGER is headquartered in Singapore with offices in Hong Kong, New York, Madrid and Mexico City.
- **Henri-Christian Hartloff, SVP Business Development, Taiger**

12:50-12:57 RegTech Demo by Know Your Customer

- Know Your Customer provides end-to-end digital solutions that quickly and accurately identify companies and individuals during client on-boarding. Its platform offers ultimate Beneficial Owner identification, ID verification and automated anti-money laundering checks in multiple languages and across jurisdictions, automating 90% of compliance routine tasks.
- **Wendy Clarke, Country Manager, Know Your Customer**

13:00-14:00 Panel L1 - Benchmark; Alternatives to IBORS; EU BMR

- What is the impact to the market from a legal perspective? Will the transition be smooth and consistent across the world? Is Asia behind or impacted in the same way as the US, UK, EU and Japan?
- Who will be the winners/losers after implementation? Is there a risk of mis-selling? Market abuse? How challenging is the repapering exercise?
- **Francis Edwards, Partner, Clifford Chance**
- **Randolf Tantzsch, Director, Indices APAC, IHS Markit**
- **Sergey Volkov, Director, PwC**
- **Damien Jones, Partner, EY (moderator)**

14:00-15:00 Panel L2 – Dawn Raids and Forensics

- How to prepare for a dawn raid? Can appropriate training be provided?
- What can be expected on the day? The limits of the powers? What are the challenges?
- How to cooperate but also protect confidential information, privilege, etc.? What happens afterward?
- What are the trends we are seeing from regulators?
- **Ben Hamilton, Head of Legal Asia, ANZ Bank**
- **Deborah Kaplan, Litigation Counsel, Morgan Stanley**
- **Ramesh Moosa, Partner, Forensic Services, PwC**
- **Leonie Tear, Senior Associate, King & Wood Mallesons**
- **Hannah Cassidy, Partner, Financial Services Regulatory, Hong Kong, Herbert Smith Freehills (moderator)**

15:00-15:45 Coffee Break

(The below Roundtables are closed to the media)

- 15:45-16:45 **Concurrent Roundtable L1 - GDPR, Data Privacy, Security & Management**
- What challenges do firms face by existing privacy regulations, cybersecurity threats, and the move in Asia to data onshoring? These risks are usually looked at separately. How do they interact? Is the sum of the risks greater?
 - How specifically will data localization requirements impact the financial sector? Will privacy regulations make this even more difficult or can they be amended to allow the industry to flourish? Can we distinguish between personal and non-personal data as a way forward? Are trade agreements a possible solution to all of this?
 - Are cybersecurity concerns an impediment to the use of data?
 - What will be the cost of all these new regulations?
 - What are the unique challenges of data security in China?
 - **Otto Lee**, Security Assurance Manager APAC, **Amazon Web Services (AWS)**
 - **Kieran Donovan**, Associate, Outsourcing and Technology Transactions Department, **Latham & Watkins**
 - **Kriti Trehan**, Partner, **Law Offices of Panag & Babu, New Delhi**
- 15:45-16:45 **Concurrent Roundtable L2 - Evidencing Best Execution**
- How do we move away from a tick-the-box approach?
 - How to deal with non-best execution scenarios?
 - Are compliance systems the best at identifying best execution?
 - **Prashant D Joshi**, Director, Regulatory Affairs & Implementation, Global Markets, Asia Pacific, **BNP Paribas**
 - **Jianing Song**, Partner, Advisory, **KPMG**
 - **Sumit Indwar**, Partner, Financial Regulation, **Linklaters**
 - **Jennifer Hsieh**, Head of Asia Pacific, **Trading Hub**
- 16:45-17:00 Wrap Up

08:30-09:00 Check-in, Breakfast, Networking

09:00-09:05 Welcome Remarks

09:05-09:50 **Fireside Chat - Enforcement Trends**

- **Sharon Concisom**, Executive Director Markets Enforcement, **Australian Securities and Investments Commission (ASIC)**
- **Beng Hwa Tan**, Director/ Head of Enforcement Department's Market Conduct Investigations Division I, **Monetary Authority of Singapore (MAS)**
- **Thomas Atkinson**, Executive Director, Enforcement, **Securities & Futures Commission (SFC)**
- **Mark Austen**, CEO, **ASIFMA** (*moderator*)

09:50-10:50 **Plenary Panel 3 – China Compliance and Legal Onshore**

- What are the paths into China and legal/compliance challenges associated with entry? How are firms achieving a level playing field, the opening of the financial sector, and ownership caps? What are the issues around that?
- How are firms solving legal and compliance issues with JV partners, counterparties, distributors, and customers (eg, KYC/AML, data, and cybersecurity)? How do firms keep abreast of China regulatory changes/initiatives? Also, how is the engagement with the regulators on interpretations and applications of regulations?
- What is the understanding the regulatory expectations – rules vs. guidance?
- **Arthur Qian**, Head of Compliance, China, **Aberdeen Standard Investments**
- **Lydia Li**, Head of Legal and Compliance, China, **Fidelity International**
- **Sandra Lu**, Partner, **Llinks Law Offices**
- **Gang Dong**, Head of China Compliance, **Morgan Stanley**
- **Carol Wong**, Director, Head of EQD Compliance, **Societe Generale**
- **Philippa Allen**, CEO and Founder, **ComplianceAsia** (*moderator*)

10:50-11:50 **Plenary Panel 4 - China Compliance and Legal Offshore**

- What are the legal and compliance challenges faced by the requirements for access channels into China: Bond Connect, Stock Connect, QFII, London Connect?
- How do firms engage with regulators, both onshore and off, and what are the expectations of foreign firms? Are there specific challenges around FX and RMB compliance?
- **Simon N. Williams**, Managing Director, APAC Head of Equity Trading, **Blackrock**
- **Nikki Tanner**, Head of APAC Market Structure, **Deutsche Bank**
- **Yin Ge**, Partner, **Han Kun Law Offices**
- **Garbo Cheung**, Managing Director, **Hong Kong Exchanges and Clearing Limited (HKEX)**
- **David Ngai**, APAC Head of Compliance, **State Street Global Markets**
- **Annabella Fu**, Financial Regulation Partner, Hong Kong, **Linklaters** (*moderator*)

11:50-13:15 Networking Lunch

Compliance Stream

12:55-13:02 RegTech Demo by Miotech

- MioTech provides AI-Driven market intelligence on investment opportunities, risks, and returns in Asia. They process billions of structured and unstructured data in real time and provide Asian market insights and risk monitoring. With full coverage of China database and Asian edge, they serve international banks, brokers, multi-asset management firms through SaaS platform and API connection.
- Intelligent AML Compliance risk monitoring by leveraging NLP and machine learning technologies over diverse aggregated datasets.
- **Lawrence Yin, Sales Director, Miotech**

13:05-13:12 RegTech Demo by Emotics

- Applications of Facial Micro-expression Analysis in Finance for Compliance Training and Alternative Data.
- **Ray Horan, Founder & CEO, Emotics**

13:15-14:15 Panel C3 - Conduct, Certification and Culture, Use of Behavioral Cluster Analysis

- How to measure risk and culture? Is this possible?
- Can you incentivize good culture?
- Has conduct improved?
- **Aveline San, Chief Compliance Officer, Asia Pacific, Citi**
- **Samantha Willis, Executive Director, Asia Pacific Culture & Conduct Lead and Asia Pacific Controls, J.P.Morgan**
- **Karen Au, Chief Compliance Officer, Wellington Management Hong Kong Ltd**
- **Eugène Goynes, Associate Partner, APAC Financial Services Regulatory Leader, EY (moderator)**

14:15-15:15 Panel C4 - New Technology Risks – RegTech, Crypto, and Surveillance

- What are the risks facing the industry from new technologies such as crypto? What is the impact of the SFC conceptual framework for digital asset platforms?
- How can RegTech help to solve those issues?
- Are surveillance techniques developing or readily available to monitor chat rooms?
- **Ray Horan, CEO, Emotics**
- **Steve Poon, Associate Director, Intermediaries Supervision, Intermediaries, Securities & Futures Commission (SFC)**
- **Kris Daswani, Head, Legal, Transaction Banking, Standard Chartered Bank**
- **Douglas Arner, Kerry Holdings Professor in Law, The University of Hong Kong**
- **Simon Hawkins, Counsel, Financial Regulation, Latham & Watkins (moderator)**

15:15-16:00 Coffee Break

(The below Roundtables are closed to the media)

- 16:00-17:00 **Concurrent Roundtable C3 – Application of Rules and Regulations to Algo and Electronic Trading – The Changing Landscape**
- What are the regulatory expectations around algos and electronic trading?
 - What is happening in Europe and what will be its impact on Asia?
 - Should there be more exchange of information between European exchanges?
 - Is India finally solving its algo testing regime?
 - **John Buckley**, Chief Operating Officer, **Citadel Securities Asia**
 - **Nicholas Peach**, Managing Director, **Goldman Sachs**
 - **Kishore Ramakrishnan**, Partner, **Temple Grange Partners**
 - **Peter Wun**, ED, COO, Greater China Equities, APAC Equities Electronic Trading and APAC Cash Equities, **UBS**
- 16:00-17:00 **Concurrent Roundtable C4 for Asset Management – Compliance around Funds Distribution**
- What does the Unit Trust code revamp mean for the industry?
 - What are the challenges of retail fund authorization and distribution in Hong Kong and Asia?
 - **Jeremy Lam**, Partner, **Deacons**
 - **Elaine Yu**, Head of Compliance, Hong Kong and China, **Eastspring Investments**
 - **Julie Moon**, Executive Director, Legal, **J.P. Morgan Asset Management**
- 17:00 Close of Conference

Legal Stream

12:55-13:02 RegTech Demo by LeapXpert

- LeapXpert is a desktop and mobile platform for **compliant and secure** omnichannel communication between companies and their clients.
- LeapXpert allows **3-rd party integration** with WhatsApp, WeChat, Line and other messengers. You send a message on one platform, a recipient receives it on the other.
- **Dima Gutzeit, Founder, LeapXpert**

13:05-13:12 RegTech Demo by Onfido

- Onfido is the new identity standard for the internet. Their AI-based technology assesses whether a user's government-issued ID is genuine or fraudulent, and then compares it against their facial biometrics. That provide their customers like Revolut, Zipcar and Bitstamp the assurance they need to onboard customers remotely and securely.
- **Patrick Penzo, Region Lead, Onfido**

13:15-14:15 Panel L3 – Brexit

- What does Brexit mean for Asia?
- Will the EU become more insular and will a different approach to equivalence have knock-on impacts on Asian markets? Will the UK enhance its bilateral outreach to Asia? Will we see further London-Shanghai connects?
- **Andrew Heyn, British Consul General to Hong Kong and Macao, British Consulate-General Hong Kong**
- **David Costello, Consul General, Consulate General of Ireland to Hong Kong and Macao**
- **Carmen Cano, Head of the EU Office to Hong Kong and Macao, European Union Office**
- **Mark Austen, CEO, ASIFMA (moderator)**

14:15-15:15 Panel L4 – Automation within Legal Services

- What are the challenges for regulators and financial services firms?
- What impact does artificial intelligence have on the legal function?
- How developed is the idea of machine-readable regulation?
- The role of automation in data room, transaction documentation, contract management, and performing due diligence.
- How much more is there to automate?
- **Whitney Whisenhunt, Vice President and Counsel, BNY Mellon**
- **Adam Singer, MD, Asia Pacific Core Compliance, J.P. Morgan**
- **Urszula McCormack, Partner, King & Wood Mallesons**
- **Henri-Christian Hartloff, SVP Business Development, Taiger**
- **Frankie Tam, International Technology Lawyer, DLA Piper (moderator)**

15:15-16:00 Coffee Break

(The below Roundtables are closed to the media)

- 16:00-17:00 **Concurrent Roundtable L3 - Diversity and Building a Culture of Inclusion**
- Is the industry on a pathway towards achieving gender balance at leadership levels within the banks? Is there data to support that?
 - Diversity is more than gender - how to deal with age, race, sexual orientation? Does it include class, professional background, or even culture?
 - **Peter Siembab**, MD, Global Corporate and Investment Banking Counsel, Legal Department, **Bank of America Merrill Lynch**
 - **Rakesh Vengayil**, Deputy CEO Asia Pacific; Head of Business Strategy & Support, **BNP Paribas Asset Management**
 - **Tina Arcilla**, Head of Diversity and Inclusion Asia Network, **Community Business**
 - **Steven X. Chan**, Regional Head of Regulatory & Government Affairs, Asia Pacific; Founding Board Dir., **PayPal Inc.**
- 16:00-17:00 **Concurrent Roundtable L4 – Impact of Social Media and Instant Messaging on Capital Markets**
- What are the challenges of surveillance of staff activities on social media and instant messaging, particularly in China?
 - What is the impact on financial institutions directly by negative news (fake or otherwise) on social media?
 - What is the impact on financial institutions indirectly via dealings with companies negatively impacted by social media?
 - Legal and compliance responses and developments to the aforementioned.
 - **James Walker**, Managing Director, Compliance, **Credit Suisse**
 - **Avi Pardo**, Co-founder and COO, **LeapXpert**
 - **Amita Haylock**, Counsel IP & TMT Group, **Mayer Brown**
 - **Cáitrlín McKiernan**”, Associate, **Shearman & Sterling LLP**
- 17:00 Close of Conference

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