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2ND ANNUAL SYMPOSIUM

# EU-ASIA RELATIONS IN FINANCIAL SERVICES

27-29 MAY 2015  
HONG KONG

## 2<sup>nd</sup> Annual Symposium on EU-Asia Relations in Financial Services

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*Promoting Convergence and Investments in EU-Asian Financial Markets*

27<sup>th</sup> - 29<sup>th</sup> May 2015  
Hong Kong

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## 2ND ANNUAL SYMPOSIUM EU-ASIA RELATIONS IN FINANCIAL SERVICES

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HONG KONG

### Objective:

The symposium on EU-Asian capital markets regulation provides a unique opportunity for global, European and Asian policy makers, high-level regulators, leading academics and industry representatives to meet and discuss important issues impacting the effective functioning of EU Asian trade, investment and capital markets.

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The cornerstone of the Annual Symposium on EU-Asia Relations in Financial Services is the candid, intimate exchange of ideas and dialogue between global financial counterparts. This dialogue takes place in small group discussions and plenary sessions, as well as in more informal sessions at meals. Keynote addresses and panel discussions also serve to initiate and enhance the interactive dialogue, which is conducted under Chatham House Rules in order to foster an open exchange of ideas. These discussions are synthesized and presented on the final day of the Symposium in a plenary session.

### Programme format:

A three-day symposium off-the-record and closed to the media with keynote speeches, high-level cocktail and dinner, small group break-out sessions, panels and networking.

### Delegate profile:

This event is by invitation only and limited to around 100 high-level regulators, policy makers, academics and sell-side and buy-side firm representatives.

### About the 1st Annual Symposium on EU-Asia Relations in Financial Services:

The inaugural edition of this EU-Asia Symposium series took place in June 2014 in Singapore. The event had received support from 120 selected participants representing various regulatory bodies and financial institutions from Europe and Asia. Among over 30 senior speakers we had **European Commission, EU Delegation to Singapore, EU Delegation to China, International Organization of Securities Commissions (IOSCO), Australian Securities and Investments Commission (ASIC), Monetary Authority of Singapore (MAS), Hong Kong Monetary Authority (HKMA), Financial Supervisory Agency of Japan (FSA), Bank Indonesia, Financial Service Authority of Indonesia, the Philippines' Department of Finance**, and many other leading financial organisations.

The symposium program ranged across several topics affecting EU-Asian relations in financial services, and focusing most importantly extraterritorial effects of financial instruments legislation, the evolution of the prudential regime (Basel 3 and beyond), the current challenges faced by the EU-Asian asset management industry, as well as the importance of global commodity markets and international trade.

### Sponsorship for the 2015 edition:

Sponsorship opportunities are open to private or public sector entities. We welcome more sponsors to participate and confirm soon.

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## WEDNESDAY 27th MAY - OPENING COCKTAIL

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(Venue: Hong Kong Monetary Authority (HKMA), Auditorium, 56/F, Two IFC, Central)

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**17:30-17:45**      **Participants Check-in**

**17:45**      **Cocktail Starts**

**18:00-18:15**      **Welcome Speeches**

**Karel Lannoo**, CEO, **Centre for European Policy Studies (CEPS)**

**Professor Alex Loke**, School of Law, **City University of Hong Kong (CityU)**

**18:15-19:00**      **Keynote speeches: Funding growth: How to finance infrastructure, R&D and innovation**

**(18:15-18:40)**      **Frank Moss**, Director General, International and European Relations, **European Central Bank (ECB)**

**(18:40-19:00)**      **David Dodwell**, Executive Director, **Hong Kong-APEC Trade Policy Group**

Themes that may be covered includes: public-private partnerships, lending to the real economy, attractiveness for foreign direct investment, the investment climate, equivalence of rules and market entry.

**19:00-20:00**      **Networking and End of Cocktail**



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## THURSDAY 28th MAY - DISCUSSIONS AND DINNER

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(Venue: Hong Kong Monetary Authority (HKMA), Auditorium, 56/F, Two IFC, Central)

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### 09:30-10:45 Panel 1: Financing large infrastructure projects, are new models emerging?

- Petr Jezek, ALDE MEP for Czech Republic, **European Parliament**
- Naoto Shimoda, Chief Executive in Hong Kong, **Bank of Japan**
- Thomas Jacquot, Senior Director, Corporate & Infrastructure Ratings, **Standard & Poor's**
- Alicia Herrero, Chief Economist for Emerging Markets, **BBVA Research**
- Dora Neo, Director, Centre for Banking & Finance Law, Faculty of Law, **National University of Singapore (NUS)**

Moderated by:

- Karel Lannoo, CEO, **Centre for European Policy Studies (CEPS)**

The issue of how to finance large infrastructure projects is topical both in the EU and in many Asian emerging economies. These investments are generally considered a key factor to boost aggregate demand and competitiveness. Public institutions traditionally play a major role in financing infrastructure but the fragile public finances in the EU and the declining growth in the emerging economies are demanding for alternative models. The Juncker-plan, for example, relies on a highly leveraged public fund aimed at attracting a large amount of private investments. The strategy of development banks (EIB, EBRD, CDB, etc.) increasingly take the form of public-private partnerships rather than “pure” public financing. Are large investments in infrastructure still an important driver of growth? Are new trends emerging for infrastructure finance (e.g. new financial products)? Are there any lessons that the two blocks can learn from each other?

### 10:45-11:15 Coffee Break

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## EU-ASIA RELATIONS IN FINANCIAL SERVICES

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HONG KONG**11:15-12:15 Panel 2: Bank vs capital markets based financing: is there an optimal financial structure? (Topic 1)**

- **Miguel de la Mano**, Head of Unit, Economic Analysis of Financial Markets, **European Commission**
- **Andres Sutt**, Head of Banking, **European Stability Mechanism (ESM)**
- **Levin Holle**, Head of Financial Markets Policy Department, **Germany's Federal Ministry of Finance**
- **Michael Taylor**, Chief Credit Officer, Asia Pacific, **Moody's Investors Service**
- **Shan Li**, Chief International Business Adviser, **China Development Bank**; Executive President of the Institute for Governance Studies, **Tsinghua University**; Chairman, **Chinastone Capital Management**

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Moderated by:

- **Robin Huang Hui**, Director, Centre for Financial Regulation and Economic Development, Faculty of Law, **Chinese University of Hong Kong (CUHK)**

Corporates in both major Asian countries and the EU still heavily depend on bank financing. Albeit alternatives in the form of capital markets are being developed. Both shores are developing policies to support the expansion of bond markets and other securities markets. What has been achieved so far? What are major initiatives undertaken and best practices that could serve as guidelines for other policymakers? What are the prospects for equity vs debt financing? Private placement vs public listing? What is the role of securitizations and covered bonds? What are other impediments to access finance (e.g. collateral, infrastructure, professional investors, tax etc.)?

**12:15-13:00 Small Group Sessions on Topic 1**

Participants will be divided into three groups in order to discuss Topic 1 in greater detail. Within each group, two facilitators will moderate and ensure that all the different angles of the topic are explored and that answers to specific questions are provided; and one rapporteur will keep record, and will then convey this back to the rapporteurs meeting.

**13:00-14:30 Buffet Lunch**

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**14:30-15:30 Panel 3: Asset Management: Overcoming fragmentation in Asian markets  
(Topic 2)**

- **Greg Tanzer**, Commissioner, **Australian Securities and Investments Commission (ASIC)**
- **Rob Ward**, Head of Financial Services Global Markets, Trade and Investment Unit, **UK Treasury**
- **Christina Choi**, Senior Director, Investment Products, **Securities and Futures Commission (SFC)**
- **Lieven Debruyne**, CEO HK, **Schroder's**
- **Alexander Loke**, Professor, School of Law, **City University of Hong Kong (CityU)**

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Moderated by:

- **Eugenie Shen**, Managing Director – Head of Asset Management Group, **Asia Securities Industry & Financial Markets Association (ASIFMA)**

A major challenge for the development of the European and Asian asset management industries respectively is to market products cross-border. The environment is characterised by a multiplicity of different distribution and investor protection rules. In Asia, some passport initiatives have been developed (e.g. Shanghai-Hong Kong Stock Connect, ARFP, ASEAN passport), but the increasing demand for investment products by a growing middle class calls for a more comprehensive solution. What are the main barriers that are preventing the evolution of these passport schemes in Asia? The EU has been able to develop over the years a successful framework with the UCITS, is this model still valid for Europe and can this be taken as a point of reference for Asian countries? Is there a need to channel funds into more long-term investments to boost returns in the current low interest environment? What is the nature of the fiduciary duty that asset managers bear towards their investors?

**15:30-16:15 Small Group Sessions on Topic 2**

Participants will be divided into groups to discuss Topic 2 in greater detail. Within each group, two facilitators will moderate and one rapporteur will keep record, and will then convey this back to the rapporteurs meeting.

**16:15-16:45 Coffee and Snack**
**16:15-17:45 Rapporteurs Meeting  
(Facilitators and rapporteurs only)**





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(Venue: Shanghai Jade Restaurant, Exchange Square Podium, Shop 402, 4/F, Central)

**18:30**      **Cocktail Starts**

**19:00**      **Introduction of Keynote Speakers**  
**Nickolas Reinhardt**, Director, **Afore Consulting**

**19:05**      **Opening Keynote**  
**Vincent Piket**, Head, **EU Office to Hong Kong and Macau**

**19:30**      **Keynote**  
**Joseph Muscat**, Prime Minister, **Malta**

**20:00-22:00**      **Dinner Reception**

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## FRIDAY 29TH MAY – DISCUSSIONS

(Venue: Hong Kong Monetary Authority (HKMA), Auditorium, 56/F, Two IFC, Central)

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**08:30–09:00** Presentations & Discussion of the main findings of the break-out session discussions on Topic 1 and Topic 2**09:00–10:30** Panel 4: The internationalisation of the RMB: global economic implications

- **Vincent Lee**, Executive Director (External), **Hong Kong Monetary Authority (HKMA)**
- **Robert Elsen**, Financial Counselor, Representative of BaFin, **German Embassy Beijing/China**
- **Angelo Cicogna**, Head of Representative Office in Tokyo, **Bank of Italy**
- **Nick Collier**, Head of European Government and Regulatory Affairs, **Thomson Reuters**
- **Douglas Arner**, Professor, Asian Institute of International Financial Law, **University of Hong Kong (HKU)** and Member, **Hong Kong Financial Services Development Council**

Moderated by:

- **Nickolas Reinhardt**, Director, **Afore Consulting**

The internationalisation of RMB markets represents a major change in global finance. Hong Kong is at the forefront, facing increasing competition. How do the speakers see the role of the RMB changing as a medium of exchange to a store of value in the following years? To what extent and in which sectors will capital markets be impacted by this change? Are current market infrastructure, regulations and supervisory frameworks resilient enough to withstand higher and more volatile capital flows? What will be the impact on the forex market and the relative value compared to currently leading currencies?

**10:30–11:00** Coffee Break



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**11:00-12:35 The evolution of global collateral markets: how to manage risk mitigation and deal with asset encumbrance?**

**(11:00-11:20) Presentation**

- **Manmohan Singh**, Senior Financial Economist, **International Monetary Fund (IMF)**

**(11:20-12:35) Panel Discussion**

- **Oliver Bettin**, Managing Director, Head of Asset Financing, Asia, **Deutsche Bank**
- **Paul Symons**, Global Head of Government Relations, **Euroclear**
- **Luca Giordano**, Senior Economist, Research, General Secretariat, **The International Organization of Securities Commissions (IOSCO)**
- **Manmohan Singh**, Senior Financial Economist, **International Monetary Fund (IMF)**
- **Philippe Dirckx**, Managing Director, Head of Markets and Initiatives, Asia Pacific, **SWIFT**

Moderated by:

- **Diego Valiante**, Head of Financial Markets and Institutions, **Centre for European Studies (CEPS)**

The way how asset encumbrance may affect risk mitigation techniques is still an unexplored field. The session will therefore look at the current status of international regulations on capital and risk mitigation techniques, such as margining and other forms of collateral. How can collateral cliff effects be anticipated? What can be learned from the central banks' liquidity easing in recent years? What are the most effective ways of dealing with resolution? Is the financial infrastructure robust enough or too fragmented? How is overreliance on collateral going to affect the pricing of unsecured markets? Can secured markets only price risk properly? How to define high quality collateral? Does this create a bias towards sovereigns?

**12:35-12:45 Closing Remarks**

**Mark Austen**, CEO, **Asia Securities Industry & Financial Markets Association (ASIFMA)**

**12:45-14:00 Buffet Lunch**

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Participants who accepted the invitation to the 2015 edition (as of 17 May 2015, in no particular order):

- **Joseph Muscat**, Prime Minister, Malta
- **Joe Bannister**, Chairman, Malta Financial Services Authority
- **Keith Schembri**, Prime Minister Chief of Staff, Government of Malta
- **Kurt Farrugia**, Head Government Communication, Government of Malta
- **Clifford Borg Marks**, Ambassador, Embassy of Malta for the Republic of China
- **Greg Tanzer**, Commissioner, Australian Securities and Investments Commission (ASIC)
- **Chris Van Homrigh**, NSW Regional Commissioner & Senior Executive Leader, Australian Securities and Investments Commission (ASIC)
- **Manmohan Singh**, Senior Financial Economist, International Monetary Fund (IMF)
- **Frank Moss**, Director General, International and European Relations, European Central Bank (ECB)
- **Miguel de la Mano**, Head of Unit, Economic Analysis of Financial Markets, European Commission
- **Petr Jezek**, ALDE MEP for Czech Republic, European Parliament
- **Andres Sutt**, Head of Banking, European Stability Mechanism (ESM)
- **Marina Stefou**, Parliamentary Adviser to Georgios Kyrtos MEP, European Parliament
- **Chris Mackin**, Advisor to Mr Jezek MEP, Economic and Monetary Affairs Committee, European Parliament
- **Soo Il Kim**, Deputy Governor, Financial Supervisory Service of Korea
- **Gum Tea Kim**, Head of International Cooperation Team, Financial Supervisory Service of Korea
- **Jae-ryong Jeong**, Head of Derivatives Monitoring Team, Financial Supervisory Service Korea (FSS)
- **David Dodwell**, Executive Director, Hong Kong APEC Trade Policy Group
- **Vincent Lee**, Executive Director (External), Hong Kong Monetary Authority (HKMA)
- **Kyle Hung**, Senior Manager, Hong Kong Monetary Authority (HKMA)
- **Michael Law**, Manager, Hong Kong Monetary Authority (HKMA)
- **Amy Yau**, Senior Manager, Hong Kong Monetary Authority (HKMA)
- **Daryl Ho**, Head (Financial Stability Surveillance Division), Hong Kong Monetary Authority (HKMA)
- **Martin Sprenger**, Head (Research and Development Unit), Banking Policy Department, Hong Kong Monetary Authority (HKMA)
- **Jessica Szeto**, Senior Manager (External), Hong Kong Monetary Authority (HKMA)
- **Joanna Chan**, Manager (External), Hong Kong Monetary Authority (HKMA)
- **Wendy Cheng**, Manager (External), Hong Kong Monetary Authority (HKMA)
- **Naoto Shimoda**, Chief Representative In Hong Kong, Bank of Japan (BOJ)
- **Yasuto Watanabe**, Director, Financial Services Agency Japan
- **Angelo Cicogna**, Chief Representative in Japan, Banca d'Italia
- **Thomas Notheis**, Representative of the Deutsche Bundesbank to China, German Embassy
- **Roman Turok-Hetes**, Ing. Financial Market Section, Ministry of Finance of the Slovak Republic
- **Luca Giordano**, Senior Economist, Research, General Secretariat, The International Organization of Securities Commissions (IOSCO)
- **Robert Elsen**, Financial Counselor, Representative of BaFin, German Embassy Beijing/China
- **Levin Holle**, Head of Financial Markets Policy Department, Germany's Federal Ministry of Finance
- **Christopher Hodge**, Senior International Economist, Office of International Banking and Securities Markets, U.S. Department of the Treasury
- **Rob Ward**, Head of Financial Services Global Markets, Trade and Investment Unit, UK Treasury
- **Patrick Turner**, Senior Economic Adviser, British Consulate-General Hong Kong, British Embassy
- **Antoine Aubel**, Deputy Head of the Economic Department, Consulate General of France

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- **Ilhyock Shim**, Senior Economist, Representative Office for Asia and the Pacific, Bank for International Settlements (BIS)
- **Miranda Tam**, Regional Head, Treasury and Asset Management, Deputy Chief Representative, Bank for International Settlements (BIS)
- **Vincent Piket**, Head of Office, EU Office to Hong Kong and Macau, European Union Office
- **Alessandro Paolicchi**, Head of Trade Section, EU Office to Hong Kong and Macau
- **Salina Yan**, Deputy Secretary (Financial Services), Financial Services and Treasury Bureau, HKSAR Government
- **Jackie Liu**, Principal Assistant Secretary (Financial Services), Financial Services and Treasury Bureau, HKSAR Government
- **Isabella Chan**, Legal Aid Counsel, Legal Aid Department, HKSAR Government
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- **Christopher Lai**, Manager of Service Promotion, Hong Kong Trade Development Council (HKTDC)
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- **Joel Laykin**, Secretary General, IPPF (Independent Power Producers Forum)
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- **Michael Taylor**, Chief Credit Officer, Asia Pacific, Moody's
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- **Robin Huang Hui**, Director, Centre for Financial Regulation and Economic Development, Faculty of Law, Chinese University of Hong Kong (CUHK)
- **Alexander Loke**, Professor, School of Law, City University of Hong Kong (CityU)



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- **Ajay Mathur**, Senior Vice President, Chief Risk Officer, Asia Pacific, State Street Corporation
- **Judy Vas**, Regulatory Leader, Financial Services, Asia-Pacific, Ernst & Young LLP
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- **Alicia Garcia Herrero**, Chief Economist for Emerging Markets, BBVA Research
- **Chris Limm**, Director, Regional Capital Markets Compliance, Credit Agricole Corporate & Investment Bank
- **Christina Ellerker**, Executive Director, Office of Government Affairs, Goldman Sachs
- **Jane Cooper**, Senior Asia-Pacific Regulatory Counsel, Global Regulatory Counsel, Standard & Poor's Ratings Services
- **John Laws**, Head of Regulatory & Government Relations, Asia Pacific, Barclays
- **Nicolas de Loisy**, Co-Chair of IPPF Alliances / Facilitation Committee, IPPF (Independent Power Producers Forum)
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- **Daniel Taras**, Head of Emerging Markets, German International Cooperation - GIZ
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- **Xiao Li**, Assistant Professor, School of Law (SLW), City University of Hong Kong
- **Yu Hsin Lin**, Assistant Professor, School of Law (SLW), City University of Hong Kong
- **Brian Tang**, Managing Director, Asia Capital Markets Institute (ACMI)
- **Brian Polk**, Director, PricewaterhouseCoopers LLP





## About the 1<sup>st</sup> Annual Symposium on EU-Asia Relations in Financial Services

The inaugural edition of this EU-Asia Financial Services Symposium series took place in June 2013 in Singapore with the theme '**Promoting Convergence and Investments in EU-Asian Financial Markets**'.

The event had received support from 120 selected participants representing various regulatory bodies and financial institutions from Europe and Asia. Among over 30 senior speakers we had **European Commission, EU Delegation in Singapore, EU Delegation in China, International Organization of Securities Commissions (IOSCO), Australian Securities and Investments Commission (ASIC), Monetary Authority of Singapore (MAS), Hong Kong Monetary Authority (HKMA), Financial Supervisory Agency of Japan (FSA), Bank Indonesia, Financial Service Authority of Indonesia, the Philippines' Department of Finance**, and many other leading financial organisations.







*The symposium program ranged across several topics affecting EU-Asian relations in financial services, and focusing most importantly extraterritorial effects of financial instruments legislation, the evolution of the prudential regime (Basel 3 and beyond), the current challenges faced by the EU-Asian asset management industry, as well as the importance of global commodity markets and international trade.*



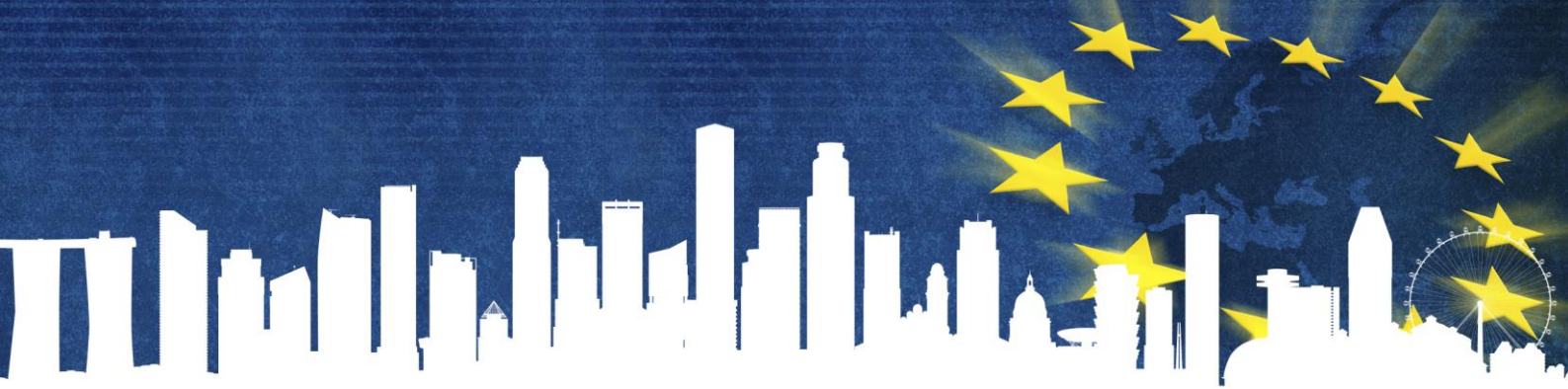




*We highly appreciated the support by the 3 Lead Sponsors namely Moody's, Standard & Poor's and Thomson Reuters, and the 3 Supporting Sponsors including BNP Paribas, PwC and Societe Generale.*

*We have received very positive feedback from the stakeholders including speakers, delegates, sponsors and co-organisers. Most of them found the speakers excellent, the discussions highly informative and interactive, the Symposium thought provoking and enjoyable with the opportunity to meet the various senior representatives with similar interests in financial regulation.*





***List of Participating Organisations in 2014:***

*AFG (French Asset Management Association)*  
*Afore Consulting*  
*AMRO-Asia*  
*ANZ*  
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*Asia Securities Industry & Financial Markets Association (ASIFMA)*  
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*For more about the 1<sup>st</sup> EU-Asia Financial Services Symposium in 2014:*  
[www.asifma.org/eu-asia2014](http://www.asifma.org/eu-asia2014)

*For enquiries including **participation and sponsorship packages for 2015**, please email:*

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