GLOBAL FUND DISTRIBUTION

AIF & UCITS ASIA 2014

Successful Chinese, Asian & International Distribution Strategies and the Latest Regulatory Developments

**FUND CEOs**

- Peng-Wah Choy
  - HARVEST GLOBAL INVESTMENTS

- Chen Ding
  - CSOP

- Alan Harden
  - BNY MELLON

- Blair Pickerell
  - NIKKO ASSET MANAGEMENT

- Sundeep Sikka
  - RELIANCE CAPITAL

- Ashwin Mehta
  - ING SECURITIES & INVESTMENT TRUST

- Franco Ngan
  - ZEAL ASSET MANAGEMENT

- Anthony Siu Ming
  - RHB ASSET MANAGEMENT

- Brenda Tse
  - PERMAL

- Philip Tye
  - NIGHTHAWK CAPITAL

- Amy Cho
  - PICTET ASSET MANAGEMENT

- Jeffrey Yap
  - ARK ONE

- Bert Rebelo
  - NORTHERN TRUST ASSET MANAGEMENT

- Terry Pan
  - JP Morgan Asset Management

- Bas van Rooijen
  - DRAGON CAPITAL

- Alexa Lam
  - HONG KONG SFC

**FUND DISTRIBUTORS**

- Sundeep Sikka
  - RELIANCE CAPITAL

- Ashwin Mehta
  - ING SECURITIES & INVESTMENT TRUST

- Franco Ngan
  - ZEAL ASSET MANAGEMENT

- Anthony Siu Ming
  - RHB ASSET MANAGEMENT

- Brenda Tse
  - PERMAL

- Philip Tye
  - NIGHTHAWK CAPITAL

- Amy Cho
  - PICTET ASSET MANAGEMENT

- Jeffrey Yap
  - ARK ONE

- Bert Rebelo
  - NORTHERN TRUST ASSET MANAGEMENT

- Terry Pan
  - JP Morgan Asset Management

- Bas van Rooijen
  - DRAGON CAPITAL

- Alexa Lam
  - HONG KONG SFC

**CONFIRMED SPEAKERS**

**REGULATORS**

- HK SFC

**FUNDS**

- RELIANCE CAPITAL
- NIKKO ASSET MANAGEMENT
- HARVEST GLOBAL INVESTMENTS
- PERMAL
- DRAGON CAPITAL
- ZEAL ASSET MANAGEMENT
- PICTET ASSET MANAGEMENT
- ING SECURITIES & INVESTMENT TRUST
- BNY MELLON
- SCHRODER INVESTMENT MANAGEMENT
- NORTHERN TRUST ASSET MANAGEMENT
- VANGUARD
- CSOP
- RHB ASSET MANAGEMENT
- NIGHTHAWK CAPITAL
- ARK ONE ASSET MANAGEMENT
- SPRINGS CAPITAL
- JPMORGAN ASSET MANAGEMENT

**DISTRIBUTORS**

- Z-BEN ADVISORS
- CITI
- SUMITOMO MITSUI TRUST GROUP
- KEYSTONE INTELLIGENCE
- MILLTRUST
- BNP PARIBAS SECURITIES SERVICES
- HANG SENG

**REGULATORY EXPERTS**

- RUSSIN & VECCHI
- ABNR (INDONESIA)
- COMPLIANCEASIA
- DEACONS
- PWC
- KPMG
- EY

**ASSOCIATIONS**

- ASIFMA
- HONG KONG AIMA
- HKIFA

**INDICES AND DISTRIBUTION RESEARCH**

- MSCI
- CERULLI ASSOCIATES

---

**ASIAN FUND FLOWS**

- **Investor demand** in Asia
- **What needs to change to include China A-Shares** in the MSCI Emerging Markets Index
- **Product Trends**: Successful Pan-Asian Distribution Channels

**CHINESE DISTRIBUTION**

- **Mutual Recognition Scheme**:
  - regulatory developments
  - outlining the scheme’s potential
  - distribution strategies within China & HK
- **Possibilities under RQFII**
- **Hong Kong – Shanghai Stock Connect**

**PAN-ASIAN DISTRIBUTION**

- **Accessing Taiwanese Investors**
- **Pan-Asian Regulatory Developments**
- **What UCITS Means for Asian Distribution**

**MANAGER PERSPECTIVES & STRATEGIES**

- **Western Funds**: Strategies to Access the Region
- **Chinese Funds**: Looking Beyond their own Borders (MRS)
- **Options for Asset Raising** in Europe
- **Smart Beta & ESG Strategies Clarified**

---

21 & 22 October, Hong Kong

---

For latest programme and to register visit: www.ibc-events.com/GFDAsia

Register Today  Tel: +44 (0) 20 7017 7790  Email: kmregistration@informa.com  Fax: +44 (0) 20 7017 7824

---

Register by 12 September & SAVE up to £200!
DAY ONE

9.00 Chair’s Welcome

9.15 Fund Flows: The Overall Distribution Picture
- Understanding the current picture across Asia:
- Assessing investors’ demand – why has the mutual fund penetration rate fallen?
- Successful products – is the rotation to equities sustainable?
- Evaluating current and emerging distribution channels
- Regulatory impacts on fund flows

Sze Yoon Ng
Research Director, Asia
CERULLI ASSOCIATES

9.55 Mutual Recognition Scheme: Regulatory Developments
- Outlining the potential within the Scheme
- Clarifying the rules
- The potential this will open up the market
- Regulatory benefits resulting from the Scheme

Alexa Lam
Deputy CEO
HK SFC

10.35 Mutual Recognition Scheme: Distribution Strategies within China
- Accessing China through the Mutual Recognition Scheme
- Now that you’ve arrived in China... What next?
  - do Chinese investors want foreign funds?
- Boots on the ground: Understanding the regional markets within China
- How non-Chinese funds intend to use the MRS to access China
- How China will open up
- Impact upon the global distribution landscape
- Operational issues
- How to distribute Chinese funds in HK

Moderator:
Jonathan Ha
Director
Z-BEN ADVISORS
Panellists:
Franco Ngan
CEO
ZEAL ASSET MANAGEMENT
Bonn Liu
Partner
KPMG
Terry Pan
Managing Director, Head of Hong Kong Business
JPMORGAN ASSET MANAGEMENT
Rosita Lee
Assistant General Manager, Head of Investment Funds & Products
HANG SENG

11.15 Break

11.35 Western Asset Manager’s Perspectives
- How Western funds plan to access China
- Understanding the recent fund & product successes throughout the region
- Utilising the AIFMD to increase the fund’s appeal
- Which markets are seeing the greatest response to products
- Gauging areas of future growth

Philippa Allen
CEO
COMPLIANCE ASIA
Lieven Debruyne
CEO HK & Head of Intermediary APAC
SCHRODER INVESTMENT MANAGEMENT
Chairman, HKIFA

12.15 How Chinese Funds Are Looking Beyond Their Own Borders
- Distribution from China:
  - how Chinese managers will look to access foreign cash
  - Chinese managers accessing HK
- The purpose of setting up UCITS in Luxembourg and Ireland
- Understanding why firms are establishing UCITS platforms in HK; are they going international?

Moderator:
Siu-Chan Kwan
Head of Greater China, Client and Sales Management, Investor Services
CITI
Panellists:
Peng-Wah Choy
CEO
HARVEST GLOBAL INVESTMENTS
Chen Ding
CEO
CSOP

12.55 Lunch

13.55 Pan-Asian Regulatory Developments
- Understanding the latest developments and expected future changes
- Capitalising on recent developments to structure and market products
- How regulatory developments are opening up certain markets
- ASEAN CIS Framework for Cross Border Offering of Funds:
  - facilitating the cross border offering of CISs
  - expected final implementation date
  - types of CIS that can qualify under the Framework
  - investment restrictions
  - obligations of the CIS operator
- APEC Asia Region Funds Passport:
  - reducing the barriers to cross border financial transactions
  - how funds plan to use the passport
  - how far the passport will encourage investor confidence and protection
- How can an Asian funds passport be more appealing than a UCITS product?

Moderator:
Stewart Aldcroft
Senior Advisor
CITI
Panellists:
Eugenie Shen
Managing Director, Head of Asset Management Group
ASIFMA
Theodore Bakker
Foreign Counsel
ABNR (INDONESIA)
Product Trends & Successful Pan-Asian Distribution Channels

- Sharing successful existing distribution strategies
- Successfully utilising consumer banking platforms: fees & commission
- Navigating a fragmented region
- Tailoring your strategies based on local: investor preferences, regulatory changes
- Benefiting from wealth increases in the rising middle class: China, Indonesia, India

Moderator:
Blair Pickerell
Chairman, Asia
NIKKO ASSET MANAGEMENT

Panellists:
Sundeep Sikka
CEO
RELIANCE CAPITAL

Ashwin Mehta
CEO
ING SECURITIES
INVESTMENT & TRUST

Alan Harden
CEO, Investment Management
BNY MELLON

Amy Cho
Managing Director, Asia
PICTET ASSET MANAGEMENT

Asset Raising in Europe

- Options for marketing within Europe without a European base
- Obstacles faced by new funds with the AIFMD framework
- Should funds set up under AIFMD or stay offshore and use private placement?
- Set up as a UCITS or use a 3rd party ManCo?
- Selling into recognised markets
- Gauging European investor appetite for Asian funds

Bas van Rooijen
Director – Asset Management
DRAGON CAPITAL

Simon Hopkins
CEO
MILLTRUST

Jeffrey Yap
Managing Partner & CIO
ARK ONE

Sidney Ma
Director, Investor Relations
SPRINGS CAPITAL

RQFII

- Distribution possibilities under the released rules
- Expansion plans and impact on London & Paris
- Implications for inclusion of: equities, fixed income, ETF products, UCITS products
- What does this mean for QFII?

Carlyon Knight-Evans
Partner
PWC

Remi Toucheboeuf
Head of Product Management, Asia
BNP PARIBAS SECURITIES SERVICES

The Future of UCITS

- How Asian countries are moving to a UCITS style regime
- Whether Asian regulator’s scepticism around derivative strategies will limit UCITS’ growth
- How master-feeder structures are viewed
- Whether: the Mutual Recognition Scheme will mean managers establish HK funds as an alternative to UCITS
- UCITS will help extend RQFII beyond HK
- How UCITS will help internationalise the renminbi

Joost Lobler
Senior Vice President
SUMITOMO MITSUI TRUST GROUP

Alwyn Li
Partner
DEACONS

Anthony Siau Ming Chong
Principal Officer (Acting)
RHB ASSET MANAGEMENT

Taiwanese Distribution: Accessing Taiwanese Investors

- Government pressure for larger onshore footprint
- Opportunities via OBU/OSU channels
- Revisiting private placement safeharbour
- Sub-advisory/sub manager mandate options

Brenda Tse
Managing Director, Greater China
PERMAL

Thomas McGowan
Partner
RUSSIN & VECCHI

Sponsorship opportunities at this conference

This event will present an excellent opportunity to network in a relaxed environment with a tightly targeted industry audience.

For more information please contact Max Tattersall on +44 (0)20 7017 4673, email max.tattersall@informa.com

Register Today Tel: +44 (0) 20 7017 7790 Email: kmregistration@informa.com Fax: +44 (0) 20 7017 7824
For latest programme and to register visit: www.ibc-events.com/GFDAsia
IBC’s UCITS events become: Global Fund Distribution Asia

To capitalise on the increased interest in the AIFMD alongside UCITS matters, IBC have rebranded their UCITS portfolio of events to Global Fund Distribution (GFD).

GFD events will continue to bring together funds, investors, distributors, asset servicers and regulatory experts to provide you with successful distribution strategies. You’ll continue to understand how the major funds are using the benefits of the UCITS framework and AIFMD to increase their distribution reach and raise AuM.

Why attend Global Fund Distribution Asia?

Focused on four key themes:
1. How China is Internationalising
2. Marketing Asian Funds within Europe
3. Marketing European Funds within Asia
4. Pan-Asian Regulatory Developments

Outlining and clarifying the latest regulatory developments:
- Mutual Recognition Scheme
- ASEAN & APEC passport
- Expansion of RQFII
- Hong Kong / Shanghai Stock Connect
- Selling into Europe under the AIFMD
- The future role of UCITS

Last year 48% of attendees were from funds:

... all at the biggest event in Asia focused on fund distribution

Register Today  Tel: +44 (0) 20 7017 7790  Email: kmregistration@informa.com  Fax: +44 (0) 20 7017 7824

For latest programme and to register visit:  www.ibc-events.com/GFDAsia

LinkedIn
Join over 1,000 professionals to increase your professional network and discover who your colleagues and competitors are:
http://www.ibc-events.com/GFDLKG

Twitter
Follow @GlobalFundDist and engage with the online fund management and distribution community:
http://www.twitter.com/globalfunddist

9.55 Hong Kong – Shanghai Stock Connect
• Understanding the opportunities under the proposed scheme
• Does this undermine RQFII?
  - potential uptake of investors going direct through brokers
• Opportunities should the scheme extend to fixed income and currency
• Shaping products to suit the scheme

Panellists:
Philip Tye
Chairman
HONG KONG AIMA
Director & Advisor,
NIGHTHAWK CAPITAL

Christine Lin
Partner
EY

10.35 Break

10.55 What Needs to Change to Include China A-Shares in the MSCI Emerging Markets Index
• Understanding the previously proposed changes to the MSCI Emerging Markets Index
• How the changes would influence the flow of funds into the affected countries
• Potential efforts to increase exposure to China:
  - how this would open up China’s equity market
  - tying in with the Hong Kong – Shanghai Stock Connect
  - implications for adding Chinese A shares to the benchmark
• Implications of an upgrade to “developed market” status for Korea & Taiwan
• Likelihood of attracting further flows from investors seeking safer investments

Chin-Ping Chia
Managing Director & Head of Applied Research, APAC MSCI

11.35 Smart Beta & ESG
• Smart beta:
  - understanding the rise in popularity over 2013
  - clarifying what constitutes as a real smart beta strategy
  - whether investors will continue to invest away from local markets
  - gauging the needs to diversify portfolios more globally
• Environmental, social, and governance:
  - how the HKEx reporting requirements have impacted investments
  - clarifying ‘comply or explain’
  - how much investors value environmental and social issues
  - putting in place steps to identify and measure your current sustainability activities
  - utilising transparency and reporting to improve internal processes and external image

Bert Rebelo
Senior Vice President
NORTHERN TRUST ASSET MANAGEMENT

12.15 End of Conference
Vital to the success of your fund is a clear, defined and effective distribution strategy. You want to complement your direct marketing efforts with coordinated promotion of the UCITS & AIFMD fund through selected intermediaries. The challenge is developing an overall strategy that finds the right cost-benefit balance. This workshop will discuss these challenges interactively, using short case studies to focus discussion on setup, growth and regulation of different UCITS & AIFMD set-ups.

   - Gaining awareness of what sales colleagues on the front line are encountering
   - Business development: Where does a new fund fit into your company’s overall strategy?
   - Investor demand: Strategies and structural limitations
   - Service providers: How to choose the right ones
   - Operations: Requirements for a successful distribution strategy
   - Defining Success: Ensuring an efficient, profitable distribution strategy

Case A: Launching a new UCITS / AIFMD fund with an effective distribution strategy
   - Getting launch capital: Internal vs. external
   - Institutional vs. “retail”: What is distribution for?
   - Building momentum: Marketing + distribution

2. Practical & Technical Distribution Tools
   - Understanding the practical logistics of distribution
   - Administering the myriad of distribution partners, agreements and requirements
   - Effectively using an EU passport for distribution

3. Implementing the Distribution Platform: ACOLIN as a Solution Example
   - Distribution setups: Which one is appropriate for you?
   - Distribution issues: cultural, logistical and operational
   - Best practices: Guidelines for successful distribution

Case B: Building a broad based distribution structure for an established fund
   - Distribution partners: Choosing the intermediaries and platforms
   - Administering the myriad of distribution partners, agreements and requirements
   - Adding Switzerland to the equation
   - Building momentum with the intermediaries: events, roadshows and PR

4. Navigating the Regulatory World for Effective Distribution
   - Changes across the EU: AIFMD, UK RDR, Swiss legal rulings, etc.
   - Country-specific requirements: Registration, reporting, local representation
   - Manager risks: What are you legally responsible for?

Case C: Expanding to multiple client segments and across the globe
   - Global Markets: Expansion into LatAm, Asia, Middle East
   - Future-proofing your UCITS setup
   - Reaching critical mass and sustaining investor commitment
   - Changes across the EU: AIFMD, UK RDR, Swiss legal rulings, etc.
   - Manager risks: What are you legally responsible for?
   - Targeted growth: Selective distribution
   - How regulation will shape future distribution channels

5. Tapping into the Existing Flows
   - How funds are accessing end investment in:
     - Europe
     - Asia
     - North America
     - LatAm
   - Which distribution channels are working

6. Local & Global Registrations
   - Benefiting from regulated distribution
   - Regional requirements: Reporting & local representation
     - o using regulation & understanding the framework for those regions
   - Distribution issues: cultural, logistical and operational
   - Which distribution channel is appropriate for your compliance requirements?

7. Executing a Compliant Marketing Plan
   - Success: ensuring an efficient, profitable distribution strategy
   - Gauging the administrative cost in implementing your marketing & distribution plan
   - Best practices: guidelines for successful distribution

Workshop Leaders

Lorcan Murphy, Director, ACOLIN UK
Lorcan is the Managing Partner and CEO of Acolin UK. Formerly responsible for the Wealth Intermediary business for BGI in Europe, he focused on private banks and multi-family offices. Lorcan was also responsible for the operational management of 27 funds totalling some $100bn of AUM, based in Dublin, Luxembourg and Jersey. Lorcan is a member of the Institute of Chartered Accountants of Ireland (ACA), and graduated from Trinity College, Dublin in Economics.

Steve Williams, Managing Partner & CEO, BROOK GREEN CAPITAL
Steve is the founder of Brook Green Capital. Working in London since 1987, he has focused on institutional sales (Goldman Sachs, Lehman Brothers, Cantor Fitzgerald) and raising investment capital from European and Middle Eastern investors. He cofounded Cadwyn Capital, a global macro hedge fund. Steve holds an MBA from Columbia University, where he was awarded a Congressional Fellowship in International Finance.

Start 1.00pm - Finish 5.00pm
Breaks to be taken at appropriate intervals
TO CLAIM YOUR EXCLUSIVE 20% ASIFMA DISCOUNT QUOTE VIP CODE FKW52739ASIFMA

WHEN AND WHERE

FKW52739
Venue: The Excelsior, Hong Kong
21-22 October 2014

Delegates are responsible for the arrangement and payment of their own travel and accommodation. IBC has arranged a special room rate at a number of hotels. If you wish to book a room, please call Venue Search on +44 (0)20 8546 6169 stating that you are an IIR delegate.

PERSONAL DETAILS

1st Delegate Mr/Mrs/Ms
Job title/Dept
Company
Address
Tel: +44 (0) 20 7017 7790
Fax: +44 (0)20 7017 7824
Email:
Nature of Business
Billing Address (if different from above address)

2nd Delegate Mr/Mrs/Ms
Job title/Dept
Company
Address
Tel: +44 (0) 20 7017 7790
Fax: +44 (0)20 7017 7824
Email:
Nature of Business
Billing Address (if different from above address)

3rd Delegate Mr/Mrs/Ms
Job title/Dept
Company
Address
Tel: +44 (0) 20 7017 7790
Fax: +44 (0)20 7017 7824
Email:
Nature of Business
Billing Address (if different from above address)

Unable to Attend - Event Documentation
Nothing compares to being there - but you need not miss out! To order your online documentation simply tick the box, complete your details above and send the form along with payment.

GFD Asia Global Fund Distribution: £299 + VAT (20%)

Terms and Conditions:

Data protection: The personal information which you provide to us will be held by us on a database. You agree that IIR and IBC Finance may share this information with other companies in the Informa group.

Occasionally your details may be made available to selected third parties who wish to communicate with you offers related to your business activities. If you do not wish to receive these offers please contact the database manager.

For more information about how IIR and IBC Finance use the information you provide please see our privacy policy at: http://www.ibcfinance.com/page/privacy-policy

If you do not wish your details to be available to companies in the Informa Group, or selected third parties, please contact the Database Manager, Informa UK Ltd, Maple House, 149 Tottenham Court Road, London, W1T 7AD, UK. Tel: +44 (0)20 7017 7707, fax: +44 (0)20 7017 7824 or email informa@hta.co.uk

Incorrect Mailing: If you are receiving multiple mailings or you would like us to change any details, or remove your name from our database, please contact the Database Manager at the above address quoting the reference number printed on the mailing label.

By completing and submitting this registration form, you confirm that you have read and understood the R and IBC Finance Delegate Terms and Conditions and you agree to be bound by them.