

# COMPLIANCE WEEK

7-10 SEPTEMBER 2021, VIRTUAL EVENT  
#ASIFMACompliance2021



## EXTERNAL Program (Last update: 22 Jul 2021)

**Dates:** Tuesday to Friday, 7-10 September 2021  
**Time:** Day 1 and Day 4: starting from 09:00 (GMT+8)  
 Day 2 and Day 3: starting from 14:00 (GMT+8)  
**Language:** English

DAY 1 (TUE, 7 SEP)	DAY 2 (WED, 8 SEP)	DAY 3 (THU, 9 SEP)	DAY 4 (FRI, 10 SEP)
<b>REGULATORY OUTLOOK</b>	<b>CULTURE AND ACCOUNTABILITY</b>	<b>LOOKING INTO THE FUTURE</b>	<b>TECHNOLOGY AND INNOVATION</b>
<b>09:00-13:00</b>	<b>14:00-17:50</b>	<b>14:00-17:15</b>	<b>09:00-12:15</b>
<p><b>Keynote 1</b> Ashley Alder Chairman, IOSCO Board; CEO, Securities and Futures Commission Hong Kong</p> <p><b>Keynote 2</b> Hester M. Peirce, Commissioner, U.S. Securities and Exchange Commission</p> <p><b>Panel 1:</b> Regulators' Perspective: Looking Back and Looking Ahead</p> <p><b>Panel 2:</b> Financial Regulatory Trends Globally and Asia</p> <p><b>Panel 3:</b> COVID-19: The Evolving Impact on Markets and Business Operations</p> <p><b>Closing Keynote</b></p> <p><b>Branded Demo</b></p>	<p><b>Keynote</b></p> <p><b>Fireside Chat:</b> Enforcement Trends</p> <p><b>Panel 1:</b> Conduct, Culture and Accountability Regime: Harmonization across Different Countries</p> <p><b>Panel 2:</b> Market Abuse</p> <p><b>Closing Keynote</b></p> <p><b>Branded Demo</b></p>	<p><b>Keynote 1</b></p> <p><b>Keynote 2</b></p> <p><b>Panel 1:</b> Future-Proofing the Function of Compliance: Evolution, Upskilling, Diversity</p> <p><b>Panel 2:</b> ESG and Green</p> <p><b>Closing Keynote</b></p> <p><b>Branded Demo</b></p> <p><b>18:30-20:30:</b> <b>In-person Cocktail (TBC)</b></p>	<p><b>Keynote 1</b></p> <p><b>Keynote 2</b></p> <p><b>Panel 1:</b> RegTech Adoption and SupTech</p> <p><b>Panel 2:</b> Social Media and Fake News: Managing Risk, Crisis Management</p> <p><b>Closing Keynote</b></p> <p><b>Branded Demo</b></p>

- 09:00-09:02**    **Welcome Remarks**
- **Mark Austen, CEO, ASIFMA**
- 09:02-09:05**    **Opening Remarks**
- 09:05-09:20**    **Keynote 1**
- **Ashley Alder, Chairman, IOSCO Board; CEO, Securities and Futures Commission Hong Kong**
- 09:20-09:35**    **Keynote 2**
- **Hester M. Peirce, Commissioner, U.S. Securities and Exchange Commission**
- 09:35-10:20**    **Panel 1 - Regulators' Perspective: Looking Back and Looking Ahead**
- Challenges faced in 2020
  - What's keeping regulators awake at night
  - Looking and planning ahead - priorities and key themes
  - How will the role of regulators evolve?
  - **Ruenvadee Suwanmongkol, Secretary-General, Securities and Exchange Commission Thailand**
- 10:20-11:20**    **Panel 2 - Financial Regulatory Trends Globally and Asia**
- What are the major trends in global financial regulations?
  - Is regulatory fragmentation being solved?
  - Sustainability and climate risk
  - Technology, data cybersecurity and the shift to digital business model
  - Conduct risk, AML, financial crime
  - Outsourcing
- 11:20-12:20**    **Panel 3 - COVID-19: The Evolving Impact on Markets and Business Operations**
- Pandemic: How has the COVID-19 affected the markets?
  - Do we comprehend the full extent of the pandemic?
  - How does the industry work efficiently and support flexibility during Covid-19 outbreak; lesson learnt?
  - Operational resilience and what lessons are learnt from COVID-19 pandemic?
  - How do we collaborate with regulators to turn BCP into BAU?
  - Vaccination, travel and working from home
  - Outlook: what the world looks like going forward?
  - **Phakawa Jeasakul, Resident Representative for Peoples Republic of China Hong Kong Special Administrative Region, International Monetary Fund**
- 12:20-12:35**    **Closing Keynote**
- 12:35-12:55**    **Branded Demo**

**12:55-13:00 Closing Remarks**

- **Patrick Pang**, Managing Director – Head of Compliance and Tax, **ASIFMA**

## DAY 2 – WEDNESDAY, 8 SEPTEMBER 2021

### CULTURE AND ACCOUNTABILITY

- 14:00-14:02**    **Welcome Remarks**
- **Patrick Pang**, Managing Director – Head of Compliance and Tax, **ASIFMA**
- 14:02-14:05**    **Opening Remarks**
- 14:05-14:20**    **Keynote**
- 14:20-15:10**    **Fireside Chat - Enforcement Trends**
- **Sharon Concisom**, Executive Director, Markets Enforcement, **Australian Securities and Investments Commission**
- 15:10-16:10**    **Panel 1 - Conduct, Culture and Accountability Regime: Harmonization across Different Countries**
- Has conduct improved?
  - Designing appropriate framework and measuring risk and culture? Could we incentivize good culture?
  - The importance of good leadership in driving healthy cultures
  - Any suggestions for competence requirements of senior managers?
  - What has been the impact of manager-in-charge regime and rolling bad apple regime?
- 16:10-17:10**    **Panel 2 - Market Abuse**
- What are the typical signs and red flags of market abuse? What are the market practice and monitoring measures?
  - What would be the regulator’s expectation and regulatory guidance on using social media?
  - Any evolving methods for identifying and preventing market abuse? How are AI, machine learning and data analytics tools being used in financial services?
  - COVID-19: how are firms and regulators responding to new market abuse risks and managing the increasing digitization in workplace? What are the key components of a great surveillance program?
  - Changes to surveillance due to remote work environment and evolving expectations
  - Recent disciplinary actions involving electronic communications surveillance and challenges on record retention of communication apps
- 17:10-17:25**    **Closing Keynote**
- 17:25-17:45**    **Branded Demo**
- 17:45-17:50**    **Closing Remarks**
- **Patrick Pang**, Managing Director – Head of Compliance and Tax, **ASIFMA**

## DAY 3 – THURSDAY, 9 SEPTEMBER 2021

### LOOKING INTO THE FUTURE

- 14:00-14:02**    **Welcome Remarks**
- **Patrick Pang**, Managing Director – Head of Compliance and Tax, **ASIFMA**
- 14:02-14:05**    **Opening Remarks**
- 14:05-14:20**    **Keynote 1**
- 14:20-14:35**    **Keynote 2**
- 14:35-15:35**    **Panel 1 - Future-Proofing the Function of Compliance: Evolution, Upskilling, Diversity**
- Challenges faced in 2021 – what keeps compliance officers awake at night?
  - How has the role of the compliance officer been evolving?
  - What are the top three areas compliance should be taking action now? Any future opportunities and challenges for compliance and legal?
  - Compliance officers of the future
  - Embracing innovation and technology
  - Data risk – what tools are compliance officers looking at?
  - Diversity
- 15:35-16:35**    **Panel 2 - ESG and Green**
- Recent regulatory developments
  - Role of financial institutions
  - Climate risk and green washing
  - Will ESG considerations become conduct risks or financial crime?
  - Role of compliance function
- 16:35-16:50**    **Closing Keynote**
- 16:50-17:10**    **Branded Demo**
- 17:10-17:15**    **Closing Remarks**
- **Patrick Pang**, Managing Director – Head of Compliance and Tax, **ASIFMA**

- 09:00-09:02**    **Welcome Remarks**
- **Patrick Pang**, Managing Director – Head of Compliance and Tax, **ASIFMA**
- 09:02-09:05**    **Opening Remarks**
- 09:05-09:20**    **Keynote 1**
- 09:20-09:35**    **Keynote 2**
- 09:35-10:35**    **Panel 1 - RegTech Adoption and SupTech**
- RegTech adoption, legacy systems and rollout
  - How AI and big data will transform banking in future?
  - Will it make regulatory compliance easier or even raise the bar higher?
  - What are the leading technologies in regulations?
  - RegTech adoption and strategies
- 10:35-11:35**    **Panel 2 - Social Media and Fake News: Managing Risk, Crisis Management**
- Use of instant messaging – WeChat and WhatsApp
  - What is the key difference between the past and current modes of dissemination?
  - How could we respond to threat posed by digital disinformation?
  - How to effectively manage social media risks?
- 11:35-11:50**    **Closing Keynote**
- 11:50-12:10**    **Branded Demo**
- 12:10-12:15**    **Closing Remarks**
- **Patrick Pang**, Managing Director – Head of Compliance and Tax, **ASIFMA**

*At ASIFMA, we are committed to ensuring **diversity and inclusion** in our workplace and this policy is applied in all areas of our business including speaker roles at our events and conferences. We wish to work with members and partners who share this same commitment and are willing to support this policy.*