

COMPLIANCE WEEK

7-10 SEPTEMBER 2021, VIRTUAL EVENT
#ASIFMACompliance2021

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

EXTERNAL Program

(Last update: 7 Sep 2021)

All speakers and topics are subject to change.

DAY 1 (TUE, 7 SEP)	DAY 2 (WED, 8 SEP)	DAY 3 (THU, 9 SEP)	DAY 4 (FRI, 10 SEP)
REGULATORY OUTLOOK	CULTURE AND ACCOUNTABILITY	LOOKING INTO THE FUTURE	TECHNOLOGY AND INNOVATION
09:00-12:10	14:00-17:30	14:00-16:40	09:00-11:55
<p>Keynote Ashley Alder, IOSCO Board; SFC</p> <p>Fireside Chat Hester M. Peirce, SEC</p> <p>Panel 1: Regulators' Perspective: Looking Back and Looking Ahead</p> <p>Panel 2: Financial Regulatory Trends Globally and Asia [closed to media]</p> <p>Panel 3: COVID-19: The Evolving Impact on Markets and Business Operations [closed to media]</p>	<p>Keynote Arthur Yuen, HKMA</p> <p>Fireside Chat: Enforcement Trends Sharon Concisom, ASIC Beng Hwa Tan, MAS Thomas Atkinson, SFC</p> <p>Panel 1: Conduct, Culture and Accountability Regime: Coordination across Different Countries</p> <p>Panel 2: Market Abuse</p> <p>Closing Keynote: Biba Homsy, Bank Quilvest Switzerland</p>	<p>Keynote: Raising Preparedness for the Next Era from the International Public Policy Perspective Shigeru Ariizumi, JFSA</p> <p>Panel 1: Future-Proofing the Function of Compliance: Evolution, Upskilling, Diversity [closed to media]</p> <p>Panel 2: ESG and Green</p> <p>Closing Keynote: Priorities of EMEAP (Executives' Meeting of East Asia Pacific Central Banks) and Update on Global FX Code of Conduct Guy Debelle, RBA</p>	<p>Keynote 1 Vincent Loy, MAS</p> <p>Keynote 2: How an Informant and a Messaging App Led to Huge Global Crime Sting Nathan Lynch, Thomson Reuters</p> <p>Panel 1: RegTech Adoption and SupTech</p> <p>Panel 2: Social Media: Managing Risk, Crisis Management</p> <p>Closing Keynote Makoto Minegishi, BOJ</p>

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.

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DAY 1 – TUESDAY, 7 SEPTEMBER 2021

REGULATORY OUTLOOK

09:00-09:02 Welcome Remarks

- **Mark Austen, CEO, ASIFMA**

09:02-09:05 Opening Remarks

- **Hannah Cassidy, Partner, Head of Financial Services Regulatory, Asia, Herbert Smith Freehills Hong Kong**

09:05-09:20 Keynote

- **Ashley Alder, Chairman, IOSCO Board; CEO, Securities and Futures Commission Hong Kong**

09:20-09:35 Fireside Chat

- **Hester M. Peirce, Commissioner, U.S. Securities and Exchange Commission**
- **Mark Austen, CEO, ASIFMA (moderator)**

09:35-10:35 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?
- **Cathie Armour, Commissioner, Australian Securities and Investments Commission**
- **Lim Tuang Lee, Assistant Managing Director (Capital Markets), Monetary Authority Singapore**
- **Ruenvadee Suwanmongkol, Secretary-General, Securities and Exchange Commission Thailand**
- **Julia Leung, Deputy Chief Executive Officer, Securities and Futures Commission Hong Kong**
- **Nathan Lynch, Asia-Pacific Manager, Regulatory Intelligence, Thomson Reuters (moderator)**

10:35-11:35 Panel 2 - Financial Regulatory Trends Globally and Asia

Important Note:

This panel is closed to media and is conducted under Chatham House rules. Participants are free to use the information received, but neither the identity nor the affiliation of the speaker, nor that of any other participant, may be revealed.

- 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
- **Dinesh Sadarangani**, Managing Director, Head of Asia Pacific Compliance & Operational Risk, **Bank of America**
- **Jessica Bartlett**, Global Head of Financial Crime Legal, **Barclays**
- **Gary Tiu**, Group Executive Director and Head of Regulatory Affairs, **BC Technology Group (Parent Company of OSL)**
- **Tim Woodward**, Head of Global Markets and ALM-T Compliance APAC, **BNP Paribas**
- **Hannah Cassidy**, Partner, Head of Financial Services Regulatory, Asia, **Herbert Smith Freehills Hong Kong**
- **Manesh Samtani**, Editor and General Manager, **Regulation Asia** (moderator)

11:35-12:05 Panel 3 - COVID-19: The Evolving Impact on Markets and Business Operations

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- 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**
- **James Walker**, Managing Director, Head of Compliance, Asia Pacific Markets, Research and Investment Banking, **Credit Suisse Hong Kong**
- **David Scott**, Partner and Asia-Pacific Financial Services Risk Management Leader, **EY**
- **Jennifer Hughes**, Asia Columnist, **Reuters Breakingviews** (moderator)

12:05-12:10 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

- **Adam Johnston**, Managing Director, Hong Kong, **Protiviti**

14:05-14:20 Keynote

- **Arthur Yuen**, Deputy Chief Executive, **Hong Kong Monetary Authority**

14:20-15:10 Fireside Chat - Enforcement Trends

- How the enforcement toolkit is evolving in relation to the emerging digital economy
- Understanding the challenges to enforcement in relation to crypto, ransomware, cloud computing and cyber
- The use of tools and emerging technology to deal with this emergence
- Sharing experiences on enforcement global trends to how to choose your enforcement targets and determining what is the best deterrence
- **Sharon Concisom**, Executive Director, Markets Enforcement, **Australian Securities and Investments Commission**
- **Beng Hwa Tan**, Director, Head of Enforcement Department's Market Conduct Investigations Division I, **Monetary Authority Singapore**
- **Thomas Atkinson**, Executive Director, Enforcement, **Securities and Futures Commission Hong Kong**
- **Mark Austen**, CEO, **ASIFMA** (moderator)

15:10-16:10 Panel 1 - Conduct, Culture and Accountability Regime: Coordination 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?
- **Marilouise Hughes**, APAC Head of Conduct Risk Management ICRM, **Citi**
- **Natalie Curtis**, Partner, Financial Services Regulatory, **Herbert Smith Freehills LLP Singapore**
- **Jon Witts**, Head of Enforcement, Listing Division, **Hong Kong Exchanges and Clearing Limited**
- **William Hallatt**, Co-Chair of Global Financial Regulatory Practice, **Gibson Dunn**
- **Kelly-Ann McHugh**, Director Asia-Pacific, **MyComplianceOffice** (moderator)

16:10-17:10 Panel 2 - Market Abuse

- Ethics in the market place
- 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
- **Calissa Aldridge**, Senior Executive Leader - Market Supervision, **Australian Securities and Investments Commission**
- **Ananta Barua**, Whole Time Member, **Securities and Exchange Board of India**
- **Michael Duignan**, Head of Market Misconduct Team, **Securities and Futures Commission Hong Kong**
- **Grace Chong**, Of Counsel, Regulatory & Digital Business, **Simmons & Simmons JWT**
- **Philippa Allen**, CEO and Founder, **ComplianceAsia** (moderator)

17:10-17:25 Closing Keynote

- **Biba Homsy**, Board Member of **Bank Quilvest Switzerland** and Regulatory and Crypto Lawyer; Former Head of International Cooperation, **FINMA**; Former Chief Compliance Officer, **Credit Suisse Europe**

17:25-17:30 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: Raising Preparedness for the Next Era from the International Public Policy Perspective

- **Todd Heythaler**, Vice President, Strategic Accounts, **Smarsh (Digital Reasoning)**

14:05-14:20 Keynote

- **Shigeru Ariizumi**, Vice Commissioner for International Affairs, **Financial Services Agency, The Government of Japan**

14:20-15:20 Panel 1 - Future-Proofing the Function of Compliance: Evolution, Upskilling, Diversity

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- 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
- **Jairam Parameswaran**, APAC Compliance & Operational Risk, **BofA Securities**
- **Josh Heiliczzer**, Managing Director, Hong Kong, **Protiviti**
- **Selina Tindall**, Senior Solutions Consultant, **Smarsh (Digital Reasoning)**
- **June Lau**, Senior Vice President, Head of APAC Compliance, **State Street**
- **B.C. Tan**, Director, Risk Special Services, **Thomson Reuters**
- **Benno Jaeggi**, Consultant, **Egon Zehnder** (moderator)

15:20-16:20 Panel 2 - ESG and Green

- ESG risk management obligations of banks and asset managers
- Disclosure requirements
- Product labelling and greenwashing
- Liabilities and penalties
- **Linda Yiu**, Director, Intermediaries Supervision, **Securities and Futures Commission Hong Kong**
- **Vimal Motwani**, Director and Assistant General Counsel, **Bank of America**
- **Malisa Ng**, Vice President, Global Public Policy Group, **BlackRock**
- **Eugene Goynes**, Asia-Pacific Financial Services Regulatory Lead, **EY**
- **Gemini Yang**, Partner, Risk Consulting, **KPMG China**
- **Sumit Indwar**, Partner, **Linklaters** (moderator)

16:20-16:35 Closing Keynote: Priorities of EMEAP (Executives' Meeting of East Asia Pacific Central Banks) and Update on Global FX Code of Conduct

- **Guy Debelle**, Deputy Governor, **Reserve Bank of Australia**

16:35-16:40 Closing Remarks

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

DAY 4 – FRIDAY, 10 SEP 2021
TECHNOLOGY AND INNOVATION

- 09:00-09:02 Welcome Remarks**
- **Patrick Pang**, Managing Director – Head of Compliance and Tax, **ASIFMA**
- 09:02-09:05 Opening Remarks**
- **David Scott**, Partner and Asia-Pacific Financial Services Risk Management Leader, **EY**
- 09:05-09:20 Keynote 1**
- **Vincent Loy**, Assistant Managing Director (Technology), **Monetary Authority Singapore**
- 09:20-09:35 Keynote 2: How an Informant and a Messaging App Led to Huge Global Crime Sting**
- **Nathan Lynch**, Asia-Pacific Manager, Regulatory Intelligence, **Thomson Reuters**
- 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
 - **Aveline San**, Managing Director and Chief Compliance Officer, APAC, **Citi**
 - **Jennifer Sunderlin**, Director, Financial Services Consulting, **EY**
 - **Jianing Song**, Partner, Head of Advisory, **KPMG China**
 - **Brandon Carl**, Executive Vice President, Product Strategy, **Smarsh (Digital Reasoning)**
 - **Connell O'Neill**, Head of APAC Technology Practice, **Gibson Dunn** (moderator)
- 10:35-11:35 Panel 2 - Social Media: 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?
 - How are firms enabling the various remote office communication platforms and yet ensuring compliance with data and confidentiality policies?
 - How are firms protecting their data from being disseminated via social media?
 - Challenges posed and faced by content platforms: privacy, misinformation, unlawful content and takedown
 - **Atty. Oliver O. Leonardo**, Officer-In-Charge of the Enforcement and Investor Protection Department, **Securities and Exchange Commission Philippines**
 - **Fai Hung Cheung**, Partner, **Allen & Overy**
 - **Puneet Kukreja**, Partner, Financial Services, Cyber Cloud, **Deloitte**
 - **Helen Chan**, Regulatory Intelligence Expert, **Thomson Reuters**
 - **Ella Arwyn Jones**, Editor, **FinanceAsia** (moderator)

11:35-11:50 Closing Keynote

- **Makoto Minegishi**, Deputy Director-General, Financial System and Bank Examination Department, **Bank of Japan**

11:50-11:55 Closing Remarks

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