

COMPLIANCE ASIA CONFERENCE

28-30 June 2022, Virtual Event
#ASIFMACompliance2022

Date: Tuesday-Thursday, 28-30 June
Time: Starting at 9:00am (GMT+8) daily
Language: English

DAY 1 (Tue, 28 June)	DAY 2 (Wed, 29 June)	DAY 3 (Thurs, 30 June)
REGULATORY OUTLOOK	OPERATION AND THE TALENT POOL	TECHNOLOGY AND INNOVATION
09:00-13:00	09:00-12:15	09:00-12:15
<p>Opening Keynote Julia Leung, Deputy Chief Executive Officer and Executive Director, Intermediaries, Securities and Futures Commission (SFC)</p> <p>Panel 1: Regulator's Perspective: Looking Back and Looking Ahead</p> <p>Panel 2: COVID-19: The World Two Years On – the Evolving Impact on Markets and Business Operations</p> <p>Panel 3: ESG Risk Management and Greenwashing</p> <p>Panel 4: ESG Disclosures</p>	<p>Opening Keynote Arthur Yuen, Deputy Chief Executive, Hong Kong Monetary Authority</p> <p>Panel 1: Cross Border Business Arrangements</p> <p>Panel 2: A Look at Selected Regimes in Progress - Mandatory Reference Checks and Investor ID</p> <p>Panel 3: Talent: Challenges and Opportunities in Recruiting, Fostering and Upskilling</p>	<p>Panel 1: RegTech Adoption – The Way Forward</p> <p>Panel 2: Cross Border Data Sharing Data Privacy</p> <p>Panel 3: Surveillance: Keeping up with Innovation and Challenges in the Region</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.



DAY 1 | TUESDAY | 28 JUNE | REGULATORY OUTLOOK

09:00-09:05 Welcome Remarks

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

09:05-09:08 Opening Remarks

B.C. Tan, Director, Risk Special Services, Thomson Reuters

09:08-09:20 Opening Keynote:

Julia Leung, Deputy Chief Executive Officer and Executive Director, Intermediaries, Securities and Futures Commission (SFC)

09:20-10:15 Panel 1: Regulator's Perspective: Looking Back and Looking Ahead

- Challenges faced in 2021: a year in review – Crypto/CBDC and digital; greenwashing; remote working and Sanctions and war
- What's keeping us awake at night?
- Looking and planning ahead - priorities and key themes
- How will the role of regulators evolve?

Panelists:

Rebecca Thorpe, Partner, Head of Asia, Bovill

Phakawa Jeasakul, Resident Representative for Peoples Republic of China Hong Kong Special Administrative Region, International Monetary Fund

Ruenvadee Suwanmongkol, Secretary-General, Securities and Exchange Commission Thailand

Niall Coburn, Regulatory Intelligence Expert, Thomson Reuters

Moderator: *Catherine Simmons, Managing Director and Head of Government Affairs, Asia Pacific, Citi*

10:15-11:10 Panel 2: COVID-19: The World Two Years On – the Evolving Impact on Markets and Business Operations

- Asia and the pandemic 2.5 years on: 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; lessons 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?

Panelists:

Priya Kundamal, General Manager and Head of Data Repository (Singapore), DTCC

Paul Hedley, Head of Regulatory Compliance, Global Banking and Markets, Asia Pacific, HSBC

Dr Ahmed Fahmy, Regional Medical Director, Assistance Services, Northern Asia, International SOS

June Lau, Senior Vice President, Head of APAC Compliance, State Street Bank and Trust Company

Avalon Ingram, Head of Financial Crime Compliance, Data Intelligence and Cyber Initiatives, APAC & METIA, SWIFT

Moderator: *Laurence Van der Loo, Executive Director – Tech & Ops, ASIFMA*



11:10-12:05 Panel 3: ESG Risk Management and Greenwashing

- Environmental risk management obligations of banks and asset managers
- Integrating climate considerations into existing risk modelling frameworks (global practices, local context)
- Product labeling
- Lessons from implementation

Panelists:

Philippa Allen, CEO and Founder, ComplianceAsia

Armen Dallakyan, Director, Ernst & Young Advisory Services

Ian Drew, Head of Climate and Nature Related Risk, Asia Pacific, HSBC

Carol Ngai, Senior Manager, Investment Products, Securities and Futures Commission (SFC)

Helen Chan, Regulatory Intelligence Expert, Thomson Reuters

Moderator: *Hannah Cassidy, Partner, Head of Financial Services Regulatory, Asia Herbert Smith Freehills*

12:05-12:55 Panel 4: ESG Disclosures

- Data availability and accessibility
- Future trends, local and international initiatives including ISSB standards and assurance of data

Panelists:

Henri DeBranche, Head of APAC ESG Advisory, JP Morgan

Eddie Ng, Partner, Business Reporting and Sustainability, KPMG

Elaine Ng, International Affairs and Sustainable Finance, Securities and Futures Commission (SFC)

Benjamin Soh, Co-founder and Managing Director, STACS

Moderator: *Yvette Kwan, Executive Adviser, Asset Management Group (AAMG), ASIFMA*

12:55-13:00 Closing Remarks

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



DAY 2 | WEDNESDAY | 29 JUNE | OPERATION AND THE TALENT POOL

09:00-09:05 Welcome Remarks

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

09:05-09:08 Opening Remarks

David Scott, Asia-Pacific Financial Services Risk Management Leader, Ernst & Young Advisory Services

09:08-09:20 Opening Keynote:

Arthur Yuen, Deputy Chief Executive, Hong Kong Monetary Authority

09:20-10:15 Panel 1: Cross Border Business Arrangements

- Frameworks
 - Outline and overview of PRC regulation of securities and futures market and a comparison to HK regulation
 - How does all this affect Wealth Management Connect in the Greater Bay Area?
- What are the five most common areas of concern for entities and individuals?
 - Key Channels (e.g., travel physically, calls and emails)
- Regulatory ability for licensed reps to undertake regulated activities offshore
 - What is permitted without a license?
 - Does COVID / remote working alleviate any of the obligations or enforcement risk?
- What are some of the practical solutions?
 - For example, are there any common or innovative models for supporting clients in multiple jurisdictions while navigating licensing and data restrictions?

Panelists:

Evan Lam, Partner, Ashurst

Irene Yiu, Head of Global Markets Transversal Compliance Office, BNP Paribas

Rushabh Mehta, Partner, Consulting, Ernst & Young Advisory Services

Richard Mazzochi, Partner, King & Wood Mallesons

Moderator: *Peter Hopkins, Managing Director, Head of Markets Compliance - Asia, Australia and New Zealand Banking Group (ANZ)*

10:15-11:10 Panel 2: A Look at Selected Regimes in Progress - Mandatory Reference Checks and Investor ID

- Implementation challenges
- Meeting the timeline
- Meeting the objectives

Panelists:

Ranadip Datta, Managing Director, Risk & Compliance, Protiviti

Natalie Curtis, Partner, Singapore, Herbert Smith Freehills

Andy Li, Chairman, Mandatory Reference Checking Scheme Committee, Hong Kong Association of Bankers; Head of Resourcing, Asia, Standard Chartered Bank

Stanley Cheung, Executive Director, Compliance, JP Morgan

Helen Fok, Partner, Simmons & Simmons

Moderator: *Manesh Samtani, Editor and General Manager at Regulation Asia*



11:10-12:05 Panel 3: Talent: Challenges and Opportunities in Recruiting, Fostering and Upskilling

- Challenges faced in 2022 – Managing Covid-19
- Attracting and retaining talent and does location matter?
- 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?

Panelists:

Dilipkumar Sahu, SVP - Head – International Compliance Asia, Edelweiss Wealth Management

Sue de Broglio, Head of Compliance – Asia, Macquarie Group

Adam Johnston, Country Market Leader, Protiviti

Moderator: *Sumeet Chatterjee, Asia Finance & Markets Editor, Reuters News*

12:05-12:10 Closing Remarks

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



DAY 3 | THURSDAY | 30 JUNE | TECHNOLOGY AND INNOVATION

09:05-09:12 Welcome Remarks

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

09:12-09:15 Opening Remarks

Tom Jenkins, Partner, Head of Financial Risk Management, Hong Kong, KPMG China

09:15-10:15 Panel 1: RegTech Adoption – The Way Forward

- RegTech adoption, legacy systems and rollout
- How AI and big data will transform banking in future?
- Compliance challenges for remote working environment
- Will it make regulatory compliance easier or even raise the bar higher?
- What are the leading technologies in regulations?
- RegTech adoption and strategies

Panelists:

Aveline San, Managing Director and Chief Compliance Officer, APAC, Citi

Kelly-Ann McHugh, Director Asia-Pacific, MyComplianceOffice

Felix Cheung, Founding Chairman, RegTech Association of Hong Kong

Simon Young, Head of Compliance, Hong Kong, DBS Bank

Chivy Chan, Senior Vice President and Singapore Head of Compliance, Haitong International Securities Group

Moderator: *Brian Tang, Founding Executive Director, LITE Lab@HKU; Managing Director, ACMI; Board Member, Fintech Association of Hong Kong*

10:15-11:10 Panel 2: Cross Border, Data Sharing & Data Privacy

- What are some of the restrictions on cross-border data sharing in Asia that pose a problem for financial institutions?
- How do international firms operating in various Asia jurisdictions, navigate the maze of data privacy regulations?
- Why is such data important for financial institutions?
- What types of laws and regulations might financial institutions breach if they do not have access to such data?
- What are the challenges for compliance people in this area?

Panelists:

Eugenie Shen, Managing Director – Head of Asset Management Group, ASIFMA

Tauseef Hussain, APAC Head of Privacy Compliance and Operational Risk, Bank of America

James Zheng, Partner, Management Consulting – Financial Services, KPMG

Xun Yang, Partner, Links Law Offices, China

Moderated by: *Joyce Chen, Senior Regulatory Reporter APAC, PaRR, ION Analytics*



11:10-12:05 Panel 3: Surveillance: Keeping up with Innovation and Challenges in the Region

- What are the typical signs and red flags? What are the market practice and monitoring measures?
- Getting assurances on the surveillance system
- E-commerce and communication platforms available
- Ensuring the surveillance 'rules' are appropriate
- Monitoring for relevant external sanctions and whether surveillance should/would pick it up
- Meeting challenges in global businesses that run across distinct entities
- What would be the regulator's expectation and regulatory guidance?
- How are AI, machine learning and data analytics tools being used in surveillance?
- COVID-19: how are firms and regulators responding to new 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

Panelists:

James Andronis, Senior Manager - Market Supervision, Australian Securities and Investments Commission

Cigdem Winegarden, Chief Compliance Officer, Optiver

B.C. Tan, Director, Risk Special Services, Thomson Reuters

Clara Chiu, CEO, QReg Advisory; Former Fintech Head & Licensing Director of HK SFC

Fei Fang Ong, APAC Compliance Surveillance Lead, Wells Fargo

Moderator: *Irene Lee, Board of Directors, Fintech Association of Hong Kong*

12:05-12:10 Closing Remarks

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