

## SFC Compliance Forum 2022 International Financial Centre – A New Era

**Date:** 14 October 2022  
**Time:** 9:00am – 4:00pm  
**Venue:** Virtual conference

Time	Program	Speaker
9:00 am – 9:45 am (45 mins)	<p><b>Plenary panel:</b> <b>The Future of Hong Kong as an international financial centre – perspectives on its strategic position, strength and resilience</b></p> <ul style="list-style-type: none"> <li>• <i>What are the challenges and opportunities in APAC in the next five years?</i></li> <li>• <i>How do you see Hong Kong's strategic role evolving with Mainland financial markets' increasing integration with global capital markets?</i></li> <li>• <i>How do financial institutions in Hong Kong stay resilient in face of market volatilities arising from geopolitics and macro-economic uncertainties?</i></li> </ul> <p>[This panel will be conducted in English]</p>	<p><b>Moderator:</b> Ms. Julia Leung, <i>Deputy Chief Executive Officer and Executive Director, Intermediaries Division, Securities and Futures Commission</i></p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• Mr. Arthur Yuen, <i>Deputy Chief Executive, The Hong Kong Monetary Authority</i></li> <li>• Mr. Gokul Laroia, <i>Co-Head of Global Equities and CEO of Asia Pacific, Morgan Stanley</i></li> <li>• Ms. Ding Chen, <i>Chief Executive Officer of CSOP Asset Management Limited</i></li> <li>• Mr. Wilfred Yiu, <i>Co-Chief Operating Officer &amp; Co-Head of Markets, Hong Kong Exchanges and Clearing Limited</i></li> </ul>
9:45am – 9:55am (10 mins)	Break	
9:55am – 10:00am (5 mins)	<b>Message from Mr. Rico Leung, Executive Director, Supervision of Markets, Securities and Futures Commission</b>	
10:00am – 10:50am (50 mins)	<p><b>Session 1:</b> <b>Managing Asia equities business in Hong Kong</b></p> <ul style="list-style-type: none"> <li>• <i>What are the opportunities and challenges for Hong Kong as an Asia equities hub?</i></li> <li>• <i>Risk management of prime brokerage and derivatives business</i></li> <li>• <i>Compliance controls for managing Asia equities business</i></li> <li>• <i>Regulatory issues relating to block trades and market sounding practices</i></li> </ul> <p>[This panel will be conducted in English]</p>	<p><b>Moderator:</b> Mr. Keith Choy, <i>Senior Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• Mr. Oliver Kadhim, <i>Managing Director, Co-Head of Equity Execution, Asia, HSBC</i></li> <li>• Mr. Duncan Foster, <i>Managing Director, Co-Head of Prime Brokerage Asia, Morgan Stanley</i></li> <li>• Mr. Jack Niu, <i>Chief Risk Officer, Asia Pacific, BNP Paribas</i></li> <li>• Mr. Dinesh Sadarangani, <i>Head of International Compliance and Operational Risk, Bank of America</i></li> <li>• Ms. Monica To, <i>Director, Intermediaries</i></li> </ul>

		<i>Supervision Department, Intermediaries Division, Securities and Futures Commission</i>
10:50am – 11:00am (10 mins)	Break	
11:00am – 11:05am (5 mins)	<b>Message from Ms. Christina Choi, Executive Director, Investment Products, Securities and Futures Commission</b>	
11:05am – 12:05pm (60 mins)	<p><b>Session 2:</b> <b>Hong Kong's role as a green finance hub within the Greater Bay Area and on the international stage – opportunities and challenges</b></p> <ul style="list-style-type: none"> <li>• <i>Regulatory development in Hong Kong on ISSB and climate-related risks management for fund managers</i></li> <li>• <i>Initiatives on data and capacity building as well as issues on ESG service providers</i></li> <li>• <i>Role of Hong Kong in sustainable finance regionally and globally</i></li> </ul> <p>[This panel will be conducted in English]</p>	<p><b>Moderator:</b> Mr. Anthony Wong, <i>Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• Ms. Diana Parusheva-Lowery, <i>Executive Director, Public Policy and Sustainable Finance, Asia Securities Industry &amp; Financial Markets Association</i></li> <li>• Ms. Winnie Pun, <i>Managing Director and APAC Head of Public Policy at BlackRock</i></li> <li>• Dr. Raymond Yau, <i>General Manager, Technical Services &amp; Sustainable Development, Swire Properties Limited</i></li> <li>• Ms. Jennifer Lee, <i>Director, Corporate Finance Division, Securities and Futures Commission</i></li> </ul>
12:05pm – 12:15pm (10 mins)	Break	
12:15pm – 1:00pm (45 mins)	<p><b>Session 3:</b> <b>Money laundering risks in the capital market and how could Suptech and Regtech help in combating financial crime</b></p> <ul style="list-style-type: none"> <li>• <i>Emerging trends of money laundering and terrorist financing threats and financial crime in the capital market</i></li> <li>• <i>Key indicators of suspicious trading behaviour and activities with respect to the emerging trends</i></li> <li>• <i>How could Suptech and Regtech help?</i></li> </ul> <p>[This panel will be conducted in Cantonese]</p>	<p><b>Moderator:</b> Ms. Joyce Pang, <i>Associate Director &amp; Head of AML, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• Mr. Tony Tse, <i>Chief Inspector and in-charge of ML/TF Risk Assessment, Financial Intelligence and Investigation Bureau, Hong Kong Police Force</i></li> <li>• Mr. Jonathan Ng, <i>Head of AML/FCC, Bank of China International Holdings Limited</i></li> <li>• Mr. Simon Young, <i>Head of Compliance, DBS Bank</i></li> <li>• Mr. Jimmy Tong, <i>Director, Enforcement Division, Securities and Futures Commission</i></li> </ul>
1:00pm – 1:20pm (20 mins)	Break	

<p>1:20pm – 2:20pm (60 mins)</p>	<p><b>Session 4:</b> <b>Embracing new generation of investors through online platforms</b></p> <ul style="list-style-type: none"> <li>• <i>What are the factors contributing to a successful operating model for online platforms?</i></li> <li>• <i>Key challenges and risks in operating online platforms</i></li> <li>• <i>Expected standards and good practices in operating online platforms</i></li> </ul> <p>[This panel will be conducted in Cantonese]</p>	<p><b>Moderator:</b> Ms. Clara Chan, <i>Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• Ms. Juliana Wang, <i>Managing Director and Chief Operating Officer, Huatai Financial Holdings (Hong Kong) Limited</i></li> <li>• Ms. Fion Ng, <i>Managing Director, Chief Financial Group Limited</i></li> <li>• Mr. Edmond Hui, <i>Executive Director and Chief Executive Officer, Bright Smart Securities International (H.K.) Limited</i></li> <li>• Ms. Winnie Tam, <i>Senior Manager, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></li> </ul>
<p>2:20pm – 2:30pm (10 mins)</p>	<p>Break</p>	
<p>2:30pm – 3:20pm (50 mins)</p>	<p><b>Session 5:</b> <b>Virtual assets development and regulatory landscape</b></p> <ul style="list-style-type: none"> <li>• <i>Major developments of virtual assets in the market</i></li> <li>• <i>What is the regulatory approach in light of recent market developments and incidents?</i></li> <li>• <i>International regulatory focus</i></li> <li>• <i>New licensing regime for centralized virtual asset exchanges trading non-security tokens</i></li> </ul> <p>[This panel will be conducted in English]</p>	<p><b>Moderator:</b> Ms. Elizabeth Wong, <i>Director, Licensing Department, Intermediaries Division, Securities and Futures Commission</i></p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• Ms. Urszula McCormack, <i>Partner, Cross Border Finance and Technology, King &amp; Wood Mallesons</i></li> <li>• Mr. Gary Tiu, <i>Managing Director, Head of Regulatory Affairs, OSL</i></li> <li>• Mr. Malcolm Wright, <i>Founder, InnoFi Advisory</i></li> <li>• Mr. Henry Tsang, <i>Associate Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></li> </ul>
<p>3:20pm – 3:30pm (10 mins)</p>	<p>Break</p>	
<p>3:30pm – 4:00pm (30 mins)</p>	<p><b>Fireside chat</b></p> <p>[This fireside chat will be conducted in English]</p>	<p><b>Moderator:</b> Ms. Joanne Li, <i>Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></p> <p><b>Speaker:</b></p> <ul style="list-style-type: none"> <li>• Mr. Ashley Alder, <i>Chief Executive Officer, Securities and Futures Commission</i></li> </ul>
<p>4:00pm</p>	<p>Forum ends</p>	