



SECURITIES AND  
FUTURES COMMISSION  
證券及期貨事務監察委員會

# SFC Regulatory Forum 2021

25 November 2021

Hong Kong Convention and Exhibition Centre

# Hong Kong, China's international financial centre: its future and the regulatory agenda

## Programme

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09:00 – 09:15	<b>Opening remarks</b> <b>Mr Tim Lui, SBS, JP</b> <i>Chairman, Securities and Futures Commission (SFC)</i>
09:15 – 09:35	<b>Keynote speech</b> <b>Mr Paul Chan Mo-po, GBM, GBS, MH, JP</b> <i>Financial Secretary of the Hong Kong Special Administrative Region</i>
09:35 – 10:35	<b>Panel 1: Perspectives on the future of Hong Kong as an international financial centre</b> <p>Industry representatives and global investors join Mainland and Hong Kong regulators to discuss the future of Hong Kong's unique role intermediating financial flows between China and the rest of the world amidst the changes which are reshaping capital markets.</p> <p><b>Moderator:</b></p> <ul style="list-style-type: none"><li>▪ <b>Mr Tim Lui, SBS, JP</b> <i>Chairman, SFC</i></li></ul> <p><b>Panellists:</b></p> <ul style="list-style-type: none"><li>▪ <b>Mr Ashley Alder, SBS, JP</b> <i>Chief Executive Officer, SFC</i></li><li>▪ <b>Mr Nicolas Aguzin</b> <i>Chief Executive Officer, Hong Kong Exchanges and Clearing Limited</i></li><li>▪ <b>Mr Gokul Laroia</b> <i>Co-CEO Asia Pacific, Morgan Stanley Asia Limited</i></li><li>▪ <b>Mr Charles Lin</b> <i>Vice Chairman, CLSA Group</i></li><li>▪ <b>Ms Rachel Lord</b> <i>Chair and Head of Asia Pacific, BlackRock</i></li><li>▪ <b>Mr Shen Bing</b> <i>Director-General of the Department of International Affairs, China Securities Regulatory Commission</i></li></ul>

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11:00 – 12:00

**Panel 2: Hong Kong’s position as an international asset and wealth management centre**

The panel will discuss the latest opportunities and challenges facing the asset and wealth management industry. Topics include recent industry trends, regulatory initiatives to optimise the business environment and market connectivity arrangements with the Mainland.

**Moderator:**

- **Ms Christina Choi**  
*Executive Director of Investment Products, SFC*

**Panellists:**

- **Ms Doris Lian**  
*Chairperson, Chinese Asset Management Association of Hong Kong (HKCAMA) and Acting Chief Executive Officer, Boserá Asset Management (International) Co., Ltd*
- **Mr Ming Lu**  
*Head of Asia Pacific, Partner, KKR Asia Limited*
- **Mr Dan Watkins**  
*Chief Executive Officer, Asia Pacific, J.P. Morgan Asset Management*
- **Mr Ivan Wong**  
*Managing Director, Co-Head, North Asia at HSBC Global Private Banking*

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14:00 – 15:00

**Panel 3: Deepening market connect schemes**

Panellists will consider Hong Kong’s strategic positioning with a particular focus on the expansion of connect schemes between Mainland and Hong Kong financial markets and Hong Kong’s development as a risk management centre for Mainland assets. The panel will also discuss the management of operational, financial and regulatory risks in a rapidly-changing business landscape.

**Moderator:**

- **Ms Julia Leung, SBS, JP**  
*Deputy Chief Executive Officer and Executive Director of Intermediaries, SFC*

**Panellists:**

- **Mr Filippo Gori**  
*Chief Executive Officer, Asia Pacific, J.P. Morgan*
  - **Dr Huang Haizhou**  
*Managing Director and Member of Management Committee, China International Capital Corporation Limited*
  - **Mr Rico Leung**  
*Executive Director of Supervision of Markets, SFC*
  - **Ms Angel Ng**  
*Chief Executive Officer, Citi Hong Kong and Macau*
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15:20 – 16:10

**Panel 4: Fostering a high-quality listing market in Hong Kong**

The panel will examine current market trends and developments as well as policy initiatives to enhance Hong Kong's listing regime. Panellists will share their views on the key challenges and opportunities ahead for Hong Kong's stock market.

**Moderator:**

- **Ms Megan Tang**  
*Senior Director, Corporate Finance Division, SFC*

**Panellists:**

- **Ms Bonnie Y Chan**  
*Head of Listing, Hong Kong Exchanges and Clearing Limited*
- **Ms Ding Chen, MH**  
*Chief Executive Officer, CSOP Asset Management Limited; Permanent Honorary Chairperson of HKCAMA and Director of Financial Services Development Council and Mainland Opportunities Committee Convenor*
- **Ms Catherine Leung**  
*Chairperson, Chamber of Hong Kong Listed Companies and Co-Founder and Partner, MizMaa Ventures Ltd*
- **Mr David Wong**  
*Senior Investment Strategist, Head - Asia Business Development, Equities, Co-Chair - Responsible Investing Steering Committee, Asia-Pacific, AllianceBernstein Hong Kong Limited*

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16:10 – 17:00

**Panel 5: How law enforcement agencies are responding to shifts in the financial landscape**

Panellists will share views on how regulators and law enforcement agencies are adapting to changes in the financial services industry, such as the rapid transformation of the global information economy, which have given rise to new types of misconduct and made criminal investigations more complex.

**Moderator:**

- **Mr William Hallatt**  
*Partner, Co-Chair of Global Financial Regulatory Group, Gibson Dunn*

**Panellists:**

- **Mr Thomas Atkinson**  
*Executive Director of Enforcement, SFC*
  - **Mr Marek Grabowski**  
*Chief Executive Officer, Executive Director, Financial Reporting Council*
  - **Mr Sean Lam**  
*Senior Managing Director, FTI Consulting*
  - **Mr Jon Witts**  
*Head of Enforcement, Listing Division, Hong Kong Exchanges and Clearing Limited*
  - **Mr Wong Chi-kwong**  
*Chief Superintendent of Police (Commercial Crime Bureau), Hong Kong Police Force*
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