

SFC Regulatory Forum 2021

Speaker biographies

Opening remarks



Mr Tim LUI, SBS, JP

Chairman, Securities and Futures Commission (SFC)

Mr Tim Lui was appointed the Chairman of the SFC by the HKSAR Chief Executive effective 20 October 2018.

Mr Lui is a Fellow Member of The Hong Kong Institute of Certified Public Accountants (HKICPA) and a Member of The Institute of Chartered Accountants in England and Wales. He was elected President of HKICPA in 1997.

Mr Lui joined PricewaterhouseCoopers (PwC) in London in 1978 and returned to Hong Kong in 1984. During his career at PwC, he served as the Senior Tax Partner, Lead Director of the Board of Partners and a member of the Global Board. He retired as a Senior Advisor of PwC in 2018.

Currently, Mr Lui is a Director of the Hong Kong Academy of Finance. He is also a member of the Financial Leaders Forum, the Hong Kong Monetary Authority's Exchange Fund Advisory Committee and Banking Advisory Committee and Hong Kong Exchanges and Clearing Limited's Listing Nominating Committee.

Mr Lui has been active in public and community service. He is Chairman of the Education Commission and a member of the Public Service Commission. In the past, he was a member of the University Grants Committee and Chairman of the Committee on Self-financing Post-secondary Education, the Joint Committee on Student Finance, the Standing Commission on Directorate Salaries and Conditions of Service and the Employees' Compensation Insurance Levies Management Board.

Mr Lui is Chairman of the SFC's Investment Committee and Advisory Committee. He also sits on the Audit Committee, Nominations Committee, Remuneration Committee and SFC (HKEC Listing) Appeals Committee and is a member of the Process Review Panel for the SFC.

Keynote speech



Mr Paul CHAN Mo-po, GBM, GBS, MH, JP

Financial Secretary of the Hong Kong Special Administrative Region

Mr Chan is a Certified Public Accountant. He is a former President of the Hong Kong Institute of Certified Public Accountants.

Before joining the Government, Mr Chan held a number of public service positions including member of the Legislative Council and Chairman of Legal Aid Services Council.

Mr Chan served as Secretary for Development from July 2012 to January 2017. He was appointed Financial Secretary on 16 January 2017.

Panel 1: Perspectives on the future of Hong Kong as an international financial centre



Moderator

Mr Tim LUI
Chairman, SFC

See Page 1 for Mr Tim Lui's biography.



Mr Ashley ALDER, SBS, JP
Chief Executive Officer, SFC

Mr Alder has been Chief Executive Officer of the SFC since 1 October 2011.

Currently, he is also Chairman of the Board of the International Organization of Securities Commissions (IOSCO) and sits on the Financial Stability Board's Plenary and its Steering Committee.

Mr Alder started his career as a lawyer in London in 1984 and practised in Hong Kong for more than 20 years. He was Executive Director of the SFC's Corporate Finance Division from 2001 to 2004, when he returned to the international law firm Herbert Smith LLP as Head of Asia.

He attained his Bachelor of Laws degree from the University of London in 1982 and graduated from the University of Cambridge with a Master of Laws degree in 1983.

Mr Alder chairs the SFC's Executive Committee and Nominations Committee, and sits on the Budget Committee, Investment Committee, Advisory Committee and SFC (HKEC Listing) Committee.

He is a member of the Financial Leaders Forum, a Council Member of the Treasury Markets Association and Vice President of The Hong Kong Institute of Bankers.

Panel 1: Perspectives on the future of Hong Kong as an international financial centre



Mr Nicolas AGUZIN

Chief Executive Officer, Hong Kong Exchanges and Clearing Limited (HKEX)

Mr Nicolas Aguzin joined HKEX as Chief Executive Officer on 24 May 2021 from J.P. Morgan, where he was most recently Chief Executive Officer of J.P. Morgan's International Private Bank. Mr Aguzin has been based in Hong Kong since 2012.

From 2013 to 2020, Mr Aguzin was CEO, J.P. Morgan, Asia Pacific where he was responsible for all the firm's business across 17 markets. Mr Aguzin presided over some of the firm's major expansion efforts during the period, including establishing itself in China as one of the few international financial institutions with a full range of services and capabilities including a fully-owned locally incorporated commercial bank, a majority-owned securities company, an asset management company and a futures and options company. Concurrent with his Asia CEO role, Mr Aguzin also ran J.P. Morgan's Investment Banking division in Asia. During his tenure the bank rose to become one of the leading investment banks in the Asia Pacific region.

Mr Aguzin joined J.P. Morgan in 1990 in Buenos Aires as a financial analyst. Between 1990 and 2005, he held a variety of roles in New York and Buenos Aires, and in 2005 he was appointed as CEO, Latin America. In 2008 and 2009, in addition to his responsibilities as CEO, Latin America and Head of Latin America Investment Banking, he served as Senior Country Officer for Brazil.

Mr Aguzin holds a bachelor degree in Economics from the Wharton School of the University of Pennsylvania and is fluent in Spanish, Portuguese and English.

Panel 1: Perspectives on the future of Hong Kong as an international financial centre



Mr Gokul LAROA

Co-CEO Asia Pacific, Morgan Stanley Asia Limited

Mr Gokul Laroia is Co-CEO of Asia Pacific for Morgan Stanley, Co-Head of Global Equities and a member of the Firm's Management Committee. Over a 26-year career at Morgan Stanley, Mr Laroia has held a number of leadership positions across the region, heading up the Firm's Mergers & Acquisitions, Asia Equities, Capital Markets and Investment Banking divisions before assuming his current role in 2014.

Prior to joining Morgan Stanley, Mr Laroia spent four years at Citigroup. Mr Laroia holds a bachelor's degree in economics and an MBA from the University of Delhi.



Mr Charles LIN

Vice Chairman, CLSA Group

Mr Charles Lin is Vice Chairman of CLSA, the international platform of CITIC Securities Company Limited.

Mr Lin has more than 15 years of experience in the financial industry. Prior to joining CLSA, he spent eight years at Vanguard in Hong Kong, most recently as CEO of Asia, overseeing the whole business across Asia including Japan. He was instrumental in the growth and expansion of Vanguard's business in Greater China. Previously, Mr Lin was the Head of Greater China for Brazil's Itau Asia Securities based in Hong Kong, responsible for developing their equity and fixed income trading business with central banks, sovereign wealth funds, pension and insurance companies. Before that, he worked for Deutsche Asset Management to develop its QDII business in China.

Mr Lin also serves as New Business Committee Member of HKSAR's Financial Services Development Council (FSDC), Vice Chairman of Chinese Securities Association of Hong Kong (HKCSA), Committee Member of Index Expert Committee organized by Shenzhen Securities Information Co. Ltd, Non-official Member of District Fight Crime Committee (Central and Western District), HKSAR's Home Affairs Department, and Honorary Advisor of New Territories Association of Societies, Hong Kong.

Charles holds a Bachelor Degree in Economics from Shanghai University of Finance and Economics, and studied at the Kellogg School of Management at Northwestern University and Harvard Business School.

Panel 1: Perspectives on the future of Hong Kong as an international financial centre



Ms Rachel LORD

Chair and Head of Asia Pacific, BlackRock

Ms Rachel Lord, Senior Managing Director, is BlackRock's Chair and Head of Asia Pacific, as well as a member of the Global Executive Committee. She also chairs the APAC Steering and Executive Committees. Ms Lord oversees all business activities in the region, which includes Australasia, Greater China, India, Japan, Southeast Asia and South Korea.

Before assuming her current role, Ms Lord served as Head of Europe, Middle East & Africa (EMEA) from September 2017. She led the EMEA business to serve clients across individual markets by bringing to bear a wealth of local expertise and insight. Ms Lord was previously EMEA Head of iShares and Head of Global Clients, ETF and Index Investments.

Ms Lord joined BlackRock in November 2013 from Citigroup where she was Global Head of Corporate Equity Derivatives. She joined Citigroup in 2009 after 13 years at Morgan Stanley, where she played a variety of senior roles in the equities and capital markets businesses in EMEA and Asia.

Ms Lord qualified as a Chartered Accountant in 1990, following which she worked in structured finance for five years before moving into equity derivatives. In 2020, she was named by the Financial News (UK) as one of the 100 most influential women in European Finance for the 10th year running, and was also named as the Asset Management Industry Leader of the Year for 2020.

Ms Lord graduated in 1987 from the University of Leeds with a BA (Hons) First Class in International History & Politics.

Panel 1: Perspectives on the future of Hong Kong as an international financial centre



Mr SHEN Bing

*Director-General of the Department of International Affairs,
China Securities Regulatory Commission*

Mr Shen Bing is Director-General of the Department of International Affairs, China Securities Regulatory Commission (CSRC), which he joined in 1996. Mr Shen has extensive expertise and experience in international communication and cross-border securities regulatory cooperation, as well as policy research on securities markets opening-up. In his current capacity, he is in charge of the CSRC's collaboration, consultation and dialogue with overseas securities regulators and multilateral organizations such as the International Organization of Securities Commissions (IOSCO), World Bank, IMF, OECD, ADB, etc. He also facilitates the CSRC's participation in various assessments conducted by these organizations. He represented the CSRC in the drafting of the CPMI-IOSCO Principles for Financial Market Infrastructures. In 2020, he was reelected as Vice Chair of the IOSCO Asia Pacific Regional Committee (APRC), and Vice Chair of the IOSCO MMOU Monitoring Group for another two-year term.

Mr Shen studied at the School of Foreign Studies of Xi'an Jiaotong University and the Department of Accounting of Renmin University of China. He also holds an MBA degree from the School of Management of Cranfield University (UK).

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



Moderator

Ms Christina CHOI

Executive Director of Investment Products, SFC

Ms Choi is Executive Director of the SFC with responsibility for the Investment Products Division, which is responsible for authorising and supervising collective investment schemes and other investment products as well as for the development and implementation of the SFC's asset management strategy and policies.

Ms Choi joined the SFC in 2005. She has extensive regulatory knowledge and experience in the policies and requirements for investment products both in Hong Kong and internationally. She played a lead role in the design and launch of various mutual recognition of funds (MRF) arrangements between Hong Kong and other jurisdictions, in particular the ground-breaking MRF arrangements with Mainland China.

Prior to joining the SFC, Ms Choi practised as a solicitor in Hong Kong and was a partner of the Corporate Group of the international law firm, Clifford Chance.

Ms Choi is currently Chair of the International Organization of Securities Commissions' Committee on Investment Management. She is also a member of the Hong Kong Trade Development Council's Financial Services Advisory Committee and the Asian Financial Forum Steering Committee.

Ms Choi chairs the SFC's Products Advisory Committee and Committee on Real Estate Investment Trusts. She also sits on the Advisory Committee, the SFC (HKEC Listing) Committee and the Executive Committee.

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



Ms Doris LIAN

Chairperson, Chinese Asset Management Association of Hong Kong (HKCAMA) and Acting Chief Executive Officer, Bosera Asset Management (International) Co., Ltd

Ms Lian has been the Chairperson of the Chinese Asset Management Association of Hong Kong since January 1, 2021. She joined Bosera in May 2012 as head of the product department and head of the marketing and sales division. Effective from 2021, Ms Lian is the Acting CEO, RO and executive director of Bosera International.

Ms Lian has more than 25 years of experience in the asset management industry. Prior to joining Bosera, she was Chief Executive Officer of Da Cheng International Asset Management from 2008 to 2012. She also worked for DBS Vickers (Hong Kong) as China Business director from 2004 to 2008. Prior to that, Ms Lian joined Dacheng Fund Management Co. as the first batch of employees in 2000. She started her career as trader and chief representative in ABN AMRO Bank (Asia) in 1993.

Ms Lian received her Postgraduate Degree in Economics from Guangdong Institute of Public Administration.

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



Mr Ming LU

Head of Asia Pacific, Partner, KKR Asia Limited

Mr Ming Lu joined KKR in 2006. He is the Head of Asia Pacific at KKR Asia Limited and is a Member of Kohlberg Kravis Roberts & Co. L.P. Mr Lu currently serves as a member of the KKR Asian Private Equity Investment Committee, KKR Asian Portfolio Management Committee and the Firm's Investment Management and Distribution Committee. Mr Lu has played a significant role in private equity investments across Asia Pacific. Since 2018, he has played a leadership role in KKR Asia's growth and expansion, including serving as a member of the Asian Infrastructure Investment Committee and Asian Real Estate Investment Committee.

Mr Lu was previously a Partner at CCMP Capital Asia (formerly J.P. Morgan Partners Asia), where he was responsible for investments in the automotive, consumer and industrial sectors in Korea, China, Japan, Australia and South East Asia. Prior to joining JPMP Asia, Mr Lu was President of Asia Pacific at Lucas Varity, a leading global automotive component supplier. Mr Lu has also worked for Kraft Foods International Inc and CITIC, the largest direct investment firm in China.

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



Mr Dan WATKINS

Chief Executive Officer, Asia Pacific, J.P. Morgan Asset Management

Mr Watkins is the Chief Executive Officer of Asia Pacific, J.P. Morgan Asset Management. He is responsible for overseeing the Asset Management Asia Pacific business, which operates in seven locations and includes more than 1,400 employees. Mr Watkins is a member of the Asset Management Operating Committee and the firm-wide Asia Pacific Management team.

Mr Watkins is also Chairman or Director of a number of Fund and Legal Entity Boards in the US, China, Hong Kong, Taiwan, Luxembourg and Ireland.

Mr Watkins has been an employee since 1997. Prior to taking his current role in 2019, he was Deputy CEO of JPMorgan Asset Management Europe and Global Head of AM Client Services and Business Platform. Mr Watkins has also held a number of positions at JPMorgan, namely Head of Europe COO and Global IM Operations, Head of the European Operations Team, Head of the European Transfer Agency, Head of Luxembourg Operations, manager of European Transfer Agency and London Investment Operations and manager of the Flemings Investment Operations Teams.

Mr Watkins obtained a BA in Politics from the University of York and is a qualified Financial Advisor.

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



Mr Ivan WONG

Managing Director, Co-Head, North Asia at HSBC Global Private Banking

Mr Ivan Wong is the Co-head for North Asia of HSBC Global Private Banking. He also represents HSBC in the Executive Committee of Private Wealth Management Association in Hong Kong and is currently the Chairman of PWMA's Next Generation Committee.

Mr Wong joined HSBC in July 2002. Before moving to Private Banking in 2015, Mr Wong had assumed different regional leadership roles in sales and structuring within the Global Markets division in Asia Pacific.

Prior to HSBC, Mr Wong spent a total of 16 years in different management roles in marketing, structuring and trading of derivatives and structured products as well as corporate banking and finance, in Citigroup and Chase Manhattan Bank.

Mr Wong holds a Bachelors degree in Mathematics and Computer Studies from the University of Hong Kong and an MBA from the Chinese University of Hong Kong. He also completed the Advanced Management Program at Harvard Business School. He has been qualified as a CFA since 1994.

Panel 3: Deepening market connect schemes



Moderator

Ms Julia LEUNG, SBS, JP

Deputy Chief Executive Officer and Executive Director of Intermediaries, SFC

Ms Leung is the Deputy Chief Executive Officer of the SFC and an Executive Director with responsibility for the Intermediaries Division, which comprises the Intermediaries Supervision and Licensing departments. That Division is primarily responsible for administering licensing requirements and conducting ongoing supervision of licensed corporations with a focus on their business conduct and financial soundness. Ms Leung was Executive Director responsible for the Investment Products Division from March 2015 to June 2016.

Prior to joining the SFC, Ms Leung was the Under Secretary for Financial Services and the Treasury from August 2008 to December 2013. Before that, she worked with the Hong Kong Monetary Authority (HKMA) for 14 years, spending the last eight years as the Executive Director responsible for financial cooperation with Mainland and other international regulators. She represented the HKMA at the Bank for International Settlements' Committee on the Global Financial Systems.

In over 25 years of public service, Ms Leung has extensive experience in financial regulation, market development and international cooperation. She coordinated an initiative among Asian central banks that led to the launch of the Asian Bond Fund, helped introduce the renminbi business in Hong Kong and facilitated the issuance of yuan-denominated sovereign bonds by the Chinese Ministry of Finance as well as the issuance of other investment products in the offshore renminbi market.

Ms Leung graduated from the Chinese University of Hong Kong and earned a master's degree from Columbia University in the City of New York. In 2014, she conducted research and authored a book on how Asia surmounted various financial crises.

Ms Leung is a member of the Council of Advisers for Applied Research of the Hong Kong Institute for Monetary and Financial Research.

Ms Leung chairs the SFC's Academic and Accreditation Advisory Committee and the Fintech Advisory Group. She also sits on the Advisory Committee, Investment Committee, Budget Committee, Executive Committee and the SFC (HKEC Listing) Committee.

Panel 3: Deepening market connect schemes



Mr Filippo GORI

Chief Executive Officer, Asia Pacific, J.P. Morgan

As CEO of J.P. Morgan in Asia Pacific, Filippo leads the strategy and oversight for all of the firm's businesses across 16 markets in the region. He was also appointed head of Banking for Asia Pacific in 2019, and leads the Investment Banking and Corporate Banking businesses in the region.

Filippo chairs the Asia Pacific Management Committee and is a member of the firm's Corporate & Investment Bank Management Committee. Filippo served as the CEO for Hong Kong from 2018 to 2021, which is home to the firm's Asia Pacific headquarters. Additionally, he is Chief Executive of JPMorgan Chase Bank, N.A. Hong Kong Branch and J.P. Morgan Securities (Asia Pacific) Limited.

Filippo was hired by J.P. Morgan in 1999 and worked in various Europe-focused roles within the firm's Investment Bank and Asset Management businesses. He moved to Hong Kong in 2013, as Asia Pacific head of Sales & Marketing for Markets & Investor Services. He was appointed Deputy CEO for Asia Pacific in 2019 before becoming CEO for the region in February 2020. Filippo also served as Chairman of the Asia Securities Industry & Financial Markets Association from 2018-2020 and as a board member for six years from 2014. He is a member of The Nature Conservancy Asia Pacific Council as well as a member of the Asia Society Board of Trustees.

Filippo is based in Hong Kong with his wife and two children. He is fluent in both English and Italian. He holds a Master of Science in Economics (Honours) from Bocconi University and his thesis in Economic History was published in 1999.

Panel 3: Deepening market connect schemes



Dr HUANG Haizhou

*Managing Director and Member of Management Committee,
China International Capital Corporation Limited*

Dr Huang Haizhou is Managing Director and Member of Management Committee at China International Capital Corporation (CICC) and has over thirty years of experience spanning across academic, policy and financial services.

Upon completing his PhD in 1994, Dr Huang taught at the Chinese University of Hong Kong and the London School of Economics. From 1998 to 2005, he was a senior economist at the International Monetary Fund (IMF), working in the Monetary and Exchange Affairs (now Monetary and Capital Markets), European and Research Departments. He was Chief Economist of Greater China research at Barclays Capital from 2005 to 2007, and joined CICC in the end of 2007 as a Managing Director.

He has over twenty publications in leading academic and policy journals, including American Economic Review, Journal of International Economics, Journal of Monetary Economics, Review of Finance, etc. He published “Global Financial System: Crises and Reforms” (in Chinese, CITIC Press, 2018), and “The Changing Fortunes of Central Banking” (Cambridge University Press, 2018) as a co-editor. He won the Pagano-Zechner Best Paper Prize from the European Financial Association in 2018 and the 19th Sun Yefang Prize in Economics, the highest prize in economics in China, in 2021.

Dr Huang was in the first cohort of the Special Term Professor at Tsinghua University School of Economics and Management (2002-2005), and is a special term professor at the PBoC School of Finance and at Tsinghua and the Shanghai Advanced Institute of Finance. He is Member of the Hong Kong Financial Services Development Council, Vice President of the China Society of World Economics, Member of the China Finance 40 Group (CF40) and former Member of the Global Agenda Council of the World Economic Forum.

Panel 3: Deepening market connect schemes



Mr Rico LEUNG

Executive Director of Supervision of Markets, SFC

Mr Rico Leung is Executive Director of the SFC with responsibility for the Supervision of Markets Division. That Division supervises and monitors exchanges, clearing houses and authorised automated trading service providers, regulates share registrars and manages the investor compensation funds. In addition, it formulates policies to facilitate the development of market infrastructure and boost links with Mainland and international markets.

Prior to joining the SFC in 2000, Mr Leung was the Chief Operations Officer of HKFE Clearing Corporation Limited overseeing the clearing operations and risk management of the futures market. Before that, he worked with the International Commodities Clearing House (Hong Kong) Limited.

Mr Leung also chairs the Investor Compensation Fund Committee and Securities Compensation Fund Committee and sits on the Executive Committee, the SFC (HKEC Listing) Committee and the Risk Management Committee of Hong Kong Exchanges and Clearing Limited. He is a Director of the Investor Compensation Company Limited.

Panel 3: Deepening market connect schemes



Ms Angel NG

Chief Executive Officer, Citi Hong Kong and Macau

Ms Angel Ng has been the Chief Executive Officer (CEO) for Citi Hong Kong and Macau since 2018, and is responsible for all the businesses across the Citi franchise in the two markets. She is also a member of the Citi Asia Pacific Operating Committee.

Prior to assuming the CEO role, Ms Ng was the Chief Executive and Consumer Business Manager for Citi's consumer banking operations in Hong Kong. She previously served as the Head of Retail Banking, Wealth Management, and Cards at Citi Hong Kong.

Prior to Citi, Ms Ng held a number of senior positions at Procter & Gamble and CLP Power Hong Kong. She began her career with HSBC.

Ms Ng currently serves as a board or committee member of the following organizations: Financial Infrastructure and Market Development Sub-Committee under the Exchange Fund Advisory Committee; Board of Directors of the Hong Kong Science & Technology Parks Corporation; Council of the Treasury Markets Association; Financial & Treasury Services Committee of The Hong Kong General Chamber of Commerce; Corporate Advisory Council of The Hong Kong Securities and Investment Institute; Financial Education Coordination Committee under the Investor and Financial Education Council; Insurance and Financial Services Industry Consultative Network under the Employees Retraining Board; Council of The Hong Kong Institute of Bankers (Vice President); Board of The Community Chest of Hong Kong; and Board Advisor of Teach for Hong Kong. She is also a member of the Hong Kong Academy of Finance.

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



Moderator

Ms Megan TANG

Senior Director, Corporate Finance Division, SFC

Ms Tang is the Interim Head of Corporate Finance at the SFC and also heads the Corporate Finance Division's Post-IPO team responsible for the regulation of corporate conduct and transactions. She previously headed the Corporate Finance Division's Policy team and played a major role in many of the listing regulatory reforms introduced in recent years. Ms Tang joined the SFC in 2014 after 17 years of practice as a corporate lawyer.



Ms Bonnie Y CHAN

Head of Listing, Hong Kong Exchanges and Clearing Limited

Ms Bonnie Y Chan is Head of Listing at the Hong Kong Exchanges and Clearing Limited.

Ms Chan has over 25 years of experience in legal and financial services. She started her career in private legal practice, worked in a number of investment banks and was a partner at Davis Polk & Wardwell before assuming her current role.

She was Head of IPO of the Listing Division at the Hong Kong Exchanges and Clearing Limited between 2007 and 2010.

Ms Chan has served on various public service bodies, including the Financial Services Development Council, the Inland Revenue Board, the Standing Committee of Company Law Reform and the Disciplinary Panel of the HKICPA.

Ms Chan graduated from the University of Hong Kong in 1991 and Harvard Law School in 1993. She is admitted as a solicitor in Hong Kong and an attorney at law in New York State.

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



Ms DING Chen, MH

*Chief Executive Officer, CSOP Asset Management Limited,
Permanent Honorary Chairperson of HKCAMA
Director of Financial Services Development Council and
Mainland Opportunities Committee Convenor*

Ms Ding is the Chief Executive Officer of CSOP Asset Management Limited, where she led the company into becoming the largest RQFII manager globally since taking up her position in 2010. Ms Ding was also Assistant Chief Executive Officer & Managing Director of China Southern Asset Management Co. Ltd. (CSAM) from 2003 to 2013. Ms Ding was named “CEO of the Year in Asia” in the 2013 Best of Best Awards held by Asia Asset Management.

Ms Ding serves as Permanent Honorary Chairperson of the Chinese Asset Management Association of Hong Kong, Board Member of the Financial Services Development Council, Convenor of the Mainland Opportunities Committee, member of the Mandatory Provident Fund Schemes Appeal Board, and member of the Treasury Markets Association Executive Board. She also is the Co-chairperson of the International Business Committee of the Asset Management Association of China.

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



Ms Catherine LEUNG

Chairperson, Chamber of Hong Kong Listed Companies and Co-Founder and Partner, MizMaa Ventures Ltd

Ms Catherine K.C. Leung is Co-Founder and Partner of MizMaa Ventures. Founded in early 2016, MizMaa Ventures specialises in early stage investments in verticals where Israel has unfair competitive advantages, namely in Cloud Computing, AI, Cybersecurity, Mobility, Fintech and Digital Health. MizMaa's partners have years of VC, investing and operating experience. It differentiates itself in providing go-to-market advice and c suite access for top Israeli entrepreneurs in both the Asian and Western markets. MizMaa was voted as among the top two most active venture funds in Israel in 2018 with four exits to date. She is currently on the board of Aurora Labs, Orca.ai, Allegro.ai, Varada and Replix.

Prior to MizMaa Ventures, Catherine was an investment banker for twenty years and last served as Vice Chairman of Asia Investment Banking at JP Morgan where she led with a focus for Greater China. Under her leadership, JP Morgan was named Best Investment Bank in Hong Kong for eight consecutive years. She was named Top 20 Women in Finance by Finance Asia in 2011. Prior to JP Morgan, Catherine worked as a management consultant at Oliver Wyman & Co in the US and London from 1990 to 1994. She graduated from the Wharton School of the University Of Pennsylvania, summa cum laude, with majors in Finance and Accounting.

Catherine is currently Chairperson of The Chamber of Hong Kong Listed Companies, Council Member of The Better Hong Kong Foundation, member of the Penn Wharton Entrepreneurship Board, the Wharton Asia Executive Board and the Penn Asia Leadership Committee. She is also a member of the Hong Kong Arts Development Council Trust Fund. She serves as Court Member and Business School Advisory Council Member of the Hong Kong University of Science and Technology where she was recipient of the Honorary Fellowship Award in 2018.

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



Mr David WONG

Senior Investment Strategist, Head - Asia Business Development, Equities, Co-Chair - Responsible Investing Steering Committee, Asia-Pacific, AllianceBernstein Hong Kong Limited

Mr David Wong is a Senior Vice President, Senior Investment Strategist and Head of Asia Business Development for Equities, and Co-Chair of AllianceBernstein's Responsible Investing Steering Committee in Asia-Pacific. He joined AllianceBernstein in 2015, bringing two decades of experience in global equity markets to the firm. Prior to joining AllianceBernstein, Wong was a partner at Janchor Partners, a Hong Kong-based long/short equity hedge fund with US\$2 billion in assets under management (AUM). Before that, he set up the Hong Kong office for GMT Capital, an Atlanta-based long/short equity hedge fund with \$5 billion in AUM, where he served as portfolio manager and head of Asian investments. Over Wong's eight years at the two hedge funds, he was responsible for global investments in technology stocks and served as a generalist portfolio manager for the Asia-Pacific region, including Japan. He was also the founder and managing director of Mobile Adventures, a pan-Asian wireless content company. Wong started his career as an equity research analyst at Bankers Trust and Deutsche Bank; at Deutsche, he managed a team of five associates as the firm's regional semiconductor analyst. He holds a BA in political science from Yale University.

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



Moderator

Mr William HALLATT

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

Mr Hallatt is co-chair of Gibson Dunn's Global Financial Regulatory Group. He acts as a trusted adviser to the world's leading financial institutions. He has extensive experience handling high-stakes enforcement matters brought by key financial services regulators, including the SFC and HKMA, covering issues such as IPO sponsor conduct, AML, crypto licensing, systems and controls failures, and cybersecurity breaches.

Mr Hallatt also routinely advises on new regulatory developments and compliance matters. He is a leading expert on conduct and culture, working on the most significant regulatory change issues with major regulators and industry associations, including ASIFMA and AIMA.



Mr Thomas ATKINSON

Executive Director of Enforcement, SFC

Mr Atkinson is Executive Director of the SFC with responsibility for the Enforcement Division, which is responsible for the surveillance of the securities and futures markets to identify unacceptable conduct as well as for investigating statutory offences and breaches of the legislation enforced by the SFC, and disciplining licensed persons and initiating prosecutions where appropriate.

Prior to joining the SFC, Mr Atkinson was Director of Enforcement at the Ontario Securities Commission, Canada. Before that he was President and CEO of Market Regulation Services Inc., previously a national regulator of equity trading in Canada, and from 1996 to 2001 he held progressively senior positions with the Toronto Stock Exchange, including Vice President of Regulation Services. He began his career as an Assistant Crown Attorney at the Ontario Court of Justice.

Mr Atkinson holds a Law Degree from the University of Windsor and a Masters Degree in Public Policy and Public Administration from McMaster University.

Mr Atkinson also sits on the Securities Compensation Fund Committee, the Investor Compensation Fund Committee and the Executive Committee of the SFC.

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



Mr Marek GRABOWSKI

Chief Executive Officer, Executive Director, Financial Reporting Council (FRC)

Mr Grabowski is the CEO and Executive Director of the FRC. A veteran in the accounting profession, he was the Director of Audit Policy of the Financial Reporting Council of the United Kingdom (UK FRC) whereby he led the development and maintenance of the standards for auditing, assurance and professional ethics for auditors and reporting accountants. Prior to joining the UK FRC in 2010, he was a Partner of an international accounting firm for 20 years, taking up technical, audit and capital markets transaction reporting roles in the UK and overseas.



Mr Sean LAM

Senior Managing Director, FTI Consulting

Mr Sean Lam is a Senior Managing Director in the Forensic and Litigation Consulting practice of FTI Consulting, a global business advisory firm, and is based in Hong Kong.

Sean specialises in forensic accounting, white collar crime, corporate investigation and litigation support. He has significant exposure to conducting complex investigations into allegations of corporate fraud, management misfeasance and accounting irregularities involving Hong Kong and foreign listed entities that have principal business operations in Hong Kong, mainland China and Asia Pacific. In this role, Mr Lam regularly applies commercial, accounting and finance skills in examining historical financial, operational and transactional records, conducting fund tracing analyses and independently establishing the accuracy and completeness of those records. The results of Mr Lam's work are frequently presented to corporate boards, audit committees, legal advisors, and regulatory and enforcement authorities in Hong Kong and abroad. Mr Lam has also been appointed as a testifying accounting expert in legal proceedings in the Hong Kong High Court.

Mr Lam has participated in client engagements in a range of industries including banking and finance, manufacturing, retail, technology, hospitality, nature resources and agri-business. He is a Certified Practising Accountant in Australia, and a member of the Association of Certified Fraud Examiners and Association of Certified Anti-Money Laundering Specialists.

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



Mr Jon WITTS

Head of Enforcement, Listing Division, Hong Kong Exchanges and Clearing Limited (HKEX)

Mr Jon Witts is the Head of Enforcement in the Listing Division of HKEX. Jon has 20 years of experience relating to financial services disputes, investigations and regulatory enforcement matters, including over 11 years as a solicitor in private practice with Allen & Overy, and seven years as Head of Litigation & Legal Investigations, Asia-Pacific for the BNP Paribas group. Jon joined HKEX in 2019 to establish and support the Listing Review Committee, before taking up his current role in Enforcement in 2020. Jon read law at the University of Cambridge, and is qualified as a solicitor in Hong Kong, a solicitor advocate in England & Wales, and a CEDR-accredited mediator.



Mr WONG Chi-kwong

Chief Superintendent of Police (Commercial Crime Bureau), Hong Kong Police Force

Mr Wong Chi-kwong (CK) heads the Commercial Crime Bureau responsible for investigating serious commercial and financial crimes, forgery of monetary instruments, identity documents, payment cards, currencies and coins. CK's police career has a main focus in the work of combating money laundering and terrorist financing. He was on secondment to the Financial Services and the Treasury Bureau (FSTB) between 2008 and 2010 when he helped draw up measures and formulate plans to rectify deficiencies identified in the evaluation report on Hong Kong's anti-money laundering and counter-terrorist financing (AML/CTF) regime by the Financial Action Task Force (FATF).

Between 2016 and 2019, CK led the police team supporting the FSTB in preparing for the fourth round of the FATF evaluation process of Hong Kong in June 2019. Hong Kong was the first jurisdiction in the Asia-Pacific region to achieve an overall compliant result in the evaluation.

CK joined the Police Negotiation Cadre in 1999 and is currently the Deputy Commanding Officer of the Cadre.