



SECURITIES AND FUTURES COMMISSION

證券及期貨事務監察委員會

35/F, Cheung Kong Center, 2 Queen's Road Central, Hong Kong
香港皇后大道中二號長江集團中心三十五樓

SFC Compliance Forum 2018

Date: 21 June 2018

Time: 1:30pm – 4:30pm

Venue: Concord Room, 8/F, Renaissance Harbour View Hotel Hong Kong

Time	Programme	Venue	Speaker
1:30pm – 2:00pm	Registration and beverages		
2:00pm – 2:20pm	Opening remarks	Concord Room	Ms. Julia Leung, <i>Deputy Chief Executive Officer and Executive Director, Intermediaries Division, Securities and Futures Commission</i>
2:20pm – 3:20pm	<p>Plenary panel: The Use of Innovative Technology to Deliver Financial Services – the Promises and Perils</p> <p><i>The SFC's regulatory framework aims to accommodate the development of new technologies which provide more robust and efficient ways to deliver financial services. The panel will discuss the use and the associated risks of innovative technologies such as artificial intelligence, machine learning, blockchain, cloud services and big data.</i></p>	Concord Room	<p>Moderator: Ms. Julia Leung</p> <p>Speakers:</p> <ul style="list-style-type: none"> • Professor Douglas Arner, <i>Kerry Holdings Professor in Law, Faculty of Law, The University of Hong Kong</i> • Mr. Kevin Cheng, <i>Head of Financial Stability Surveillance Division, Hong Kong Monetary Authority</i> • Mr. Simon Holden, <i>Asia Chief Information Officer, Morgan Stanley Asia Limited</i> • Mr. Mark Leung, <i>CEO China, JP Morgan</i>
3:20pm – 3:30pm	Break		
3:30pm – 4:30pm	<p>Breakout session 1: Best Execution, Client Facilitation & Alternative Liquidity Pools (ALPs)</p> <p><i>The SFC recently issued circulars and thematic reports on best execution, client facilitation and ALPs which set out guidance on the standards of conduct and internal controls expected of licensed corporations. Panelists will share views on these subjects.</i></p>	Concord Room	<p>Moderator: Ms. Joanne Li, <i>Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></p> <p>Speakers:</p> <ul style="list-style-type: none"> • Mr. Patrick Lawlor, <i>Chief Operating Officer, Trading and Execution, CLSA Limited</i> • Mr. Stanley Luk, <i>Director, Head of Trading, Asia Pacific, Invesco Hong Kong Limited</i>



			<ul style="list-style-type: none"> • Mr. Andrew Morton, <i>Director, Business Management, Equities, Deutsche Securities Asia Limited</i> • Mr. Dinesh Sadarangani, <i>Head of Asia Pacific Equities Compliance, Merrill Lynch Far East Limited</i>
	<p>Breakout session 2: Sponsor Work</p> <p><i>Following the introduction of the new sponsor regulatory regime, the SFC conducted a thematic inspection to review sponsor work. Panelists will discuss their experiences and the challenges facing sponsors.</i></p>	Oasis Room	<p>Moderator: Mr. Keith Choy, <i>Senior Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></p> <p>Speakers:</p> <ul style="list-style-type: none"> • Mr. Barry Chan, <i>Head of Investment Banking, Hong Kong, China International Capital Corporation Hong Kong Securities Limited</i> • Ms. Bonnie Chan, <i>Partner, Davis Polk & Wardwell LLP</i> • Ms. Yvonne Mok, <i>Director, Intermediaries Supervision Department, Securities and Futures Commission</i> • Mr. Dan Swift, <i>Member of the Listing Committee; Managing Director, Investment Banking Division, Goldman Sachs (Asia) LLC</i>
4:30pm	Forum ends		