



# SFC Regional Securities Regulatory Leadership Symposium

## Speaker biographies

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### Welcoming remarks

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**Mr Tim Lui, GBS, JP**

*Chairman, Securities and Futures Commission, Hong Kong*

Mr Tim Lui was appointed the Chairman of the Securities and Futures Commission (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 1978. 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 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. Currently, he is Chairman of the University Grants Committee and a member of the Public Service Commission. In the past, he was Chairman of the Education Commission, the Committee on Self-financing Post-secondary Education, the Joint Committee on Student Finance, and the Standing Commission on Directorate Salaries and Conditions of Service as well as 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.

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## Keynote address

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**Mr Paul Chan, GBM, GBS, MH, JP**

*Financial Secretary of the Hong Kong Special Administrative Region*

Mr Paul 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 has been Financial Secretary since 2017.



**Dr Fang Xinghai**

*Vice Chairman of China Securities Regulatory Commission (CSRC)*

Dr Fang Xinghai, an ethnic Han, holds a Ph.D. in Economics. He is currently CSRC Vice Chairman and member of the CSRC Party Committee.

Dr Fang served as Director of Group Coordination Office of China Construction Bank and Secretary General of Management Committee of China Galaxy Securities Co., Ltd from August 1998. He was appointed successively Assistant President, Vice President, and Member of the Party Committee of the Shanghai Stock Exchange from July 2001. He became Vice Director-General of Shanghai Municipal Financial Service Office in December 2005. He was appointed as Deputy Party Secretary of Shanghai Financial Committee and Director-General of Shanghai Municipal Financial Service Office in October 2007. In September 2013, Dr Fang went on to serve as Bureau Director, Office of the Central Leading Group for Financial and Economic Affairs.

Dr Fang was appointed CSRC Vice Chairman and member of the CSRC Party Committee in October 2015.

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## Panel 1: Global and regional developments – challenges and opportunities for Asia’s capital markets

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### Moderator

#### **Ms Julia Leung, SBS, JP**

*Chief Executive Officer, Securities and Futures Commission, Hong Kong*

Ms Julia Leung has been Chief Executive Officer of the SFC since 1 January 2023.

Ms Leung joined the SFC in March 2015 as Executive Director of the Investment Products Division. She became Executive Director of the Intermediaries Division in June 2016 and took on the additional capacity of Deputy Chief Executive Officer in March 2018.

In more than 25 years of public service, Ms Leung has extensive experience in financial regulation, market development and international cooperation. 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 served at the Hong Kong Monetary Authority for 14 years, spending the last eight years as the Executive Director responsible for financial cooperation with Mainland and other international regulators.

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

Ms Leung chairs the SFC’s Executive Committee, and sits on the Advisory Committee, Investment Committee, Budget Committee and SFC (HKEC Listing) Committee.

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**Panel 1: Global and regional developments – challenges and opportunities for Asia’s capital markets**

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**Ms Madhabi Puri Buch**

*Chairperson, Securities and Exchange Board of India*

Ms Madhabi Puri Buch assumed office as Chairperson of Securities and Exchange Board of India (SEBI) with effect from 2 March 2022.

Ms Buch has served as Whole Time Member, SEBI from April 2017 till October 2021 during which she handled various departments in SEBI.

Prior to that she had a career in the financial markets and banking sector for about three decades. She served as Consultant to the New Development Bank in Shanghai, Head of the Singapore office of the Private Equity Firm, Greater Pacific Capital, Managing Director and Chief Executive Officer at ICICI Securities Limited and Executive Director, on the Board of ICICI Bank. Ms Buch also served as a non-executive director on the boards of various companies.

Ms Buch holds an M.B.A. from the Indian Institute of Management, Ahmedabad and is a Graduate in Mathematics from St. Stephen’s College, New Delhi.

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## Panel 1: Global and regional developments – challenges and opportunities for Asia’s capital markets

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### **Mr Ugo Bassi**

*Director, Financial Markets, Directorate-General for Financial Stability, Financial Services and Capital Markets Union, European Commission*

Mr Ugo Bassi is Director of Financial Markets at the European Commission’s Directorate-General for Financial Stability, Financial Services and Capital Markets Union since 2012.

Lawyer by profession, Mr Bassi started his career as a ‘référéndaire’ at the European Court of Justice before joining the European Commission. In the last years, he held several management positions and was responsible for various post-crisis measures in the area of financial services and markets, namely Post-trade, Securities, Asset Management, Audit, Accounting, and Credit Rating Agencies. He launched the Capital Markets Union projects including the Sustainable Finance component, and secured the adoption of many legislative proposals in this context. Among the most recent items are the European Single Access Point, the review of the European Long-Term Investment Funds Regulation, the Review of the Alternative Investment Fund Managers Directive, the review of the Markets in Financial Instruments Regulation the Corporate Sustainability Reporting Directive, the proposal on a target review European Market Infrastructure Regulation, the proposal for a Regulation on transparency and integrity of Environmental, Social and Governance rating activities, the proposal for a Listing Act package and the proposal to review the Benchmark Regulation.

Mr Bassi represents the European Commission in the Board of Supervisors of ESMA and in many other high-level fora and events worldwide, thus contributing to the international work of the Commission in the area.

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## Panel 1: Global and regional developments – challenges and opportunities for Asia’s capital markets

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### **Ms Harshika Patel**

*Chief Executive Officer, Asia Private Bank, and Chief Executive Officer, Hong Kong, J.P. Morgan*

Ms Harshika Patel is the Chief Executive Officer of J.P. Morgan Private Bank in Asia and the Chief Executive Officer of J.P. Morgan in Hong Kong. As Chair of J.P. Morgan’s Asia Pacific DEI Council, she also helps to lead the strategy for the firm’s diversity and inclusion initiatives in the region.

Ms Patel is also Chair of the Asia Securities Industry & Financial Markets Association, the leading financial industry association focused on developing regional capital markets.

Prior to leading the Private Bank in the region, Ms Patel served as the Asia Pacific Head of Strategy for J.P. Morgan. In this role, she was responsible for driving and implementing the firm’s strategy across its 17 operating markets in Asia Pacific.

In 2013, Ms Patel joined J.P. Morgan as a Managing Director based in Singapore to lead the Asia Commodities Sales and Structuring business and the Electronic Sales business, delivering electronic trading services across macro products to institutional clients.

Ms Patel has over three decades of experience in financial services. Prior to joining J.P. Morgan, Ms Patel was at Barclays Capital for 10 years where she held a variety of roles including Deputy Treasurer for Barclays Capital, and Global Chief Operating Officer for the Commodities business. She was previously a Senior Manager in the Financial Services Practice at Deloitte London providing assurance and advisory services to global financial institutions.

Ms Patel holds a Bachelor’s degree in Computer Science & Accounting from Manchester University and is an ICAEW qualified Chartered Accountant.

Ms Patel resides in Hong Kong with her husband and two children.

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## Panel 1: Global and regional developments – challenges and opportunities for Asia’s capital markets

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### **Mr Kevin Sneader**

*President, Asia Pacific Ex-Japan, Goldman Sachs*

Mr Kevin Sneader is President of Asia Pacific Ex-Japan (APEJ) of Goldman Sachs. He is a member of the Management Committee, Asia Pacific Management Committee, Firmwide Conduct Committee, Asia Pacific Conduct Committee, Firmwide Reputational Risk Committee and Firmwide Client Franchise Committee. He is also co-chair of the Asia Pacific Inclusion and Diversity Committee. He joined Goldman Sachs in 2021 as a partner.

Prior to joining Goldman Sachs, Mr Sneader served as the 12th global managing partner of McKinsey & Company, based in Hong Kong. He started his career as a business analyst at McKinsey in 1989 in London. He later worked in the Hong Kong office before moving to the United States in 1999 where he became managing partner of the New Jersey, Philadelphia and Washington, DC locations. He went on to become managing partner of the United Kingdom and Ireland practice from 2010 to 2014 and then, the chairman of McKinsey’s Asia offices from 2014 to 2018.

Mr Sneader is a trustee of the Brookings Institution, a former member of the International Advisory Council of the Economic Development Board of Singapore, a global strategic advisor to FCLTGlobal and a former president of BritishAmerican Business.

Mr Sneader earned an LLB with first class honors from Glasgow University and an MBA from Harvard Business School.

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## Panel 2: Landscape for investment funds in Asia

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### Moderator

#### **Ms Ding Chen, MH**

*Chief Executive Officer, CSOP Asset Management Limited, and Vice Chairman, Financial Services Development Council*

Ms Ding Chen joined CSOP Asset Management Limited in 2010 and is currently the Chief Executive Officer, overseeing the overall business of the Manager.

Ms Ding, from 2003 to June 2013, was the Assistant CEO and Managing Director of China Southern Asset Management Co. Ltd., one of the largest fund management companies in China. During her tenure with the company, she issued China's first and largest QDII mutual fund, and successfully established the QDII business of China Southern Asset Management Co. Ltd. She was also a member of the Investment Management Committee of China Southern Asset Management Co. Ltd., where she was responsible for setting investment policies and strategies of the fund, monitoring markets, portfolios and systematic risks, asset allocation and stock selection in addition to reviewing and monitoring portfolio performance of the fund.

Ms Ding also actively participates in community services. She co-founded the Chinese Asset Management Association of Hong Kong with industry peers in 2013 and served as its Chairperson. The association actively promotes positive interaction between Mainland asset management companies and strives to provide a conducive business environment for these companies in Hong Kong. Ms Ding made outstanding contributions to the prosperity of Hong Kong's capital market by actively advising on projects such as the establishment of RQFII scheme, Mutual Recognition of Funds between the Mainland and Hong Kong, inclusion of ETFs in Stock Connect and the Wealth Management Connect Scheme. Ms Ding was the only person from the financial services industry who was awarded the Medal of Honour by the Government of the Hong Kong Special Administrative region in July 2021, in recognition of her contributions to the Hong Kong's financial market over the years.

In 2020, Ms Ding resigned from Chairperson of the Chinese Asset Management Association of Hong Kong and is currently the association's Permanent Honorary Chairperson. She was also appointed as Vice-Chairman of the Hong Kong Financial Services Development Council in January 2023 as well as Convenor of Mainland Opportunities Committee of the Hong Kong Financial





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Services Development Council since 2019. In addition, Ms Ding is now a member of the Hong Kong Mandatory Provident Fund Schemes Appeal Board, and Executive Board Member of the Hong Kong Treasury Markets Association. Prior to that, she has ever served as a member of the SFC's Products Advisory Committee, Process Review Panel for the SFC, Securities and Futures Appeals Tribunal and Financial Infrastructure and Market Development Sub-Committee of the Hong Kong Monetary Authority. She was also Co-Chairman of the International Business Committee of the Asset Management Association of China and Vice Chairperson of the Chinese Securities Association of Hong Kong.

In 2023, Ms Ding was named regional "CEO of the Year" at the I&M Professional Investment Awards, Asia "CEO of the Year in Asia" at the Asia Asset Management Best of the Best Awards, and Hong Kong "Chief Executive of the Year" at the FOW Asia Capital Markets Awards.

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## Panel 2: Landscape for investment funds in Asia

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### **Ms Verena Ross**

*Chair, European Securities and Markets Authority*

Ms Verena Ross is Chair of the European Securities and Markets Authority (ESMA). Taking up the role on 1 November 2021, Ms Ross is responsible for representing ESMA as well as preparing the work of and chairing its Board of Supervisors and Management Board.

Between 2011 and 2021, Ms Ross served as ESMA's first Executive Director, when she was responsible for building up the organisation and overseeing its day-to-day running.

Prior to this, Ms Ross held a number of senior posts in the UK's Financial Services Authority (FSA) and was a member of its Executive Committee. She joined the FSA in 1998 to run the Executive Chairman's office during the regulator's start-up phase and was a seconded advisor to the SFC in 2000. She held various positions in the FSA's Markets Division and was Director of Strategy & Risk Division before becoming Director of the International Division.

Ms Ross is a German national. Following studies in Sinology and Economics in Hamburg, Taipei and London (SOAS), she began her career at the Bank of England in 1994, where she worked as an economist and banking supervisor.

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## Panel 2: Landscape for investment funds in Asia

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### **Mr Toshiyuki Miyoshi**

*Vice Commissioner for International Affairs, Financial Services Agency, Japan*

Mr Miyoshi Toshiyuki was appointed Vice Commissioner for International Affairs of the Financial Services Agency (FSA), Japan's financial regulatory body, on 4 July 2023. He currently heads the FSA's international affairs group and represents the FSA at working-level meetings of the G20 and G7. He is also the FSA's alternate member of the Standing Committee on Supervisory and Regulatory Cooperation (SRC) of the Financial Stability Board (FSB).

Prior to the current position, Mr Miyoshi was Deputy Director-General of the Supervision Bureau from June 2022 to July 2023 and worked on supervision of Japan's major banks and insurance companies, and branches and subsidiaries of foreign banks and insurance companies in Japan. He was Deputy Commissioner for International Affairs from July 2020 to June 2022 and supported the then Commissioner (head) of the FSA, who chaired SRC, in the FSB's discussions on its holistic review of the market turmoil in March 2020 and its work on NBFIs (non-bank financial intermediation).

Before moving to the FSA, Mr Miyoshi was division director at Japan's Ministry of Finance (MOF) from July 2014 to July 2020. He played a central role in developing the G20 Principles for Quality Infrastructure Investment and the debt sustainability agenda under Japan's G20 Presidency in 2019. From June 2016 to July 2018, Mr Miyoshi was responsible for organising the MOF's work on G20, G7 and IMF issues. From July 2014 to June 2016, he was division director at the MOF's Financial (Treasury) Bureau responsible for developing debt management policy and auctioning Japanese government bonds. Mr Miyoshi was also a member of the steering group of the OECD's Working Party on Public Debt Management from 2016 to 2018.

From 2010 to 2014, Mr Miyoshi was senior economist at the IMF's Strategy, Policy, and Review Department. He led a staff team for a Board paper on "Stocktaking the Fund's Engagement with Regional Financing Arrangements" (2013), which provided a landscape of regional financing arrangements (RFAs) and put forward broad options on how to enhance cooperation between the IMF and RFAs.

From 2009 to 2010, Mr Miyoshi headed an office for developing policies for cross-sectional prudential issues at the FSA. From 2007 to 2009, Mr Miyoshi headed the office for public relations and also advised the then Commissioner of the FSA at international meetings in the midst of the

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global financial crisis. He also represented the FSA at the Basel Committee on Banking Supervision from 2006 to 2007.

From 2002 to 2006, Mr Miyoshi was senior advisor to the Executive Director for Japan at the IMF.

A Japanese national, Mr Miyoshi got Bachelor's degree in public law at the University of Tokyo and Master of Philosophy in Politics at the University of Oxford.

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## Panel 2: Landscape for investment funds in Asia

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### **Mr Brian Dillard**

*Partner, Head of Asia Credit, KKR*

Mr Brian Dillard joined KKR in 2006 and is a Partner and Head of Asia Credit. Prior to moving to Asia in 2018, Mr Dillard was a portfolio manager for KKR's Special Situations funds and portfolios in New York. Before joining the Special Situations team, Mr Dillard was a member of KKR's Private Equity Team and has been involved with several investments, including KKR's investment in Oriental Brewery. In 2008 and 2009, he worked in Hong Kong assisting in the development of KKR's Asian operations.

Prior to joining KKR, Mr Dillard was at Morgan Stanley & Co. in its mergers and acquisitions investment banking group, where he was involved in a number of mergers, acquisitions and financing transactions.

Mr Dillard graduated from Harvard College and received an M.B.A. from Harvard Business School.



### **Ms Elisa Ng**

*Chairman, Hong Kong Investment Funds Association*

Ms Elisa Ng is Managing Director, CEO of AM Hong Kong, as well as Head of Hong Kong Funds and Institutional Business for J.P. Morgan Asset Management. In her role, Ms Ng oversees the overall asset management business in Hong Kong and leads the strategic development of client businesses across direct clients, financial intermediaries and institutions in the region.

Ms Ng is a member of the firm's Asset Management Asia Operating Committee. She has been serving as Executive Committee member of the Hong Kong Investment Funds Association (HKIFA) since September 2017, and appointed as Chairperson in September 2023, working in close partnership with industry peers and regulatory bodies to develop the fund management industry in Hong Kong.

An employee since 2006, Ms Ng began as a client advisor with the Hong Kong retail sales team. She took responsibility of the Hong Kong intermediary business in 2015 and was later appointed as the Head of Hong Kong and China Funds business in 2017. Prior to joining J.P. Morgan, Ms Ng was a Market Risk Manager at the Royal Bank of Scotland.

Ms Ng holds a Master of Business Administration degree from Imperial College, University of London and a Bachelor of Engineering (Information Engineering) degree from The Chinese University of Hong Kong.

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### Panel 3: Role of regulation in advancing sustainable finance

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#### **Moderator**

##### **Mr Eddie Yue, JP**

*Chief Executive, Hong Kong Monetary Authority*

Mr Eddie Yue was appointed Chief Executive of the Hong Kong Monetary Authority (HKMA) from 1 October 2019. He began his career as an Administrative Officer in the Hong Kong Government in 1986. He joined the HKMA upon its establishment in 1993 and was promoted to Division Head a year later. He was appointed Executive Director in 2001 and subsequently Deputy Chief Executive in 2007 before taking up his current position.

Mr Yue has participated in numerous areas of the HKMA's work. During his tenure as Deputy Chief Executive, he steered major policies and initiatives relating to reserves management, research, external affairs and market development. Mr Yue was also actively involved in tackling major financial crises and played an instrumental role in enhancing the Linked Exchange Rate System.

Mr Yue was educated at The Chinese University of Hong Kong and the Harvard Business School.

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### Panel 3: Role of regulation in advancing sustainable finance

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**Mr Jean-Paul Servais**

*Chair, IOSCO Board, and Chairman, Financial Services and Markets Authority, Belgium*

Since October 2022, Mr Jean-Paul Servais is the Chairman of the Board of the International Organization of Securities Commissions (IOSCO). IOSCO is the membership organization composed of the world's financial markets regulators involved in the supervision of 95 % of the financial sector at the international level. He is also the Chairman of the IOSCO European Regional Committee

Mr Servais is the first Belgian to be elected Chairman of IOSCO. His election was partly in recognition of his efforts and the quality of his work during the six years in which he was already vice-chairman of IOSCO. As IOSCO Chairman, he helped bring about major international breakthroughs in the regulation of crypto currencies and in introducing reporting standards on sustainability.

Between 2017 and 2023, Mr Servais chaired the IFRS Foundation Monitoring Board, which consists of global financial regulators and provides oversight to the IFRS Foundation. In parallel, he was the co-chair of the Monitoring Group in 2021-2023, a group of international financial institutions and regulatory bodies committed to advancing the public interest in areas related to international audit standard setting and audit quality. Within IOSCO, Mr Servais also led the SPAC network, which successfully delivered a final report in May 2023.

Besides his international responsibilities, Mr Servais is the Chairman of the Belgian Financial Services and Markets Authority (FSMA). In this capacity, he is a board member of other international supervisory bodies for the financial sector such as the European Securities and Markets Authority, and the European Systemic Risk Board. Besides, he sits on a number of supervisory colleges that coordinate cross-border supervision of financial institutions and infrastructures.

Through these experiences Mr Servais has accrued a unique blend of supervisory expertise and regulatory acumen in the field of international financial services. He is known for his commitment towards investor protection. Beyond his thorough understanding on the functioning of traditional financial services and markets, Mr Servais is an engaged and influential figure on sustainable finance and digital regulatory agendas.

Also based on his experiences as a supervisor and from his passion for education, Mr Servais had become imbued with the importance of financial education. He therefore

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requested and obtained from the Belgian legislator the power for the FSMA to contribute to the financial education of the population. Under his impetus, the FSMA launched in 2013 the now very successful Wikifin financial education programme. And in 2020, the Wikifin Lab opened in Brussels. This unique centre for financial education has since welcomed thousands of Belgian students and has become a reference at the international level.

Mr Servais teaches at the Université Libre de Bruxelles (ULB, University of Brussels), where he is a part-time professor in International Business Law and in the specialised Master in Tax Law. He is an author or a co-author of more than 500 contributions, mostly engaging on European and international systems of financial supervision and regulatory issues.

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### Panel 3: Role of regulation in advancing sustainable finance

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**Dr Awang Adek Hussin**

*Chairman, Securities Commission, Malaysia*

Dr Awang Adek Hussin was appointed Executive Chairman of the Securities Commission Malaysia (SC) on 1 June 2022.

Dr Awang Adek currently chairs the Capital Market Development Fund and is also the Chairman of the Board of Governors of Universiti Sains Malaysia. He is also a member of the Financial Stability Executive Committee of the Central Bank Malaysia and Chairman of the Securities Industry Development Corporation.

Prior to his appointment as Chairman of the SC, Dr Awang Adek served as Malaysia's Ambassador to the United States of America from 2014 to 2016.

Dr Awang Adek has wide experience in economics and finance, having spent over 30 years in government and public service. He served as Deputy Minister of Finance from 2006 to 2013.

Prior to that he served in the Central Bank Malaysia for 17 years from 1985 until 2001, holding several positions including the role of Assistant Governor. He had also served on the boards of directors of several financial institutions and organisations including the SC, the first Director General of the Labuan Financial Services Authority, Permodalan Nasional Berhad, Chairman of Tenaga Nasional Berhad, and Chairman of Perbadanan Nasional Berhad.

Dr Awang Adek received his Bachelor's degree in Mathematics and Economics from Drew University, and his Master's and Doctor of Philosophy (PhD) in Economics from the University of Pennsylvania.

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### Panel 3: Role of regulation in advancing sustainable finance

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**Mr Joseph Longo**

*Chair, Australian Securities and Investments Commission, Australia*

Mr Joseph Longo commenced as Chair of the Australian Securities and Investments Commission (ASIC) on 1 June 2021. He has over 38 years' experience in corporate laws, financial services and regulation in Australia and overseas.

Before his appointment as ASIC Chair, Mr Longo was a senior adviser at law firm Herbert Smith Freehills, specialising in regulatory matters, enforcement and commercial laws. Prior to that he was general counsel for Deutsche Bank in London and Hong Kong for 17 years, advising on a range of regulatory issues, governance and non-financial risks. He was also the national director of enforcement at ASIC for five years, responsible for the coordination and direction of all ASIC's enforcement and litigation activities.

Mr Longo holds a Bachelor of Jurisprudence (Hons) and a Bachelor of Laws (Hons) from the University of Western Australia and a Master of Laws from Yale Law School.

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### Panel 3: Role of regulation in advancing sustainable finance

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**Ms Emily Woodland**

*APAC Head of Sustainable and Transition Solutions,  
BlackRock*

Ms Emily Woodland is BlackRock's APAC Head of Sustainable and Transition Solutions (STS).

STS is BlackRock's central sustainability function that leads its firmwide sustainability and transition strategy, drives cross-functional change, supports client engagements, improves product ideation, and embeds sustainability expertise across the firm.

Ms Woodland previously served as the Head of Sustainable Investment for Global Public Markets at AMP Capital, and prior to that as Investment Advisor for Asia Debt Management's private credit sustainable investment programs in South East Asia.

Ms Woodland's expertise in sustainability is grounded in over 16 years of APAC investment management experience with UBS, across asset classes and investment styles. She began her career in equity and convertible bond trading for UBS Investment Bank, then served as a portfolio manager with the firm's Fundamental Investment Group, and later as a portfolio manager in the long/short multi-strategy hedge fund team within UBS Asset Management.

Ms Woodland holds a Bachelor's Degree in Financial & Business Economics from the University of Newcastle-upon-Tyne, a Masters Degree in Corporate Environmental Governance from The University of Hong Kong, and is a CFA Charter holder.

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## Panel 4: Intersection of Fintech and AI in wealth management

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### Moderator

#### **Ms Bénédicte Nolens**

*Head of the BIS Innovation Hub Hong Kong Centre, Bank for International Settlements*

Ms Bénédicte Nolens is Head of the BIS Innovation Hub, Hong Kong Centre. Prior to this appointment, she was a managing director at SC Ventures, the innovation arm of Standard Chartered Bank that leads a series of new ventures across digital banking, banking as a service, SME finance and blockchain.

From 2018-2019, she was Vice President of International Government Relations at Circle, involved in the evolution of blockchain and digital assets. From 2012-2018, she was the Head of Risk and Strategy of the SFC, and in that capacity also acting as Vice Chair of the Committee on Emerging Risks and the Fintech research lead for the International Organization of Securities Commissions (IOSCO). From 2007-2012, she was a managing director at Credit Suisse and before that from 1997-2007 she was an associate and executive director at Goldman Sachs.

Originally from Belgium, Ms Nolens holds LL.M. and M.B.A. degrees from the University of Chicago and the University of Leuven. She is admitted to the New York Bar since 1999. In 2016, she was a recipient of the China Daily Asian Women Leadership Awards for her efforts related to entrepreneurship, innovation and charity.

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#### Panel 4: Intersection of Fintech and AI in wealth management

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**Dr Pornanong Budsaratragoon**

*Secretary-General, Securities and Exchange Commission, Thailand*

Dr Pornanong Budsaratragoon is a distinguished professional with a robust academic background and extensive academic and regulatory experience. She holds a BBA in quantitative analysis from Chulalongkorn University, Thailand, an MBA in management of information systems from the University of Dallas, the United States, and a DBA in finance from Chulalongkorn University, Thailand.

Dr Pornanong's tenure at the Securities and Exchange Commission, Thailand showcases her leadership, serving as the board member of the capital market supervisory board, chair of the sub-committee on consideration of regulations on issuance and offering of debt securities, derivatives, and structured products, chair of the sub-committee on consideration of regulations on supervision of business and market intermediaries, and member of the sub-committee on consideration of regulations on asset management.

Prior to her current role, Dr Pornanong held the position of a full-time professor at the Chulalongkorn University. In addition to heading the banking and finance department, she chaired the committee of the Master of Science program in corporate governance, faculty of commerce and accountancy. Her academic prowess is evident through the publication of numerous textbooks and research studies.

Dr Pornanong's influence also extends to key institutions such as the Agricultural Futures Exchange of Thailand, the Stock Exchange of Thailand, the Institute Council Thai-Nichi Institute of Technology, the Office of the Higher Education Commission, and the National Savings Fund. Her multifaceted contributions underscore her integral role in shaping Thailand's academic and economic landscapes.

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#### Panel 4: Intersection of Fintech and AI in wealth management

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**Mr Lim Tuang Lee**

*Assistant Managing Director, Head (Capital Markets Group)  
Monetary Authority of Singapore*

Mr Lim Tuang Lee is Assistant Managing Director of the Capital Markets Group of the Monetary Authority of Singapore (MAS), overseeing the regulation and supervision of capital markets. The group is responsible for the licensing and supervision of exchanges, clearing houses and capital markets intermediaries including financial advisers.

Prior to this appointment, Mr Lim was the Assistant Managing Director for the Organisation and People Development Group. Mr Lim has also served in various functions, including banking supervision, prudential policy formulation, monetary policy implementation, risk management, as well as strategic planning.

Mr Lim represents MAS at various international committees, including the International Organisation of Securities Commissions (IOSCO). He currently chairs the IOSCO FinTech Task Force, which among others, looks into issues related to crypto-assets, decentralised finance and RegTech/SupTech.

Mr Lim has a Bachelor of Accountancy (First Class Honours) from the Nanyang Technological University and a Master degree in Finance (with specialisation in Risk Management and Financial Engineering) from the Université de Lausanne, Switzerland. Mr Lim was awarded the Public Administration Medal (Silver) in 2017.

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#### Panel 4: Intersection of Fintech and AI in wealth management

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**Mrs Amy Lo**

*Chairman, Executive Committee, Private Wealth Management Association*

Mrs Amy Lo is Chairman, Global Wealth Management Asia, Co-Head of Wealth Management Asia Pacific, Head and Chief Executive of UBS Hong Kong, and also Managing Director at UBS.

Actively involved in the development of the private banking industry in Hong Kong, Mrs Lo chairs the Executive Committee of the Hong Kong Private Wealth Management Association which has a mission of fostering the growth and development of the private wealth management industry in Hong Kong.

In addition, Mrs Lo is a Board Member of the Hong Kong Financial Services Development Council and the Hong Kong Academy for Wealth Legacy, a member of the Banking Industry Training Advisory Committee of the Hong Kong Education Bureau, a member of the Financial Infrastructure and Market Development Sub-Committee under the Exchange Fund Advisory Committee of the Hong Kong Monetary Authority, and an advisor of Our Hong Kong Foundation.

Mrs Lo has over 30 years of experience in the private banking industry. Since joining UBS in 1995, she has held a number of senior management positions including Regional Head of UHNW and Global Family Office in Asia. Today, the UHNW business is the leading wealth manager for UHNW individuals in the region.

A passionate supporter of youth education and technological innovation in Greater China, Mrs Lo is a member of The Court and the MBA Advisory Board at The University of Hong Kong, and a member of the Advisory Committee of the Department of Social Work at The Chinese University of Hong Kong. She is also a Board Member of the UBS Optimus Foundation, the independent grant-making foundation that helps UBS clients improve the education and welfare of children globally.

In recognition of her contribution to the wealth management industry, Mrs Lo was named Private Banker of the Year in the Asian Private Banker Awards for Distinction 2020 and 2023. She also received the Executive Award at the DHL/SCMP Business Awards 2018 for her efforts in building UBS as a corporate citizen in Hong Kong. She was also named by a top-tier Chinese media, China Business News, as one of the “Hong Kong Top 20 in the next 20 years” for her contribution to innovation developments in 2017.

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#### Panel 4: Intersection of Fintech and AI in wealth management

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**Ms Catherine Zhou**

*Global Chief Information Officer, Wealth and Personal Banking, HSBC*

Ms Catherine Zhou is the Global Chief Information Officer for Wealth and Personal Banking (WPB) of HSBC, responsible for leading the design, build-up and delivery of world-class technology, digital products and services – at speed – for customers and HSBC across WPB’s global markets.

Serving more than 38 million customers in 44 cities across 18 countries and territories, WPB Technology is focused on the delivery of sustainable customer experience and operational efficiency solutions that balance cost, risk and regulatory demands, and on developing capabilities that support HSBC’s key propositions across wealth, insurance, private banking and retail products. A key component of the technological transformation is the pivot to digital and the delivery of a global standardised digital platform.

Based in London at HSBC’s global headquarters in Canary Wharf, Ms Zhou has a proven track record of delivering technology solutions at global scale. In her previous role as the Group Head of Ventures, Digital Partnerships & Innovation at HSBC, Ms Zhou was responsible for leading the bank-wide approach of modernising its capability to drive growth through new and innovative customer facing propositions, and in uncovering alternative business models to drive new growth opportunities.

Prior to joining HSBC, Ms Zhou ran the Consumer Bank for East West Bank and led the efforts to build an entirely new stack of digital capabilities from the ground up, leading the build of a pioneering cross-border straight through digital onboarding capability which became the bank’s new organic growth engine. In her earlier career, she held senior leadership roles in global consulting firms.

Accenture, PwC, Ernst & Young working with Media, Technology and Retail clients from front office to back office.

Ms Zhou holds an MBA from the Carnegie Mellon University, Master of Engineering and Bachelor of Engineering from the University of Science and Technology Beijing.

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## Closing remarks

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**Ms Julia Leung, SBS, JP**

*Chief Executive Officer, Securities and Futures Commission,  
Hong Kong*

See Page 3 for Ms Leung's biography.