

## SFC Compliance Forum 2020 Managing Risks and Opportunities in the Capital Market beyond 2020

**Date:** 30 October 2020  
**Time:** 9:00am – 3:35pm  
**Venue:** Virtual conference

| Time                            | Program  | Speaker   |
|---------------------------------|--|---|
| 9:00am – 9:15am<br>(15 mins)    | <b>Opening remarks</b>   | Mr. Ashley Alder, <i>Chief Executive Officer, Securities and Futures Commission</i>   |
| 9:15 am – 10:00 am<br>(45 mins) | <p><b>Plenary panel:</b><br/><b>Managing financial markets in the best of times and the worst of times</b></p> <ul style="list-style-type: none"> <li>How financial institutions in Hong Kong cope with market volatilities arising from Covid 19 and Sino-US tensions</li> <li>Challenges and opportunities for Hong Kong's securities industry</li> </ul>  | <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. Carsten Stoehr, <i>Chief Executive Officer of Greater China, Credit Suisse</i></li> <li>Mr. Wilfred Yiu, <i>Head of Markets, Hong Kong Exchanges and Clearing Limited</i></li> </ul>                                |
| 10:00am – 10:10am<br>(10 mins)  | Break  |   |
| 10:10am – 11:10am<br>(60 mins)  | <p><b>Session 1:</b><br/><b>Managing liquidity, prudential and market risks in a complex, cross-border environment</b><br/><b>[conducted in Mandarin]</b></p> <ul style="list-style-type: none"> <li>Regulatory concerns regarding the liquidity risk management of open-ended funds</li> <li>Lessons drawn from the sharp drop in crude oil futures prices amid Covid 19</li> <li>Margining policy</li> </ul> | <p><b>Moderator:</b> Mr. Leo Lam, <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>Mr. Alex Lai, <i>Executive Director and Chief Risk Officer of Guotai Junan International Holdings Limited</i></li> <li>Ms. Ding Chen, <i>Chief Executive Officer of CSOP Asset Management Limited</i></li> <li>Ms. Juliana Wang, <i>Chief Operating Officer of Huatai Financial Holdings (Hong Kong) Limited</i></li> </ul> |
| 11:10am – 11:20am<br>(10 mins)  | Break  |   |

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| <p>11:20am – 12:20pm<br/>(60 mins)</p> | <p><b>Session 2:</b><br/><b>Sustainable finance: risks, opportunities, and regulation for asset managers</b></p> <ul style="list-style-type: none"> <li>• <i>What are the risks and opportunities arise from climate change or sustainability?</i></li> <li>• <i>How to integrate climate risk into existing asset management processes?</i></li> <li>• <i>How to prevent greenwashing?</i></li> </ul>   | <p><b>Moderator:</b> Ms. Linda Yiu, <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>• Mr. James Robertson, <i>Head of Asia (ex-China &amp; Japan), Signatory Relations, PRI</i></li> <li>• Mr. Gabriel Wilson Otto, <i>Global Head of Sustainability Research, BNP Paribas Asset Management</i></li> <li>• Ms. Alexandra Yeong, <i>Senior Director, Investment Products Division, Securities and Futures Commission</i></li> </ul>   |
| <p>12:20pm – 12:30pm<br/>(10 mins)</p> | <p>Break</p>   |  |
| <p>12:30pm – 12:35pm<br/>(5 mins)</p>  | <p><b>Message from Mr. Brian Ho, Executive Director, Corporate Finance Division, Securities and Futures Commission</b></p>   |  |
| <p>12:35pm – 1:35pm<br/>(60 mins)</p>  | <p><b>Session 3:</b><br/><b>Risks and opportunities for capital markets</b></p> <ul style="list-style-type: none"> <li>• <i>Capital markets landscape in Hong Kong</i></li> <li>• <i>Regulatory issues noted in the bookbuilding process of Equity Capital Markets (“ECM”) and Debt Capital Markets (“DCM”)</i></li> <li>• <i>How the industry practitioners could manage the risks and take advantage of the opportunities under the regulatory regime</i></li> </ul> | <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. Barry Chan, <i>Managing Director, Head of Investment Banking, China International Capital Corporation Limited</i></li> <li>• Mr. Julian Trott, <i>Managing Director, Head of Syndicate for Debt Capital Markets, Asia Pacific Ex-Japan, Goldman Sachs (Hong Kong)</i></li> <li>• Mr. Michael Dennis, <i>Managing Director, Head of Alternatives Strategy &amp; Capital Markets, Asia Pacific, Blackrock</i></li> <li>• Ms. Yvonne Mok, <i>Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></li> <li>• Ms. Joanne Li, <i>Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></li> </ul> |
| <p>1:35pm – 1:45pm<br/>(10 mins)</p>   | <p>Break</p>   |  |
| <p>1:45pm – 1:50pm<br/>(5 mins)</p>    | <p><b>Message from Mr. Thomas Atkinson, Executive Director, Enforcement Division, Securities and Futures Commission</b></p>  |  |

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| <p>1:50pm – 2:40pm<br/>(50 mins)</p> | <p><b>Session 4:<br/>Family offices and private wealth management</b></p> <ul style="list-style-type: none"> <li>• <i>Why family offices will become a key driving force of our financial services industry?</i></li> <li>• <i>What is Hong Kong's current competitive position in the eyes of family office operators?</i></li> <li>• <i>What will be Hong Kong's strategies for capturing this opportunity?</i></li> </ul>  | <p><b>Moderator:</b> Mr. Wilson Lo, <i>Senior Director, Licensing Department, Intermediaries Division, Securities and Futures Commission</i></p> <p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• Ms. Florence Kui, <i>Managing Director, Consumer and Investment Management, Goldman Sachs (Asia) L.L.C.</i></li> <li>• Dr. King Au, <i>Executive Director of Financial Services Development Council</i></li> <li>• Mr. Rex Ho, <i>Asia Pacific Financial Services Tax Leader, PwC Hong Kong</i></li> <li>• Ms. Grace Yeung, <i>Senior Manager, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></li> </ul> |
| <p>2:40pm – 2:50pm<br/>(10 mins)</p> | <p>Break</p>  |   |
| <p>2:50pm – 3:35pm<br/>(45 mins)</p> | <p><b>Session 5:<br/>Anti-Money Laundering and Counter-Financing of Terrorism<br/>[conducted in Cantonese]</b></p> <ul style="list-style-type: none"> <li>• <i>Key challenges faced by industry practitioners and sharing of practical tips and use of automated tools in running AML/CFT compliance program</i></li> <li>• <i>What are the new trends in financial crimes during the Covid 19</i></li> <li>• <i>Impacts on the compliance approaches of financial institutions arising from unilateral sanctions and disclosure obligations about property related to a wider scope of offences</i></li> <li>• <i>The application of a risk-based approach to AML/CFT measures as required by FATF standards and the SFC's guidelines</i></li> </ul> | <p><b>Moderator:</b> Mr. Raymond 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. Carmen Leung, <i>Superintendent, Head of JFIU</i></li> <li>• Mr. Cyril Mak, <i>Deputy General Manager of Financial Crime, BOCHK</i></li> <li>• Mr. Edgar Ma, <i>Anti-Money Laundering Compliance Officer of Hong Kong and Macau, Citibank</i></li> <li>• Ms. Adelaide Yeung, <i>Partner, Deloitte Touche Tohmatsu</i></li> </ul>   |
| <p>3:35pm</p>                        | <p>Forum ends</p>   |   |