



## SFC Compliance Forum 2019

**Date:** 17 June 2019  
**Time:** 9:30am-12:20pm (Registration starts at 9:00am)  
**Venue:** Hong Kong Convention and Exhibition Centre (Meeting Room S221, S222 & 223)  
**Language:** Cantonese

Time	Programme	Venue	Speakers
9:00am-9:30am	Registration		
9:30am-9:50am	<b>Opening remarks</b>	S221	Ms. Julia Leung, <i>Deputy Chief Executive Officer and Executive Director, Intermediaries Division, Securities and Futures Commission</i>
9:50am-10:50am	<b>Plenary panel: Digital Journey of Client Onboarding; Act on Red-flags of Improper Client Activities</b> <ul style="list-style-type: none"><li>• <i>Challenges of client onboarding</i></li><li>• <i>Dealing with “red-flags” such as third-party deposits and payments, and effective monitoring systems</i></li></ul>	S221	<b>Moderator:</b> Ms. Julia Leung, <i>Deputy Chief Executive Officer and Executive Director, Intermediaries Division, Securities and Futures Commission</i> <b>Speakers:</b> <ul style="list-style-type: none"><li>• Ms. Clara Chan, <i>Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></li><li>• Ms. Joyce Pang, <i>Associate Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></li><li>• Mr. Jonathan Ng, <i>Global Head of Anti-Money Laundering and Financial Crime Compliance, Bank of China International Holdings Limited</i></li><li>• Mr. Daniel Chan, <i>Managing Director in Business Management, Haitong International Securities Company Limited</i></li><li>• Mr. Hokee Fu, <i>Partner, Financial Services Risk &amp; Regulation Practice, PwC Hong Kong</i></li></ul>
10:50am-11:20am	Break		
11:20am-12:20pm	<b>Breakout session 1: Vaccines of Client Protection – Internal Controls and Supervision of Account Executives</b> <ul style="list-style-type: none"><li>• <i>Regulatory concerns identified from the SFC’s recent thematic review of brokers’ internal controls</i></li></ul>	S221	<b>Moderator:</b> Ms. Clara Chan, <i>Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i> <b>Speakers:</b> <ul style="list-style-type: none"><li>• Ms. Scarlett Lee, <i>Senior Manager, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></li></ul>

	<p><i>for protection of client assets and supervision of account executives</i></p> <ul style="list-style-type: none"> <li>• <i>Challenges faced by brokers</i></li> <li>• <i>Sharing of good practices identified from the thematic review and a checklist for conducting self-assessment</i></li> </ul>		<ul style="list-style-type: none"> <li>• Mr. Gary Cheung, <i>Chairman of Hong Kong Securities Association Limited and CEO, CSL Securities Limited</i></li> <li>• Ms. Susan Mak, <i>General Manager, Chow Sang Sang Securities Limited</i></li> <li>• Mr. Ted Ho, <i>Partner, Financial Services, Deloitte Touche Tohmatsu</i></li> </ul>
	<p><b>Breakout session 2: Securities Margin Financing</b></p> <ul style="list-style-type: none"> <li>• <i>Trends of margin loan quality and risk management practices</i></li> <li>• <i>New Guidelines for Securities Margin Financing Activities</i></li> </ul>	<p>S222 &amp; 223</p>	<p><b>Speakers:</b></p> <ul style="list-style-type: none"> <li>• Mr. Leo Lam, <i>Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></li> <li>• Ms. Emily Wong, <i>Associate Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></li> </ul>
<p>12:20pm</p>	<p>Forum ends</p>		