

SFC Compliance Forum 2019

Date: 17 June 2019
Time: 2:00pm-4:40pm (Registration starts at 1:30pm)
Venue: Hong Kong Convention and Exhibition Centre (Meeting Room S221, S222 & 223)
Language: English

Time	Programme	Venue	Speaker
1:30pm-2:00pm	Registration		
2:00pm-2:10pm	Opening remarks	S221	Ms. Julia Leung, <i>Deputy Chief Executive Officer and Executive Director, Intermediaries Division, Securities and Futures Commission</i>
2:10pm-3:10pm	Plenary panel: Governance Framework as a Driving Force for a Culture of Accountability and Behavioural Change	S221	<p>Moderator: Ms. Julia Leung, <i>Deputy Chief Executive Officer and Executive Director, Intermediaries Division, Securities and Futures Commission</i></p> <p>Speakers:</p> <ul style="list-style-type: none"> • Mr. Wilson Lo, <i>Senior Director, Licensing Department, Intermediaries Division, Securities and Futures Commission</i> • Mr. Peter Li, <i>Partner, Financial Services Assurance and Banking & Capital Markets Leader, PwC Hong Kong</i> • Mr. Hugo Leung, <i>CEO, BNP Paribas Securities (Asia) Limited</i> • Mr. Jonathan Phillips, <i>Head of Asia Pacific Compliance & Operational Risk and Chief Compliance Officer, Merrill Lynch (Asia Pacific) Limited</i>
3:10pm-3:40pm	Break		
3:40pm-4:40pm	Breakout session 1: Gearing Up for Distribution of Investment Products in an Evolving World	S221	<p>Moderator: Ms. Linda Yiu, <i>Director, Intermediaries Supervision Department, Intermediaries Division, Securities and Futures Commission</i></p> <p>Speakers:</p> <ul style="list-style-type: none"> • Ms. Lisa Chen, <i>Senior Director, Enforcement Department, Securities and Futures Commission</i> • Mr. Justin Chan, <i>Co-Head of Markets Asia Pacific, HSBC Securities Brokers (Asia) Limited</i> • Ms. Florence Kui, <i>Managing Director, Private Wealth Management, Goldman</i>

			<p><i>Sachs (Asia) L.L.C.</i></p> <ul style="list-style-type: none"> Mr. Chris Tse, <i>Vice Chairman, Institute of Financial Planners of Hong Kong</i>
	<p>Breakout session 2: Regulatory Obligation and Risk Management Function of Prime Brokerage in Hong Kong as Asia's Hub</p>	<p>S222 & 223</p>	<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. Matthew Buck, <i>COO, BFAM Partners (Hong Kong) Limited</i> Mr. Kenneth Hon, <i>Head of Prime Products and Trading, Asia Pacific, Credit Suisse (Hong Kong) Limited</i> Mr. Simon Walker, <i>Head of Institutional Counterparty Risk, Morgan Stanley Asia Limited</i> Ms. Aveline San, <i>Chair of Compliance Committee, ASIFMA</i>
4:40pm	Forum ends		