

FinanceAsia

FA

6th Compliance Summit Asia

Building a more robust organisation

8 November 2017 • The Ritz-Carlton, Hong Kong

Lead Sponsor



Associate Sponsors



Knowledge Partners



Exhibitors



Summit Partners



Education Partner



www.compliancesummit.asia

Agenda

08:00 Registration

09:00 Opening welcome

Daniel Flatt, *Editorial Director*, **FinanceAsia**

09:10 Welcome address

Duncan Fitzgerald, *Partner, Risk Assurance Practice*, **PwC**

REGULATION AND ENFORCEMENT

09:30 Morning keynote

Regulatory updates from the Head of Legal of the Privacy Commissioner for Personal Data, Hong Kong, focusing on:

- The privacy implications of emerging technologies like big data, AI and Fintech
- The recent regulatory development in the EU which may well have an impact on Hong Kong
- The regulator's expectation from the region's senior corporate and financial executives

Brenda Kwok, Chief Legal Counsel, **Office of the Privacy Commissioner for Personal Data, Hong Kong**

09:50 Panel discussion:

Regulatory compliance – ever changing, ever granular

Changes in international regulation and the impact on organisations as the region evolves and new regulations take shape. This morning's opening panel will look at potential changes in the global regulatory landscape, with an update on regulatory action from around the region.

- International regulatory changes; global and regional impacts
- Regulations affecting how we operate – UK Anti-bribery act, FCPA etc.
- The emerging world of RegTech – improving corporate compliance and harmonising regulation across multiple jurisdictions

Moderator

Daniel Flatt, *Editorial Director*, **FinanceAsia**

Panelists

Jim Lord, *Shareholder*, **Glade, Voogt, Lord & Smith PC**

Alex Duperouzel, *Managing Director*, **ComplianceAsia**

John Macpherson, *Senior Partner*, **Control Risks**

10:50 Networking coffee break

MANAGING CYBER RISKS

11:20 Panel Discussion:

Cyber risk – external attacks and internal threats

How can organisations of all sizes and global reach assess the level of cyber risk they face, especially when taking into account budget guidelines?

- Managing data security risk and minimizing the damage that results from it
- Data protection measures for your company
- Managing large volumes of data and information
- Using data analytics to proactively identify and forecast potential fraud

Moderator

Ray Chan, Senior Correspondent, **FinanceAsia**

Panelists

Micky Lo, *Chief Technology Risk Officer APAC*, **BNY Mellon**

Gabriel Chan, *Head of Information Security, Greater China*, **ABN AMRO Bank N.V.**

David Nagrosst, **Cyber Security Leader**

Agenda

- 12:10 Client Case:**
Mitigating Compliance Risk through Analytics
Moderator
Eric Young, *Partner, Forensic Services Practice, PwC*
Client Panelist
Samuel Lung, *Chief Operating Officer, Commerzbank AG Hong Kong*
- 12:45 Networking lunch**
- 14:00 Panel discussion:**
RegTech solutions for KYC, AML, conduct risk, and more
Understanding the emerging world of RegTech and how to leverage these solutions to meet your compliance obligations
- Where can RegTech solutions offer the most value for your business?
 - How to get buy-in from all levels to implement emerging RegTech solutions
- Moderator**
Ann Shi, *Senior Reporter, FinanceAsia*
- Panelists**
Mary Wong, *Partner, Financial Crime Advisory Practice, PwC*
Jenny Fung, *Chief Compliance Officer, Greater China, ABN AMRO Bank N.V.*
Brian Tang, *Managing Director, ACMI and Co-Chair of the RegTech Committee of the HK Fintech Association*
Paul Costers, *Country Manager Hong Kong, Bureau van Dijk, a Moody's Analytics Company*
- 15:00 Presentation:**
The Banking Crisis and Regulations: what was it like for a frontline banker?
Gautam Hazarika, *CEO, Mindgrab Pte Ltd*
- 15:30 Networking coffee break**
- GRC**
- 16:00 Panel discussion:**
Governance and personal responsibility - where the blame lies
- Governance Risk and Compliance - what it involves and how it is run
 - Corporate Governance (the differences between the UK and Hong Kong) and whistleblowing practices
 - Enforcement trends in the USA and the UK
 - Personal responsibility throughout an organisation and at differing levels
- Moderator**
Gautam Hazarika, *CEO, Mindgrab Pte Ltd*
- Panelists**
Martine Vanasse, *APAC Control Room, IBCM, Research and UHNW & EIP Compliance, Credit Suisse*
Hannes Valtonen, *Compliance Director, Barings Private Equity Asia*
Syren Johnstone, *Director, Keel Consulting*
Principal Lecturer, Executive Director, LLM (Compliance and Regulation) Programme, The University of Hong Kong
- 17:00 Close of Summit**