

**FinanceAsia**

**6th  
Compliance  
Summit  
Asia**

**Building a more robust organisation**

8<sup>th</sup> November 2017  
The Ritz-Carlton, Hong Kong

[www.compliancesummit.asia](http://www.compliancesummit.asia)

In light of new more comprehensive regulations and government-led initiatives, growing global and regional risks, and changes to personal responsibility, companies across Asia are taking a more proactive stance towards compliance at all levels. RegTech solutions are being implemented to streamline and automate compliance across the region, screening for AML/KYC is becoming more in depth and cyber risk is front of mind in the ever-evolving information and digital age, with danger coming both externally and from the 'insider threat'.

Finance Asia is excited to welcome you back to the 6<sup>th</sup> annual Compliance Summit Asia where we will take a practical and in-depth look at the key compliance considerations presently affecting Asia's corporations and financial institutions and the solutions to help combat risk, and prevent fraud and other compliance breaches.

**For more information and speaking opportunities, please contact**

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**09:00 Opening welcome**

By Daniel Flatt, Editorial Director, FinanceAsia

**REGULATION AND ENFORCEMENT****09:15 Morning keynote**

Regulatory updates from the HK SFC, with a focus on enforcement trends for the next 12 months and what they expect from the region's senior corporate and financial executives.

**09:45 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

**10:45 Networking coffee break****MANAGING CYBER RISKS****11:15 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

**12:00 Case study: Cyber security crisis management**

How to effectively avoid cyber incidents and short- and long-term responses for when a cyber breach does occur. This case study will examine a recent cyber breach and the response mechanisms put in place to prevent it from reaching crisis proportions as well as preventative plans for future breaches.

**12:30 Networking lunch****KYC, AML, sanctions, and CTF****13:30 Keynote Presentation: Know your...programmes**

Know your customer (and your customer's customer), know your business partner, know your transaction, know your process – the areas to monitor are potentially limitless. How can you stay on top of all of these processes when operating across borders and in regions where corruption is more likely?

- Understanding your risk exposure and how detailed your “know your..” programmes need to be
- Handling PEP relationships
- Considerations for operating in emerging and high-risk countries

**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

**15:00 Presentation: Managing investigations**

- The implications of AML policy, sanctions, and restrictions
- Trends in enforcement and regional challenges
- What to do when there has been a compliance breach

**15:30 Networking coffee break****GRC****16:00 Panel: Governance and personal responsibility – where the blame lies**

Codes of ethics, anti-corruption policies, compliance procedures – every company has its own idea of how to maintain transparency, ethical operations, and integrity

- GRC programmes – analysing where you and your company may be at risk
- Personal liability at all levels of an organisation
- Proactive approaches to risk and compliance
- Incentives for staff – whistle blowing hotlines and more

**17:00 Close of Summit**