

Compliance in Asian Wealth Management Forum 2016

9.00am Welcome Address

9.10am Panel Discussion

What are the big issues and risks in 2016?

- What are the strategic compliance challenges confronting wealth management firms in Asia?
- What are the real costs that these represent to the business? And how big are the indirect costs of compliance?
- What are the biggest risk that your organisation faces today?
- How are you positioning the business to deal with this?
- Are there any new solutions or approaches to the problem that you could consider?
- How do you make compliance a business priority?
- Is there enough senior management buy-in to deal with this?

Chair

Michael Stanhope
Founder & Chief Executive Officer
Hubbis

Speaker

Patrick Dreyfuss
COO Wealth Management Group
DBS Bank

Stefan Kuhn
Head of Compliance, Private Banking, South-east Asia
Credit Suisse

Eng Huat Kong
Chief Executive Officer, Singapore and South-East Asia
EFG International

David Vignola
Head, Legal & Compliance
Standard Chartered Private Bank

Andrew Chow
Head of Compliance, S.E. Asia
BNP Paribas

Andrew Au
Founder & Chief Executive Officer
AG Delta2

10.00am Presentation
How to turn Compliance Burdens into Business Benefits

Mark Buesser
Chairman
IMTF

- Understanding where the complexity lays (Regulations vs Processes)
- Getting Guidance & Control of Stakeholders & Systems
- Designing & Defining a flexible approach

10.20am Refreshment & Networking

10.50am Panel Discussion

Lessons from the past – can we learn from recent mishaps?

- A review of 2015 issues – what caught us off guard?
- What could we have done better?
- What can compliance officers learn from these breakdowns in process or policy?
- What do client advisers / RMs need to take away from this?
- What do you need to do to prevent any repeats?
- Will you now do things differently going forward?

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Speaker

Rolf Haudenschild
Country Head, Singapore BRP
BRP Bizzozero & Partners

Kit de Halpert
Co-Head of Asia-Ex Japan Private Wealth Management Compliance
Goldman Sachs

Gerallt Owen
Head of International Regulatory & Corporate Crime
Withers KhattarWong

Vincent Koo
Regional Head of Wealth Management Compliance, Asia Pacific
BNP Paribas Wealth Management

Tan Woon Hum
Partner
Shook Lin & Bok

11.30am Presentation
Technology for Compliance. Saving Grace or More Headache?

Simon Wong
Head of Sales
AGDelta

- What is the state of technology adoption and effectiveness today around compliance management?
- Why has technology today caused more headaches in terms of compliance?
- What type of technology will enable banks to effectively control cost of compliance and drive revenue?

11.50am	<p>Head - to - Head Q & A</p> <p>What do Common Reporting Standards mean for you?</p> <p>Gerallt Owen Head of International Regulatory & Corporate Crime Withers KhattarWong</p>
12.00pm	<p>Presentation</p> <p>Cross Border Challenges</p> <p>Claudia Fritsche Partner BRP Bizzozero & Partners</p> <ul style="list-style-type: none"> • Why bother about the risks inherent to cross-border business? • What should you consider when defining the business model for each target market? • How do you keep track of and understand the local regulations of so many countries around the world?
12.20pm	<p>Panel Discussion</p> <p>Are IFAs now prepared to raise the bar?</p> <ul style="list-style-type: none"> • Where are we with FAIR? • How effectively are organisations implementing the balanced scorecard framework • What regulations are firms most likely to fall foul of? • What is the likely effectiveness of the new FA CPD regime? • What processes and systems and technologies are now absolute must-haves? <p>Chair</p> <p>Michael Stanhope Founder & Chief Executive Officer Hubbis</p> <p>Speaker</p> <p>Hoe Shin Koh Vice President, Chief Partnership Distribution Officer Manulife</p> <p>Byron Murphy Director Wealth Management Swiss-Asia Financial Services</p> <p>Joseph Kwok President at Financial Planning Association of Singapore</p>
1.05pm	Lunch & Networking
2.05pm	<p>Panel Discussion</p> <p>Will we ever breed a true culture of ethical compliance?</p> <ul style="list-style-type: none"> • With the focus on ethics in 2015, what have been the challenges associated with building out an ethical compliance programme?

- What are the wider implications of non-compliance across the entire organisation, starting from the bottom-up?
- Conduct risk and compliance – are the boundaries too blurred?
- What process do you have in place to spot red flags associated with non-ethical behaviour?
- What are some of the other measure that regulators – and organisations – should use to try to foster ethically compliant behaviour?
- Can we really train people to be ethical? Is it likely that behaviour will improve based on 4 hours of mandatory ethics training?
- What are the implications of the limited amount of compliance talent focusing on ethical behaviour in the market? How can the resource gaps be filled?
- How do private banks manage this risk of fraud in terms of prevention and post event remediation?

Chair

Michael Stanhope
Founder & Chief Executive Officer
Hubbis

Speaker

Joanna Yap
Partner, Tax & Private Client
RSM Singapore

Kenneth Chia
Head, Risk Control & Governance, Private Bank, Asia Pacific
ANZ

Julia Leong
Partner, Wealth Management
PricewaterhouseCoopers

Kevin Chua
Head of Legal and Compliance ==
Amicorp Group

Lian Chuan Yeoh
Counsel
Allen & Overy

Stephanie Magnus
Principal
Baker McKenzie

2.50pm

Presentation
Financial Planners Professionalism & Compliance

Joseph Kwok
President
Financial Planning Association of Singapore

- How could financial planners become a professional?
- What are the professional standards & code of ethics expected of a professional?
- Would compliance with professional standards & code of ethics makes one a better financial planner?

3.15pm

Refreshment & Networking

3.45pm

Presentation
Understanding the implications of tax transparency

Kwong Wing Leon
Partner, Head of Tax & Private Client
Withers KhattarWong

- The exchange of information in practice
- Leaking bankers
- Conspiracy to evade tax
- The articulate witness

4.15pm

Panel Discussion

An insider's guide on how to address compliance issues

- How should you deal with regulatory audits?
- What has changed in AML policies since July 2015?
- In the unfortunate situation where you might encounter a compliance breach, from which sector of the bank is it most likely to come? What preventative action should you take now?
- How can you train staff to be effective without losing them?
- How many terrorists have you actually caught?
- How will you deal with new AI regime in Singapore?
- How do you deal with job hopping and a strong increase of the number of staff in your compliance function?
- How do you manage hiring, on boarding, training and retaining of your compliance function?

Chair

Michael Stanhope
Founder & Chief Executive Officer
Hubbis

Speaker

Evelyn Koh
Head, Network Compliance, Wealth Management
Standard Chartered Bank

Francis Seo
Head of Bancassurance
Great Eastern Life Assurance

Eileen Giam
Partner, Compliance & Risk in Southeast Asia
Deloitte

Steve Knabl
Chief Operating Officer & Managing Partner
Swiss-Asia Financial Services

Keith Harrison
Chief Executive Officer
Abacare

5.00pm

Forum Ends