

Compliance in Asian Wealth Management Forum 2017

8.40am Registration

9.00am Welcome Address

Michael Stanhope
Founder & Chief Executive Officer
Hubbis

9.10am Panel Discussion

How can I meet the new compliance expectations – but still make a profit?

- What are the main challenges?
- AML is the big topic in Singapore. Investment suitability is the big topic in Hong Kong. What's the difference between the approaches of these regulators?
- Is it possible to cut the cost of compliance?
- Can you navigate your way to a profitable and sustainable platform?
- With the fintech revolution underway – can the machines and the paper mesh up well? Or do compliance officers have to find a middle ground?
- There is a lot going on – how can you deal with it all?
- Can you turn risk and compliance into a competitive advantage?
- Risk heat map 2017 – what goes up, what goes down?
- What's next?

Panel members

Sanjoy Sen
Managing Director, Retail & Wealth - Asia
ANZ

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

Isay Lifshitz
Head, Wealth Management Client On-boarding and Lifecycle Management, and Head,
Group Operations Wealth Management Asia-Pacific
UBS

Stephen Yee
Head of Compliance, Singapore
Bank Julius Baer

Singee Koh
Director
Duff & Phelps

Steven Seow
Head of Wealth Management, Asia
Mercer

Chair

Michael Stanhope
Founder & Chief Executive Officer

Hubbis

Speaker

10.00am

Presentation

Mutualising the cost of compliance with a smart solution

Mark Buesser

Chairman

IMTF

- Addressing the complexity of regulations
- Opportunities for technology and digital channels
- Achieving client centricity and efficiency with ICOS/2

10.15am

Refreshment & Networking

10.45am

Panel Discussion

The blame game – in the politically correct world in which we live

- Are the current regulations risk-averse, or do they deal with the root causes?
- Are more regulations the answer?
- Disclaimers and exclusion clauses – will they destroy trust further and end the client relationship?
- Can we reduce repetitive box-ticking?
- Will technology save us?
- Do we have a choice?
- Is it inevitable that banks will be scrutinised more closely and in a more intrusive way?
- Are regulations in the different countries drifting apart? Is there a regulatory advantage for specific financial centres?
- Can financial institutions benefit working in or from a specific financial centre?

Chair

Michael Stanhope

Chief Executive Officer & Founder

Hubbis

Panel members

Evelyn Koh

Head, Compliance, Private Banking Clients, Singapore

Standard Chartered Bank

Gary Soh

Chief Compliance & Operations Officer

Nexus Financial Services

Woon Hum Tan

Partner

Shook Lin & Bok

Rolf Haudenschild

Country Head, Singapore

BRP Bizzozero & Partners

Speaker

11.35am

Presentation
Compliance in 2017 for trust and corporate service providers

Douglas Lee
Compliance
Portcullis Investment Office

- Heightened scrutiny on trusts and CSP
- Increased emphasis on simple and transparent structures
- Going back to basics

11.50am

Presentation
Beneficial ownership

Gary Ong
Regional Manager
Bureau van Dijk

- Issues to consider

12.05pm

Panel Discussion

Tax is the next big topic – in case you didn't notice

- Automatic Exchange of Information and the Common Reporting Standard. What's the impact on you?
- What should you do and who are the best available providers?
- How have AML controls changed in light of BSI / Falcon Private Bank / 1MDB?
- Banks' client acceptance policies, DDC and account-opening processes – are they too painful and restrictive now?
- The due diligence required in opening accounts. What is enough?

Chair

Michael Stanhope
Chief Executive Officer & Founder
Hubbis

Panel members

Anuj Kagalwala
Asset & Wealth Management Tax Leader
PwC

Joanna Yap
Partner, Tax and Private Client
Withers KhattarWong

Sunil Iyer
Director
Iyer Practice Advisers

Amar Bisht
Head of Wealth Strategy and Advisory
Orbium

Cherry Pei
Manager, Singapore
Synpulse

Mark Buesser
Chief Executive Officer
IMTF

Speaker

12.55pm

Lunch & Networking

1.45pm

Panel Discussion

How can independent firms keep up?

- How can independent firms address complex and often conflicting regulatory regimes – especially from the perspective of implementation?
- Which banks have a competent platform qualified to serve IAM / EAM clients?
- What does a robust DDC / client on-boarding platform look like?
- What processes do we need to ensure we are not negatively impacting the client experience – and therefore discrediting the IAMs / EAMs?
- What's the impact of different client suitability regimes in Singapore and Hong Kong on independent firms?

Chair

Michael Stanhope
Chief Executive Officer & Founder
Hubbis

Panel members

Etienne Billaud
Senior Relationship Manager
SingAlliance

Philipp Piaz
Partner
Finaport

Andreas Wenger
Associate Partner
Synpulse

Rolf Haudenschild
Country Head, Singapore
BRP Bizzozero & Partners

Speaker

2.30pm

Presentation

Learning and Professional Development – how can you enhance it in your organisation?

Michael Stanhope
Founder & Chief Executive Officer
Hubbis

- Why is learning & development becoming much more important today?
- How can you generate revenue from training and have truly needs-based conversations

- with clients?
- What is best practice in Learning & Development within wealth management?

2.50pm

Refreshment & Networking

3.20pm

Panel Discussion

Living in the post-BSI world – no trust and a lot of verification required

- How can I make sure a BSI / Falcon-type situation doesn't happen to me?
- Do we have the right checks-and-balances at every level?
- Do senior management understand the risks?
- How must I document my processes? What level of detail is required?
- What is required today in terms of the audit trail for: Sign offs; Quality control – the person who is responsible is identified; On boarding – substantiated and corroboration
- What does this mean for you?
- Do your processes need to be improved?
- What is the standard that's required?

Chair

Michael Stanhope
Chief Executive Officer & Founder
Hubbis

Panel members

David Vignola
Head, Compliance, Private Bank and Wealth Management
Standard Chartered Bank

Matt Maddocks
Institutional Operational Risk, Retail Wealth & International Banking, Asia
ANZ

Arijit Chakraborty
Senior Vice President & Chief Legal & Compliance Officer,
Manulife

Douglas Lee
Head of Compliance
Heritage Trust Group

Speaker

4.05pm

Panel Discussion

The inconvenient truth of risk and compliance

- How will the regulatory and enforcement environment around conduct risk evolve over the next 12 months?
- Where will the next conduct enforcement shock come from?
- How will the world's regulators approach human mis-behaviour?
- How can authorities around the world consolidate and extend their powers of enforcement? Should they?
- Will enhanced personal accountability impact the quality of individuals applying for senior management roles?

Chair

Michael Stanhope
Chief Executive Officer & Founder
Hubbis

Panel members

Zane Pritchard
Head of Singapore Compliance and Operational Risk Control
UBS

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

Alison Fidler
Head, Compliance, Wealth Markets Products & Sales
Standard Chartered Bank

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

Stephanie Magnus
Principal
Baker & McKenzie

Speaker

5.00pm

Forum Ends