

# Compliance and Regulatory Challenges in private wealth management for 2021

3.00pm

Compliance and Regulatory Challenges in Private Wealth Management for 2021

- What are the main compliance challenges for the year ahead, both globally and also specifically within Asia?
- In what ways has the pandemic impacted the wealth management community in its adaptation to the new rules, monitoring and enforcement of, for example, CRS, AEOI, Mandatory Disclosure, Economic Substance and BEPS, Accountability & Conduct?
- Where does the underlying business gel with the demands of compliance, or is regulation so pervasive and indiscriminate that it is hampering the revenue generation and profitability of the players in this industry?
- Have onboarding, KYC, AML, and transaction monitoring and reporting been functioning properly and what new rules and challenges lie ahead in these areas?
- Are privacy, security and cyber hygiene an insurmountable challenge when most of the industry is working remotely?
- Are you safe from global sanctions? How do you monitor this?
- Where do you see the key benefits digital compliance tools can bring in wealth management when it comes to connecting legal/compliance departments with business stakeholders?
- How do compliance teams at the banks and the independent wealth firms actually conduct their roles efficiently, when remote working is now the norm, not the exception?
- What roles do training and further education play in the rollout of effective compliance?
- Aside from the rules themselves, what role do ethics and self-regulation play in the evolution of the wealth industry?
- Are Financial Institutions in Asia really ready for the 'Culture and Conduct' revolution?
- How can you scale up your organizational agility across different geographies? How powerful is digital innovation?

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Webinar Ends