Compliance and Regulatory Update 2022

3.00pm Compliance and Regulatory Update

- What are the main compliance challenges for the year ahead, both globally and also specifically within Asia?
- How will the inability to use letters of no consent hurt banks dealing with assets associated with potential money laundering?
- What are some of the challenges banks are facing meeting the different source of wealth standards in HK and SG?
- 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?
- Have onboarding, KYC, AML, and transaction monitoring and reporting been functioning properly and what new rules and challenges lie ahead in these areas?
- How do we need to apply ESG guidelines and how is this evolving?
- Is 'green washing' an issue? What are the consequences?
- OTC derivatives reporting – how do you do it? What are the developments?
- Conduct of listed companies and their partners. What's changing and how is this enforced?
- Stopping the rolling bad apples. When people move from one firm to another – what information might need to be shared in the future?
- What updates are there around virtual assets – like crypto?
- Are privacy, security and cyber hygiene an insurmountable challenge when most of the industry is working remotely?
- Where does the underlying wealth management business align 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?
- 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 does the wealth industry make its selections from the growing range of sophisticated solutions out there?
- What roles do training and further education play in the rollout of effective compliance?
- Are Financial Institutions in Asia really ready for the 'Culture and Conduct' revolution, and what role can ethics and self-regulation play in the evolution of the wealth industry?
- How can you scale up your organisational agility across different geographies? How powerful is digital innovation?
- How do regulators view ransomware and paying ransoms?

Hannah Cassidy
Partner, Head of Financial Services Regulatory, Asia
Herbert Smith Freehills

Anu Phanse
Head of Regulatory Compliance
Revolut

Joshua Heiliczer
Managing Director
Protiviti

Rolf Haudenschild
Co-founder
Ingenia Consultants Pte Ltd

4.00pm Webinar Ends