

Hubbis Compliance in Asian Wealth Management Forum 2019

- 8.40am Registration
- 9.00am Welcome Address
- Michael Stanhope
Founder & Chief Executive Officer
Hubbis
- 9.05am Panel discussion
- Compliance hot topics and trends 2019
- A reflection on the challenges of the past year
 - What are the main compliance challenges for the year ahead?
 - Risk Heat Map 2019 – what goes up, what goes down and why?
 - Where should compliance teams focus their efforts and available resources?
 - Where should we focus attention in terms of digitisation of compliance functions this year?
 - How best to meet the challenge of finding the appropriate skillset in a millennial world?
 - How are these developments impacting your business?
- Chair
- Michael Stanhope
Founder & Chief Executive Officer
Hubbis
- Speaker
- Adriel Loh
Managing Director, Global Head of Compliance
Bank of Singapore
- Josh Heiliczer
Partner - Financial Services Risk Management
EY
- Conrad Lim
Managing Director & Deputy Chief Executive Officer, Senior Regulatory Counsel Asia
LGT Bank
- 9.55am Presentation
- The new AML/CFT regulatory regime for Precious Stones and Metals Dealers (“PSMDs”)
- Glen Chee
Director
DWF Compliance
- Registration of Precious Stones and Metal Dealers (“PSMDs”)
 - AML/CFT Policies and Procedures
 - Perform Client Due Diligence and file Cash Transactions Reports for cash transactions \$20,000 and more

- Perform Client Due Diligence if suspicion is detected
- Risk Assessment
- Enhance Due Diligence
- Internal audit
- Appoint compliance officer
- Training

10.15am

Panel discussion

Exploring the evolving landscape for independent asset managers

- How is the landscape for IAMs evolving?
- What are the current compliance challenges for IAMs in the year ahead?
- What do the recent regulatory changes in Singapore mean for locally based IAMs?
- What do firms need to do if they want to operate in Singapore?
- What are the challenges and opportunities around the use of software and technology to create solutions?
- How do you ensure RMs have the right attitude to compliance and play within the prescribed boundaries?

Chair

Michael Stanhope
 Founder & Chief Executive Officer
 Hubbis

Speaker

Anthonia Hui
 Chief Executive Officer
 AL Wealth Partners

Noor Quek
 Founder, Chief Executive Director
 NQ International

Rolf Haudenschild
 Co-Founder, Head of Regulatory & Risk Services
 Ingenia Consultants

Philipp Piaz
 Partner
 Finaport

11.00am

Refreshment & Networking

11.30am

Presentation
 Data Protection and Privacy - Trends and developments

Charmian Aw
 Counsel
 Reed Smith

- Proposed changes to India's data protection legislation
- How will these changes impact on privacy compliance for the rest of Asia

11.50am	<p>Presentation Next Generation Identity Matching: Reduce Regulatory and Operational Risk!</p> <p>Jordan Lo Senior Project Manager IMTF</p> <ul style="list-style-type: none"> • How it supports all regulatory challenges • Challenges of multi languages • Support of Machine Learning • Use cases
12.10pm	<p>Presentation Can AI assist in your compliance journey?</p> <p>Raffael Maio Managing Director APAC, Co-founder NetGuardians</p>
12.30pm	<p>Presentation Promoting Financial Services and Products – Different clients, different channels, different regulations</p> <p>Rolf Haudenschild Co-Founder, Head of Regulatory & Risk Services Ingenia Consultants</p> <ul style="list-style-type: none"> • Restrictions regarding the promotion of financial services and products • Opt-in regime for accredited investors • Requirements on digital sales channels • Challenges of selling into other jurisdictions
12.50pm	<p>Presentation Data Retention: Evolving Best Practices</p> <p>Daniel P. Levison Partner Morrison & Foerster</p> <ul style="list-style-type: none"> • The importance of “appropriate” retention of company data • Increasing complexity and changing obligations • Special issues relating to messaging apps • Policy- and technology-based solutions • Today’s best practices and what’s ahead
13.00pm	Lunch
13.50pm	Workshop

Transparency Challenges for the year ahead

Zac Lucas
Founder, Head of Legal
Centenal

- Latest developments CRS
- Implementation challenges
- Mandatory Disclosure - what is it, how will it affect compliance operations
- What sort of structures are caught by MDR?
- How to spot MDR avoidance structures

14.30pm

Panel discussion

Cross-Border Sales - Opportunities and pitfalls to consider

- Understanding the risks and rewards
- Understanding the Rules of Engagement
- Implementing Clear policies and Procedures and training
- The commercial interplay between business development and compliance
- What to do when things go wrong?

Chair

Michael Stanhope
Founder & Chief Executive Officer
Hubbis

Speaker

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

Sabrina Cheng
Head of Wealth Management Compliance, Singapore
BNP Paribas

Woon Hum Tan
Partner, Head of Trust, Asset & Wealth Management Practice
Shook Lin & Bok

Matthew Maddocks
Independent Risk Consultant
ORC Professional Services

Daniel P. Levison
Partner
Morrison & Foerster

15.20pm

Refreshment & Networking

15.40pm

Panel discussion

Tax Compliance in the Transparent new world

- CRS and AEOI, MDR and beneficial ownership registers. What can we expect to be targeted next?
- FATCA – Where are we on enforcement of compliance breaches?

- Mandatory disclosure of tax avoidance schemes to fight against “base erosion and profit sharing”(BEPS)
- Prosecution of ‘enablers’ of tax evasion
- Unexplained Wealth Orders - Are we likely to see Asian jurisdictions follow the new UK regime?
- How to best obtain cooperation from clients to meet tax compliance standards?
- What more can be done to educate clients about the potential impact on them of tax transparency?

Chair

Michael Stanhope
Founder & Chief Executive Officer
Hubbis

Speaker

Vikna Rajah
Partner, Head of Tax, Trust & Private Client
Rajah & Tann

Zac Lucas
Founder, Head of Legal
Centenal

Laurence Lancaster
Barrister-at-law, Group Head of Tax
The Sovereign Group

16.40pm

Forum End