

# Compliance in Asian Wealth Management Forum 2019

8.40am	Registration
9.00am	<p>Welcome Address</p> <p>Michael Stanhope Founder &amp; Chief Executive Officer Hubbis</p>
9.05am	<p>Panel Discussion</p> <p>Compliance hot topics and trends 2019</p> <ul style="list-style-type: none"><li>• A reflection on the challenges of the past year</li><li>• What are the main compliance challenges for the year ahead?</li><li>• Risk Heat Map 2019 – what goes up, what goes down and why?</li><li>• Where should compliance teams focus their efforts and available resources?</li><li>• Where should we focus attention in terms of digitisation of compliance functions this year?</li><li>• How best to meet the challenge of finding the appropriate skillset in a millennial world?</li><li>• How are these developments impacting your business?</li></ul> <p>Chair</p> <p>Michael Stanhope Founder &amp; Chief Executive Officer Hubbis</p> <p>Speaker</p> <p>Adriel Loh Managing Director, Global Head of Compliance Bank of Singapore</p> <p>Josh Heiliczzer Partner - Financial Services Risk Management EY</p> <p>Conrad Lim Managing Director &amp; Deputy Chief Executive Officer, Senior Regulatory Counsel Asia LGT Bank</p>
9.55am	<p>Presentation</p> <p>The new AML/CFT regulatory regime for Precious Stones and Metals Dealers (“PSMDs”)</p> <p>Glen Chee Director DWF Compliance</p> <ul style="list-style-type: none"><li>• Registration of Precious Stones and Metal Dealers (“PSMDs”)</li><li>• AML/CFT Policies and Procedures</li><li>• Perform Client Due Diligence and file Cash Transactions Reports for cash transactions \$20,000 and more</li><li>• Perform Client Due Diligence if suspicion is detected</li><li>• Risk Assessment</li></ul>

- 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  
Head of Singapore  
ALTi Tiedemann Global

Noor Quek  
Founder & CEO  
NQ International

Rolf Haudenschild  
Co-founder  
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

Presentation  
Next Generation Identity Matching: Reduce Regulatory and Operational Risk!

Jordan Lo  
Head of APAC  
IMTF

- How it supports all regulatory challenges
- Challenges of multi languages
- Support of Machine Learning
- Use cases

12.10pm

Presentation  
Can AI assist in your compliance journey?

Raffael Maio  
Managing Director APAC, Co-founder  
NetGuardians

12.30pm

Presentation  
Promoting Financial Services and Products – Different clients, different channels, different regulations

Rolf Haudenschild  
Co-founder  
Ingenia Consultants

- 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

Presentation  
Data Retention: Evolving Best Practices

Daniel P. Levison  
Partner  
Morrison & Foerster

- 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

1.00pm

Lunch & Networking

1.50pm

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

2.30pm

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  
Sanctions and Financial Security, Singapore & SEA  
BNP Paribas Corporate Banking

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

3.20pm

Refreshment & Networking

3.40pm

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  
Executive Committee Partner (Head Tax, Trust & Private Wealth)  
Rajah & Tann

Zac Lucas  
Founder, Head of Legal  
Centenal

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

4.40pm

Forum Ends