



Compliance in Asian Wealth Management Forum 2015

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WELCOME

On behalf of Thomson Reuters, we are delighted to be the lead sponsor for Hubbis' **Compliance in Asian Wealth Management Forum 2015** in Singapore.

This is a timely gathering of leading practitioners across all segments of the industry.

Navigating the compliance, regulatory and operational risk landscape today poses the biggest headache for senior management, compliance and operational heads, and front-line staff alike. And the pressures aren't likely to ease any time soon, especially given ongoing and widespread compliance failures.

With increased regulatory scrutiny and complexity, enforced business changes and individuals being held personally accountable all expected to continue, the cost of non-compliance will rise.

Senior management are under more pressure than ever before to define a culture of compliance, take greater responsibility for driving legal and ethical business practices throughout their organisations, and invest in resources and technology to ensure compliance.

Against this backdrop, today's forum includes presentations, case studies and panel discussions designed to uncover the realities that you and your organisations now face in doing business in the region.

Hubbis is also video-recording the presentations and writing up content from the discussions - and will send this to you.

Thank you for your support and attendance. We hope you enjoy the forum.

We are pleased to be part of this must-attend fixture in the wealth management calendar. And we look forward to working with you and your clients across the region.

Agenda-at-a-glance

Morning

- 9.00am **Welcome Address by Anthony Northam**
- 9.05am **Keynote Presentation**
Regulatory risk management in wealth: driving client satisfaction through compliance
- 9.35am **Panel discussion**
How can you deal with the reality of tax transparency?
- 10.20am **Presentation**
Just when you thought it couldn't get more painful - here comes the next tsunami
- 10.50am **Refreshments & Networking**
- 11.15am **Panel discussion**
Will we ever breed a true culture of compliance?
- 11.55am **Presentation**
Values. Ethics. Culture. Compliance
- 12.25pm **Presentation**
Tax investigations

Afternoon

- 12.55pm **Lunch**
- 1.35pm **Panel discussion**
Finding a way to manage the threat of financial crime
- 2.20pm **Presentation**
Regulatory trends in 2014 – and how much grief this means for your business?
- 2.50pm **Panel discussion**
Staying compliant yet profitable – is this a realistic goal?
- 3.30pm **Refreshments & Networking**
- 3.55pm **Presentation**
Globalised clients serviced in a world of national jurisdictions
- 4.25pm **Presentation**
Singapore Data Protection Act
- 5.00pm **Forum Ends**

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Full Agenda

8.40am Registration

9.00am Welcome Address

Anthony Northam

Head of Market Development, ASEAN, Financial & Risk
Thomson Reuters

9.05am Keynote Presentation

Regulatory risk management in wealth: driving client satisfaction through compliance

Kristen Tiner

Head of Risk Segment – Asia
Thomson Reuters

- | *Risk is often seen as the four-letter word for business hindrance and the “no” police within an institution*
- | *Changing client engagement – not just bearing the brunt of frustrated clients who must submit duplicative documentation*
- | *Using new systems to facilitate clear communication, and the way in which we use this information to better serve clients with unique products and services*
- | *Creating more of a focus on the client rather than ticking the compliance box – as the key to client satisfaction*
- | *Being knowledgeable on compliance and regulatory matters – to gain the respect and trust of clients, while also helping to uncover potential investment opportunities*

9.35am Panel Discussion

How can you deal with the reality of tax transparency?

- | *How is the ever-transparent regulatory and tax environment impacting the wealth management industry?*
- | *What does the move towards greater transparency really mean for wealth managers?*
- | *How will Common Reporting Standards impact the industry?*
- | *Will 2015 be the year we see a private banker go to jail?*
- | *What are the biggest risks for advisers and clients which are not being properly addressed yet?*
- | *How has KYC changed post the tax evasion regulations?*

Chair Michael Stanhope

CEO & Founder
Hubbis



A man with short brown hair and blue eyes is looking directly at the camera. He is positioned behind a very tall, thick stack of papers that completely obscures his lower face and body. The papers are of various colors, including white, blue, and yellow, and some have blue sticky tabs. The background is a blurred office environment with soft lighting.

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Unlocking the potential.

Panel **David Stone**
Director, Structuring & Product Development, Asia
Amicorp Group

Kristen Tiner
Head of Risk Segment – Asia
Thomson Reuters

David Vignola
Head, Legal & Compliance, Private Banking Clients
Standard Chartered Private Bank

Andrew Chow
Partner, Financial Services Regulatory
WongPartnership

Dr Angelo Venardos
CEO & Founder
Heritage Trust Group

10.20am **Presentation**
Just when you thought it couldn't get more painful - here comes the next tsunami

Dr Angelo Venardos
CEO & Founder
Heritage Trust Group

- | *Tackling the offshore challenge*
- | *Automatic exchange of information*
- | *How will you ever deal with all this?*

10.50am **Refreshments & Networking**

11.15am **Panel Discussion**
Will we ever breed a true culture of compliance?

- | *What are the real costs of non-compliance? Including the wider implications that non-compliance can have throughout an entire organisation, starting from the bottom-up*
- | *Are the rising monetary fines as a result of persistent non-compliance actually leading to a change in underlying behaviour?*
- | *Why is it acceptable that many firms now consider financial penalties to be part of the standard costs of doing business?*
- | *What are some of the other measure that regulators - and organisations - are now using to try to foster compliant behaviour?*
- | *What are the implications of the limited amount of compliance talent in the market? How can the resource gaps be filled?*

Chair **Carsten Rosenkranz**
Market Development Asia - Risk
Thomson Reuters



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Financial Information

Unlocking the potential.

Panel

Rolf Haudenschild

Principal Compliance Consultant
Maroon Analytics

Evelyn Koh

Head of Compliance, Asia Pacific Wealth Management and Singapore
RBC Wealth Management

Vincent Koo

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

Nizam Ismail

Partner
RHTLaw Taylor Wessing

11.55am

Presentation

Values. Ethics. Culture. Compliance

Andrew Chow

Partner, Financial Services Regulatory
WongPartnership

- | *Is the hiring of more compliance officers, or spending on surveillance systems good enough in the current climate?*
- | *Are the existing and new rules and regulations too complicated to understand, process and implement?*
- | *How does an international bank deal with disparate cultural issues in different parts of the globe?*
- | *Is there a possible, less complex answer to these questions?*

12.25pm

Presentation

Tax Investigations

Kwong Wing Leon

Head, Tax
KhattarWong LLP

- | *The exchange of information in practice*
- | *Leaking bankers*
- | *Conspiracy to evade tax*
- | *The articulate witness*

12.55pm

Lunch





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1.35pm **Panel Discussion**
Finding a way to manage the threat of financial crime

- | *What are the biggest external risks wealth management organisations face?*
- | *What can be done to improve risk management decisions?*
- | *How can firms operating in more than one jurisdiction avoid arbitrage in compliance models?*
- | *Is it possible to develop inter-jurisdictional regimes and policies for areas like data protection, suitability, CDD and KYC?*
- | *What are the challenges associated with implementing standardised systems across the region and globally?*
- | *Repercussions of financial crime and cyber risk and how they impact a banks' reputation when exposed*
- | *How are the insurance, financial advisory and independent asset management industries responding to the individual challenges they now face?*

Chair **Michael Stanhope**
CEO & Founder
Hubbis

Panel **Conrad Lim**
Managing Director and Deputy Chief Executive Officer
LGT Bank

Gerallt Owen
Head of International Regulatory & Corporate Crime
Withers

Julia Leong
Partner, Risk Assurance Practice (Financial Services)
PwC

Steve Knabl
Managing Partner
Swiss Asia

2.20pm **Presentation**
Regulatory trends in 2014 - and how much grief this means for your business?

Nizam Ismail
Partner
RHTLaw Taylor Wessing

- | *Looking back - what were the key regulatory trends in 2014?*
- | *Looking within - how these developments impact your business?*
- | *Looking forward - what the regulatory crystal ball holds for us in 2015*



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- | *Market abuse*
- | *Misselling and suitability*
- | *Sanctions*
- | *Singapore data protection*

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- 300+ hours of training*
- Tracking & reporting*
- Cost effective*
- Learning plans*

2.50pm **Panel Discussion**
Staying compliant yet profitable – is this a realistic goal?

- | *How can financial services firms align compliance programmes with business goals?*
- | *What action must senior management take - not only to be compliant but also to avoid the growing costs of non-compliance as they respond to the regulatory and compliance challenges?*
- | *What are the most forward-thinking banks doing to develop processes and technology-based systems to support and drive compliance as well as efficient operations?*
- | *What are the drawbacks of over-regulating the firm's activities? (costs, competition, etc).*
- | *What are the advantages and disadvantages of standardising ethics and broader compliance policies as well as the code of conduct - both across the region and globally?*
- | *Is the PDPA having the desired results? How is it being implemented?*

Chair **Michael Stanhope**
CEO & Founder
Hubbis

Panel **Patrick Dreyfuss**
Managing Director, Chief Operating Officer of Wealth
DBS Private Bank

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

Adam Long
Group Head of Legal & Compliance, Wealth Management & Priority/International Banking
Standard Chartered Private Bank

Jack Wang
Partner
Lexico

3.30pm **Refreshments & Networking**

3.55pm **Presentation**
Globalised clients serviced in a world of national jurisdictions

Rolf Haudenschild
Principal Compliance Consultant
Maroon Analytics

- | *Singapore is a financial hub servicing clients in other jurisdictions.*
- | *HNWIs are internationally mobile.*
- | *Licenses, rules and regulations apply to national jurisdictions.*
- | *How can you service clients in other jurisdictions?*

4.25pm **Presentation**
Singapore Data Protection Act

Rajesh Sreenivasan
Partner, Head, Technology Media & Telecoms
Rajah & Tann Singapore LLP

- | *How has Singapore's Personal Data Protection Act (PDPA) been received to date?*
- | *What is the state of enforcement?*
- | *What have been the main implications for advisers?*
- | *What is the impact for the banks from a governance perspective?*
- | *How are banks responding? How are they balancing the PDPA with the Banking Act obligations?*

5.00pm **Forum Ends**

Speaker biographies



Adam Long

Head of Legal & Compliance, Wealth Management
Standard Chartered Private Bank

Over 17 years of experience with global investment banks where he has held several senior legal & compliance and front-office roles covering wealth management, asset/fund management, global market securities, derivatives and structured products. He has worked in London, Hong Kong and Singapore, with global or regional responsibilities across various products and businesses. He has been responsible for global coverage of Wealth Management L&C at SCB for the past 4 years.



Anthony Northam

Head of Market Development, ASEAN, Financial & Risk
Thomson Reuters

Anthony heads up Market Development team in ASEAN driving the strategy and execution in this region. He is also the Head of the FX Market Development in Asia and is responsible for F&R's FX franchise in the region, including pre trade, transactions capabilities and post trade services in the region. Anthony joined Reuters in London in 2001 as a client trainer after completing a graduate program with the company in 1999. In 2003 he joined the Treasury Broking Services team as Business Development Manager responsible for FX Spot & Forwards Matching in London and the Nordic region. Anthony moved to Singapore in 2007 to establish and build the Reuters Spot FX Prime Brokerage business. In 2008 Anthony was appointed the Asia Sales Director for the Treasury Transactions services group responsible for the Matching and RTFX franchise in the region and assumed his current position of Head of Marketplaces Asia in October 2011. Anthony received a Bachelor of Science degree in Business Studies from the Cass Business School, City University, London.



Dr Angelo Venardos

CEO & Founder
Heritage Trust Group

Dr. Angelo Venardos is the Founder and Chief Executive Officer of the Heritage Trust Group. He holds degrees in Economics & Marketing, an MBA, a Master of Jurisprudence (Corporate & Commercial Law) and a Doctorate of Legal Science. Heritage Trust Group, an independent trust and corporate services company, with offices in Singapore, Hong Kong and the BVI, is recognized as a leading service provider in Asia, whose principal activities include the provision of fiduciary, trust, foundation, company formation, corporate services and accounting services. The Group also has associated entities in Brunei, New Zealand and Seychelles. Heritage has a staff complement of 60 professionals. In December 2014, Dr Angelo was conferred the title of "IBF Fellow" in the segment of Trust Administration and Wealth Management by the Institute of Banking and Finance (IBF) in recognition of his professional standing as an industry veteran. His active involvement with the Society of Trust and Estate Practitioners (STEP) since 2000, from the Chair of STEP Singapore in 2009 to 2011, elected to Council in 2011 and has led him to his appointment in 2013 to the Board of Directors of STEP Worldwide in London. He is a member of the Singapore Trustees Association (STA), Singapore Academy of Law (SAL), Singapore Institute of Directors (SID), Singapore Institute of International Affairs (SIIA) and Australian Institute of Company Directors (AICD).



Andrew Chow

Partner, Financial Services Regulatory Practice
WongPartnership

Andrew Chow is a Partner in the Financial Services Regulatory Practice. He has extensive experience in financial services regulatory matters, with an emphasis on banking and capital markets legal and compliance advisory. As one of the first dedicated compliance professionals in Singapore, Andrew has worked for various international financial institutions across the Asian region. He advises on a wide spectrum of regulatory issues and developments, and has previously guided each of the financial institutions he worked in on regulatory compliance with statutes, regulations, notices and guidelines in Singapore including the Banking Act, the Securities and Futures Act (SFA), the Financial Advisers Act (FAA), the Trust Companies Act, the Commodity Trading Act administered by the Monetary Authority of Singapore (MAS) and other regulatory bodies. Apart from his advisory roles, he also developed the compliance processes and procedures for those institutions, including other risk, operational and IT policies and procedures where legal and compliance input was essential. In the 16 years prior to joining WongPartnership, the financial institutions Andrew worked for were: Standard Chartered Bank, where he established the compliance department, and was actively involved in managing the issues surrounding the collapse of Baring Futures and its parent; and Baring Brothers & Co. in the UK. He then moved to Toronto Dominion Bank/TD Waterhouse, where he led in the establishment of TD Waterhouse in Hong Kong as one of the first Asian discount brokers while overseeing TD Bank's transactions through the Asian Financial Crisis. The next institution was Schroders, which was acquired by Salomon Smith Barney as part of Citigroup. At Salomon, Andrew was the author of the application for the first unified securities and futures membership on the Singapore Exchange, and also managed the issues arising from the dot.com bust, the collapse of WorldCom and Enron, and the tragic event of 9/11. As the Country Compliance Officer for Citibank, Singapore Branch, he has covered all aspects of Citi's comprehensive footprint in Singapore, including its global technology function locally. He was also actively involved in the integration of the Lehman businesses into Nomura in Asia (ex-Japan). Andrew speaks regularly at seminars organised by the Association of Banks in Singapore, the Institute of Banking and Finance, the Wealth Management Institute, where he leads in Ethics and Compliance training for private banking and wealth management, Hubbis for private banking, the Compliance Professionals Association of Singapore and the Robert Half-ICPAS Financial Leadership Forum. He is also a committee member of the Financial Industry Competency Standards (FICS) Compliance Working Group. Andrew graduated from the National University of Singapore. He is admitted to the Singapore Bar and is also an Attorney-at-Law, New York State Bar.



Carsten Rosenkranz

Market Development Asia - Risk
Thomson Reuters

Carsten Rosenkranz is a member of the Financial & Risk Market Development Team at Thomson Reuters and is based out of Singapore. He has an MBA in Business Management from the University of Hamburg and has been working in the field of Training & Education for over 10 years. He has helped to design and roll-out more than 2,000 training projects for FIs and Corporate Organisations from a variety of industries across Asia covering diverse topics such as Six Sigma, Anti-Money Laundering, Anti-Bribery/Corruption, Financial Products, Business Skills etc. Prior to Thomson Reuters, Carsten spent 9 years at Knowledge Platform, an e-learning development firm in Singapore, spearheading a number of large-scale Learning-projects for organisations such as Bank Mandiri, Seagate Technology, UOB, Bayer Healthcare, Peninsula Hotels, AUSTRAC etc.



David Vignola

Head, Legal & Compliance, Private Banking Clients
Standard Chartered Private Bank

David is responsible for overseeing the Private Bank's legal and compliance programs globally. Based in Singapore, he oversees teams in Singapore, Hong Kong, Mumbai/Delhi, Dubai, Geneva, London, Guernsey, and Jersey, focusing much of his attention on the bank's Client Due Diligence processes and procedures, the suitability and sales processes of the bank's diverse product offerings and services, and legal advisory. David joined Standard Chartered from Standard & Poor's (S&P) in New York where, from 2009 to 2012, he was the Global Chief Compliance Officer for S&P's Investment Services and Rating Services, respectively. Prior to S&P, David spent 5 years at Citi, working in Citi's Private Bank in both New York and Tokyo as well as in Citi's Investment Bank in Hong Kong, variably, in both legal and compliance roles.


Conrad Lim

Managing Director and Deputy Chief Executive Officer, Singapore
LGT Bank

Conrad is the deputy chief executive for LGT Bank (Singapore). He is a qualified solicitor in England & Wales, as well as an advocate & solicitor in Singapore, having worked previously in a major City law firm in London, and practiced with a leading Singapore law firm. Besides working as an investment banker engaged in regional debt restructuring during the Asian Financial Crisis, he has previously held other senior regional management legal & compliance roles in Asia for other private banking and wealth management units for other leading international financial institutions. He is a founding member of the Compliance Professional Association of Singapore, and a member of the sub-Committee for Compliance of FICS (the advisory body advising on Financial Industry Competency Standards in Singapore). He teaches occasionally at Wealth Management programmes for the Singapore Management University and speaks at regional seminars from time to time. He was conferred the designation of IBF Fellow for Compliance in November 2014 by the Institute of Banking and Finance Singapore.


Evelyn Koh

Head of Compliance, Asia Pacific Wealth Management and Singapore
RBC Wealth Management

Evelyn joined Royal Bank of Canada as head of compliance APAC Wealth Management and Singapore in mid-2011. Prior to that, she was the Asia regional head of equities compliance for UBS based in Hong Kong for almost five years. She was also with Merrill Lynch for almost 10 years based in Singapore, Bangkok and Hong Kong, with responsibilities for derivatives compliance for the Asia Pacific region and country compliance coverage for Thailand, Korea, India, Taiwan, Singapore and Australia. With over 20 years of dedicated Compliance experience, Evelyn has a strong background in product advisory, private banking, strategic development of Compliance framework and teams.


Jack Wang

Partner
Lexico

Jack Wang is a qualified Certified Public Accountant (CPA Singapore) and Chartered Accountant (CA) by training. He is currently the Chairman of the Young Accountants Group of the Institute of Certified Public Accountants of Singapore (ICPAS). He holds the Chartered Financial Analyst (CFA) designation and is a current board member of Global Corporate Disclosure Board for CFA, USA. He started his career with PricewaterhouseCoopers (PwC) where he obtained extensive professional experience in areas of financial audits and advisory engagements for various listed companies and MNCs. He was a former Citibanker for the Greater China Region (China, Taiwan & HK) with Citibank N.A. where he managed and advised successful entrepreneurs with a networth of at least USD10 million on their investment strategies and family business planning. Assets under his management exceeded USD100 million.



Gerallt Owen

Head of International Regulatory & Corporate Crime
Withers

Gerallt Owen is a partner in Withers' Singapore office. He focuses on domestic and international investigations, fraud, corporate crime, disciplinary proceedings and regulation. Gerallt has advised on high profile investigations and proceedings brought by the Serious Fraud Office, DBIS, HM Revenue & Customs, the Crown Prosecution Service, HSE, Lloyd's of London, Trading Standards departments, OFT, FRC, PRA and the Financial Conduct Authority. Gerallt also advises corporations and financial institutions in respect of regulatory compliance issues. He has been an intervention agent for the Solicitors Regulation Authority and is a member of the Disciplinary Panel of The Academy of Experts. Gerallt has extensive experience in dealing with high profile and complex fraud, insider dealing, market abuse and corruption investigations and prosecutions. He has particular experience in dealing with multi-jurisdiction investigations. Gerallt has been listed in 'The Lawyer HOT 100' and is recommended by Chambers & Partners Global Guide 2014 in both the UK and Singapore sections as a Foreign Expert Based in Singapore, for Dispute Resolution. 'The 2013 and 2014 editions of Legal 500 recommended Gerallt again for fraud work, specifically; white collar crime, corporate and civil and regulatory. Gerallt is included in Expert Guides 2014. He has also recommended for Fraud work in 'Best Lawyers' and by Legal Experts for both white collar crime and tax- VAT and Customs & Excise. He is recommended in three areas of law in the International Who's Who Legal 2014 for Business Crime Defence, Asset Recovery and Investigations. The team Gerallt leads won Business Crime team of the Year in the Finance Monthly Global Awards 2014. Gerallt also won Business Crime Lawyer of the Year, Singapore in the Finance Monthly Law Awards 2014. He was previously inaugural Chairman of the Young Fraud Lawyers Association.



Julia Leong

Partner, Risk Assurance Practice (Financial Services)
PwC

Julia Leong is a financial services partner with the risk practice of PwC Singapore. She helps financial institutions transform their business operations and manage the risks of transformation as a result of either strategic or regulatory changes. She has helped clients deliver and manage change such as evaluating business cases, translating regulatory requirements into operational requirements, designing new target operating models and new business process to support the new ways of working brought by changes in the business, and managing the risks associated. She is also the key client relationship partner for a number of international financial services institutions that include private banks. Julia is a Chartered Accountant with the Institute of the Chartered Accountant in England and Wales.



David Stone

Director, Structuring & Product Development, Asia
Amicorp Group

David commenced with Amicorp in November 2007 with APAC regional responsibility for group products and structuring. He later assumed responsibility for Singapore operations from 2009 to mid-2011. David has had an extensive career in international taxation in excess of 20 years. This time includes serving as a Director of the Arthur Andersen Tax Division in Australia and Malaysia, the regional head of taxation (and subsequently Financial Controller for South Asia and the Subcontinent) for United Parcel Service Inc and advisor to a wealthy Indonesian family. David has significant experience with cross border investments and movement of individuals in respect of Australia. David has bachelors of economics and law and has been residing in Asia for 15 years.



Kristen Tiner

Head of Risk Segment, Asia

Thomson Reuters

Kristen is the Head of Risk Segment, Asia Pacific for Thomson Reuters Financial & Risk Business. Her remit is to represent the three sectors of products in the Risk Business in APAC – Enterprise Risk Management, Financial Crime & Reputational Risk and Pricing & Reference Services. Previously Kristen served as a Strategic Sales Director within the Risk Business. Her remit was across industries in North Asia with a special focus on the global financial services community and its regulatory compliance, risk, audit & controls functions. She moved to Hong Kong in 2012 from New York where she was a Major Account Director for Banking & Securities at Thomson Reuters Governance, Risk & Compliance Group. Kristen came to Thomson Reuters through the Complanet acquisition as one of the original Governance, Risk & Compliance employees. Prior to beginning her work in compliance & risk she worked for Gartner, Inc in New York on large technology infrastructure projects for media companies and professional sports leagues. Kristen is a member of the Women in Finance Steering Committee and volunteer-coaches hockey at the Hong Kong Football Club. She is a graduate of the Stephen M. Ross School of Business at the University of Michigan, holding a BBA with distinction in Business Administration and a BA in English. She is an avid snow skier, hockey player and traveler.



Nizam Ismail

Partner, RHTLaw Taylor Wessing LLP

Director, RHT Compliance Solutions

Nizam is a Partner of RHTLaw Taylor Wessing and is a Director of RHT Compliance Solutions, a dedicated financial services compliance consultancy/solutions provider. He has had 20 years of experience and expertise in financial services regulatory compliance and litigation. He was Executive Director and Head of Compliance for South-east Asia in Morgan Stanley Singapore. Nizam was also formerly Senior Vice President and Head of Compliance for South-east Asia at Lehman Brothers Singapore, Executive Director (Legal and Compliance) in Nomura Singapore and Senior Legal Counsel of Citigroup (Corporate and Investment Bank). Nizam's area of compliance coverage included markets, investment banking, corporate banking, private banking and asset management. Nizam's product coverage included fixed income, equities, commodities, currency, rates, derivatives, futures, structured deposits. Nizam spent six years as a regulator at the Monetary Authority of Singapore (MAS), where he was Deputy Director and Head of the Market Conduct Policy Division. There, Nizam worked on various policy reviews relating to the capital markets, including various policy reviews leading to the enactment of the Securities and Futures Act, the Financial Advisers Act, Trust Companies Act and the Business Trust Act. Nizam also conducted a review on the application of competition law on financial services. Nizam also worked with other international financial services regulators on a variety of cross-border regulatory projects. The policy reviews that Nizam oversaw at MAS included: (1) revamp of regulatory framework on markets/recognized market operators, (2) dual currency investments, (3) credit card solicitation rules, (4) disclosure requirements for investment products, (5) rationalisation of wholesale/retail investors, (6) extra-territorial application, (7) regulation of traded life/endowment policies, (8) civil penalty regime for market misconduct, (9) review of insider trading, (10) licensing and business conduct issues, (11) policies behind regulation capital markets intermediaries, (12) implementation of recommendations of Corporate Law and Regulatory Framework Committee (CLRFC). At the MAS, Nizam also worked on policy issues relating to corporate governance issues. Issues include: (1) review of corporate governance code, (2) quarterly reporting, (3) disclosure of operating and financial reports by listed companies and (4) drafting of the Code of Corporate Governance for listed companies. Having graduated from the NUS Law School in 1991 on a Public Service Commission Local Merit Scholarship, Nizam started his legal career as Deputy Public Prosecutor/State Counsel at the Commercial Affairs Department, where he prosecuted high-profile corporate and market misconduct cases including insider trading, market rigging and fraud.



Patrick Dreyfuss

Managing Director, Chief Operating Officer of Wealth Management
DBS Bank

Mr Patrick Dreyfuss joined DBS Bank in October 2014 as Chief Operating Officer of the Wealth Management Group upon the successful acquisition of the Asian private banking business of Societe Generale. He joined Societe Generale Private Banking Asia (SGPB Asia) in 2004, where he was responsible for the successful spin-off of the private banking operations into a new legal entity – Societe Generale Bank & Trust (Singapore branch), and the set-up of a regional hub dedicated to private banking in Singapore. Prior to joining DBS, Patrick was Regional COO of SGPB Asia and was also Deputy Regional CEO since March 2011. He also acted as Project Director for Societe Generale when DBS announced its plans to acquire the French bank's private banking franchise in Asia. Prior to his appointments in Asia, he was with the Société Générale Group in Paris, France where he worked in the inspection department, responsible for high level audit & consulting assignments worldwide. Patrick has over 18 years of experience working in the financial sector, mainly in France, Luxembourg and Singapore. Patrick is a French national and holds a degree from SUPELEC, a renowned engineering school in France.



Vincent Koo

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

Mr. Vincent Koo joined BNP Paribas Wealth Management Asia Pacific in September 2011 as Regional Head of Wealth Management Compliance. Prior to joining BNP Paribas Wealth Management, Vincent worked for various international institutions in audit and compliance roles including Deloitte & Touche, Hang Seng Bank, UBS, Citibank and most recently RBS Coutts.



Rajesh Sreenivasan

Partner, Head of Technology Media & Telecoms
Rajah & Tann Singapore LLP

Rajesh Sreenivasan has been advising clients on matters relating to data protection, telecommunications, electronic commerce, IT contracts, digital forensics and digital media for over fifteen years. His clients include state governments and multinational corporations in the telecoms, computer hardware and software sectors government linked companies and statutory boards. On the regional front, Rajesh has been engaged by the ASEAN Secretariat to facilitate a pan-ASEAN forum on legislative and regulatory reforms to collectively address convergence of IT, telecoms and broadcasting across all 10 member countries and by the Commonwealth Secretariat to co-lead an e-government capacity building exercise involving all member Caribbean nations. Rajesh is also the contributing author for the Singapore Chapter of Sweet & Maxwell's Data Protection Laws of the World since 2010.



Rolf Haudenschild
Principal Compliance Consultant
Maroon Analytics

Rolf Haudenschild, Principal Compliance Consultant, has over ten years of working experience with law firms and in legal and compliance departments of the financial regulator and international banks in Switzerland and Singapore. Rolf has worked in various areas of financial law and regulation. He lead numerous assessments of structures and operations of financial services providers, participated in a multijurisdictional assessment of risk management procedures, participated in the drafting of regulation on capital requirements and became an expert in anti-money laundering and delegate on corruption. In addition, he has been involved in major corporate governance initiatives. Rolf is a Swiss qualified attorney at law and holds a LLM in International Financial Law from King's College London, England as well as a Master in Law from the University of Bern, Switzerland.



Stefan Kuhn
Head of Compliance, Private Banking, Southeast Asia
Credit Suisse Private Banking

More than 15 years of business experience in the financial industry with a strong focus on Governance and Compliance. International exposure to different business and regulatory environments spanning from Europe to Asia and the United States. Current coverage: Africa, Middle East and Asia (based in Singapore). Established track record of initiating, setting and implementing policies and procedure on a global scale working with multiple stakeholders. Acted as liaison for both internal and external audits in different organizations. Strong interpersonal skills with very good communication skills and strong ability to influence and manage objectives in partnership with various stakeholders.



Steve Knabl
Managing Partner
Swiss-Asia

Steve Knabl is a Swiss national with more than 15 years of experience in financial services field at general management level. He attended the "Faculté des sciences Economiques" of University of Neuchatel, and continued to acquire a BSc in International Hospitality Management at the Ecole Hôtelière de Lausanne - Haute Ecole Spécialisée. Steve has an in-depth knowledge of brokerage and trading operations as well as experience and proficiency in project coordination and operational implementation of complex business strategies. His very diverse experience over the years as Head of Trading and Treasury Operations has allowed him to acquire extensive product knowledge with a wide experience in diverse businesses and business processes that enable him to efficiently translate visions into action. Leadership of teams in diverse business lines are also his forte. Joining Swiss-Asia group as Chief Operating Officer in February 2008, Steve has taken on responsibility encompassing deal and project negotiation, structuring of Funds and Private Wealth Management deals in Asia, Operations Management, Legal & Compliance, Technology, Finance, HR, Due Diligence processes and Structural Risk Management for the firm as a whole. By focusing on carefully managing the processes, Steve ensures that business operations are efficient, effective and compliant with applicable regulations.



Kwong Wing Leon
Head, Tax
KhattarWong LLP

Kwong Wing has been with KhattarWong since 1997. He gives advice on income tax, property tax, goods and services tax, and stamp duty. He defends taxpayers in audit and investigation cases, pursues objections against Revenue assessments and valuations, and acts as counsel in hearings at the Review Boards and in the Courts. He is the General Editor of Income Tax and co-author of Stamp Duties in the standard reference work, Halsbury's Laws of Singapore. Kwong Wing is also one of the authors of The Law and Practice of Singapore Income Tax. He is recommended in The Legal 500 Asia Pacific, the Tax Directors Handbook and the CityWealth Leaders List. He is a tutor for the Singapore Institute of Legal Education on the Singapore Bar course.



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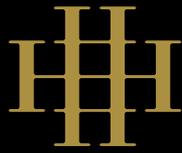
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For more information, please visit: www.heritagetg.com

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About Vermilion Software

Vermilion Software (Vermilion) is a leading global provider of client reporting technology and services to the asset management industry.

The Vermilion Solution, Vermilion Reporting Suite, is designed to deliver accurate, flexible, and scalable client reporting and communications, empowering client service professionals to deliver multi-lingual, graphical, marketing-quality reports that are created through an automated process.

Vermilion Reporting Suite (VRS)

VRS is a one-stop browser based solution designed to address all critical business issues within the client reporting cycle. By selecting VRS, Asset Management Wealth firms benefit from a fully automated client reporting process, whatever the business environment. The system is designed to easily integrate into existing and established business processes, from high-touch, low-volume to low-touch, high-volume processes. Using VRS, firms can easily provide a transparent, value-added service for their clients as well as keeping abreast of regulatory requirements and internal business demands. VRS offers the flexibility for asset managers to choose how they want their reports to be presented to each client in terms of format, branding and the ability to drill through the charts to the underlying raw data.

Vermilion Reporting Suite (VRS)

A single solution for the automation of complex and high volume reporting

VRS is designed to fit into existing and established business processes and is underpinned by a total process audit feature, satisfying corporate demands for compliance, marketing requirements for branding and business requirements for the delivery of timely, accurate and professional reports. Comprising six key integrated services: Workflow Service; Data Gateway Service; Commentary Service; Report Generation Service; Distribution Service and Account Management Service, VRS delivers a transparent and proven method of streamlining the entire client reporting process.

Vermilion Reporting Portal

The Vermilion Reporting Portal (VRP) is a fully secure, highly scalable and customizable front-end web portal, designed to be both business-user and customer facing as a natural extension of Vermilion Reporting Suite (VRS), delivering Client reports and data direct to your clients.

NEW Release

Vermilion Slide Sorter and Ad-hoc Reporting tool

Vermilion has just release its VSS solution; this will enable clients to create custom presentations from pre-defined slide library's using an intuitive film strip interfaces.

VRS is available as a hosted service, or an in-house installation.

Additional services that enable our clients solve current and future problems include:

Hosting service - if required, we offer a secure and cost-effective hosting service with cloud infrastructure accessible

by your browser from any location. With full security, failover and backup measures in place to ensure peace of mind for our clients, our hosting service is ISAE3402, ISO90001 and ISO27001 accredited. Independent penetration tests are regularly scheduled to ensure our platforms remain secure.

Translation service - Automation of Translating Services can be achieved through VRS by or partnership with a market leading corporate translation specialist, who offers report translation into any language.

This semi-automated service integrates with VRS's Workflow Service to ensure that translations are fully signed-off and delivered on time.

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Vermilion Reporting Suite (VRS) is a one-stop, browser-based solution designed to address all critical business issues concerning client reporting and client communications.

Key benefits:

- ✓ Reduced time to market
- ✓ Improved client retention
- ✓ Increased margins
- ✓ Reduced operational risk

VRS delivers a transparent and proven method of streamlining the entire client reporting process. Please join us on our stand to find out more.

Established in 2003, Vermilion Software was one of the early pioneers of specialist reporting systems. An independent firm with strong financials, Vermilion continues to invest heavily in its product. It has offices in London, Boston and Singapore.

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Hubbis augments formal courses with over 200 hours of live-learning content that ranges from expert articles and interviews to engaging presentations from Hubbis' highly acclaimed Wealth Management events. Each training course and many of the additional materials are in modules of 30 and 60 minutes for CPT/CPD and all Hubbis modules are assessed prior to completion to assist in demonstrating user's learning success for regulatory reporting.

ANALYSE RESULTS

Reporting

The Hubbis system allows the recording and reporting of all online and offline internal and third-party training in order to provide a complete training record for each individual. The Hubbis e-learning platform also offers a dedicated reporting feature enabling HR and/or compliance managers to generate customised data sets to match both internal and regulatory training reporting requirements.

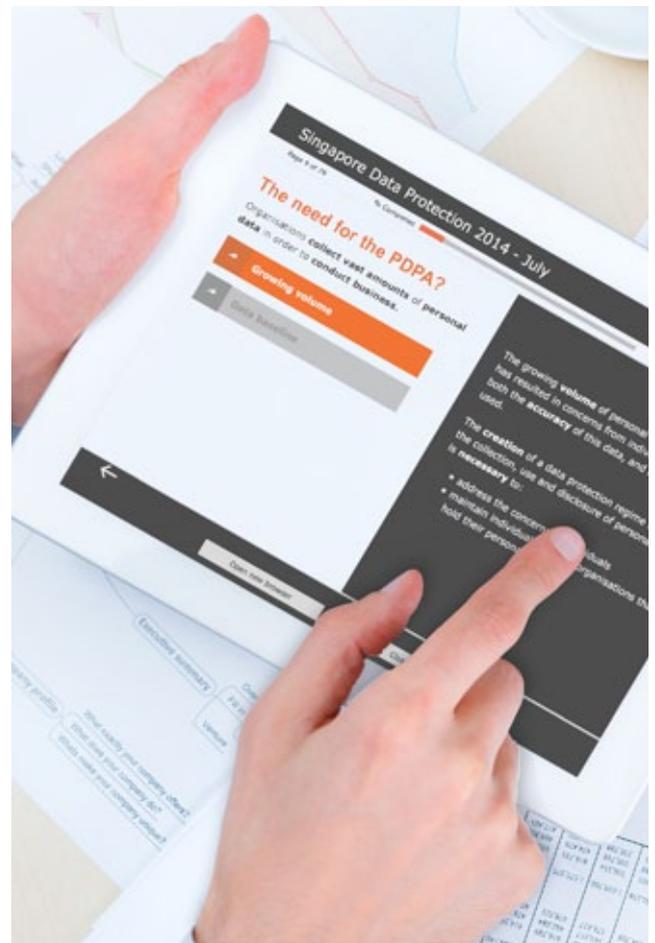
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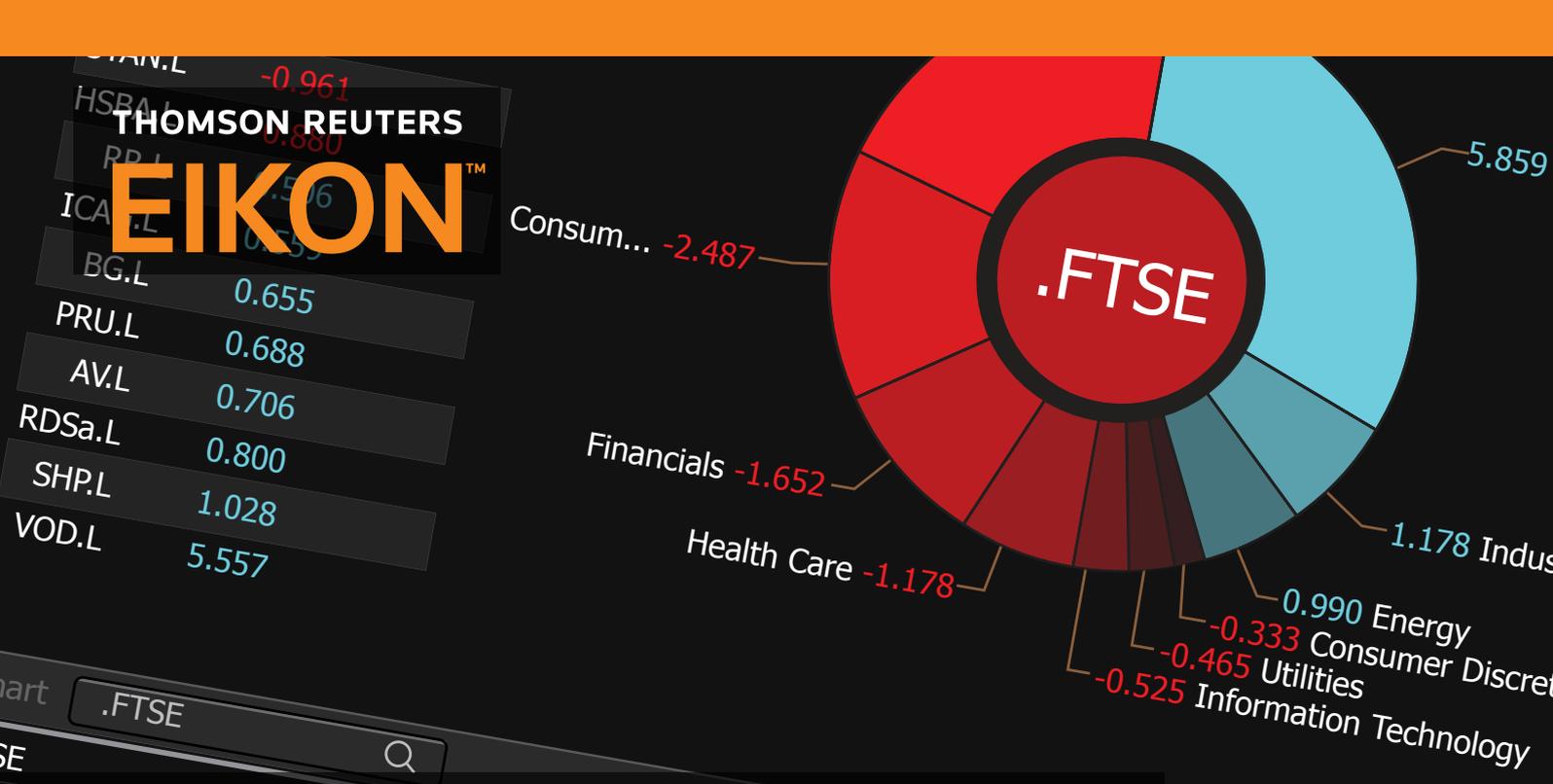
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