

Independent Wealth Management Forum 2015

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WELCOME

We are delighted to host our 3rd annual **Independent Wealth Management Forum 2015** today in Singapore.

The number of independent firms of varying types and business models in the region is still relatively small. But the need to service the business and personal investment aspirations of families – both inside and outside of Asia – is also spurring more interest in developing the right approach to advising these clients.

Despite the potential for independent firms to be more successful, and grow in size and number – they face various challenges: clear definitions of each type of organisation; clarity over fee models; attracting more competent and experienced advisers from private banks and elsewhere to grow their businesses; and creating appealing investment prospects for Asian families.

Against this backdrop, this event is designed to explore the reality of the Asian opportunity for independent wealth management – both via investment strategies and trends, as well doing business profitably and sustainably in the region.

Senior management at leading independent wealth managers, family offices and other relevant organisations will share their views on how to make the most of this potential – as well as avoid the pitfalls – in advising HNW and UHNW, sourcing interesting investing opportunities, structuring their wealth, accessing local clients, and creating more connectivity between Asia and elsewhere.

The agenda includes targeted presentations and panel discussions to cover these issues and others – all of which are key for the development of a bigger independent wealth management sector in Asia.

We are also video-recording the presentations and writing up content from the discussions – and will send this to you.

We are delighted to host this must-attend fixture in the region's wealth management calendar. Thank you for your support and attendance. We hope you enjoy the forum.

Agenda-at-a-glance

Morning

- 9.00am** **Welcome Address by Michael Stanhope**
- 9.05am** **Panel Discussion**
Creating a real value proposition for independent wealth management in Asia
- 9.50am** **Presentation**
Revolutionary technology in consolidation and analytics: is the back-office extinct?
- 10.05am** **Presentation**
What do top advisers say and what do investors really think?
- 10.25am** **Refreshments & Networking**
- 10.55am** **Panel Discussion**
Do independent firms really deliver better advice than the banks?
- 11.35am** **Presentation**
Creating a new investment experience
- 11.55am** **Presentation**
Is there space for a platform market in Asia and what will the catalysts be for the emergence of such structured investment offerings?
- 12.15pm** **Panel Discussion**
Improving the investment proposition and wealth structuring for Asian Families
- 12.55pm** **Lunch**

Afternoon

- 1.40pm** **Panel Discussion**
Dealing with the burden of compliance on independent firms
- 2.25pm** **Presentation**
Outsourcing
- 2.45pm** **Presentation**
Promising venture capital opportunities in India
- 3.05pm** **Presentation**
Accessing China's A Share market through domestic Sunshine Managers
- 3.25pm** **Refreshments & Networking**
- 3.50pm** **Presentation**
Current residence and citizenship options for wealthy families
- 4.15pm** **Panel Discussion**
Servicing the demand from the rest of the world
- 5.05pm** **Forum Ends**

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Full Agenda

8.40am **Registration**

9.00am **Welcome Address**

Michael Stanhope
Chief Executive Officer & Founder
Hubbis

9.05am **Panel Discussion**

Creating a real value proposition for independent wealth management in Asia

- *What are the key drivers in developing the independent wealth management industry in Asia?*
- *Can the independent industry really grow? Does it matter if it doesn't?*
- *Have the definitions of IAMs, single family offices and multi-family offices changed? Do they need to?*
- *Is there too much overlap between definitions?*
- *Should there be more clarity on who does what? How many family offices are really family offices?*
- *What's the game that plays to the strengths of independent firms?*
- *What should firms realistically be looking to achieve in terms of profitability?*
- *How have fee models evolved? Does one type make more sense than any other?*
- *What's on the horizon when we think about fees? In terms of what we charge and how we charge it?*
- *Is there more need for consistency and transparency?*
- *Why is there a shortage of people who come into this business? What types of individuals are best suited?*
- *How can the industry overcome this?*
- *Does the corporate culture make any difference?*
- *What will be the big trends in independent wealth management in 2015? And over the next 3 to 5 years?*
- *Where do you expect the biggest game-changers to come from?*

Chair **Michael Stanhope**
Chief Executive Officer & Founder
Hubbis





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Panel

Anthonia Hui

Chief Executive Officer
AL Wealth Partners

Urs Brutsch

Managing Partner & Founder
HP Wealth Management

Lucie Hulme

Chief Executive Officer
TriLake Partners

Steve Knabl

Managing Partner
Swiss Asia

James Dougall

Managing Director, Geneva & Bangkok
Secure Wealth Management

Philipp Piaž

Partner
Finaport

9.50am

Presentation

Revolutionary technology in consolidation and analytics: is the back-office extinct?

Tanmai Sharma

Founder & Chief Executive Officer
Mesitis

- *200 bank statements in PDF - 15 minutes*
- *Curious case of missing US\$2 million*
- *Computers vs humans: -75% cost*
- *Data visualisation as a client acquisition tool*

10.05am

Presentation

What do top advisers say and what do investors really think?

Mark Nelligan

Chief Executive Officer, Singapore
Pershing Securities

- *Which value propositions really work?*
- *How investors decide*
- *Know your audience*
- *Planting your flag*



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10.25am Refreshments & Networking

10.55am Panel Discussion
Do independent firms really deliver better advice than the banks?

- *Are independent firms really the go-to people in a time of need?*
- *How can you stand out from the crowd? Especially when you don't have a global brand?*
- *What matters most – you or the brand?*
- *How can you ensure you provide value for money?*
- *What's the challenge to adding value – and how can you achieve this?*
- *Why is an independent firm an attractive platform for private bankers and clients?*
- *How do you select the right custodian client for different types of clients?*
- *One-stop-shops versus specialist advice – knowing what you want and how to deliver it*
- *What does a holistic approach look like in Asia today?*
- *Making the most of your individual relationships*
- *How to set up and run your own independent wealth manager?*

Chair **Michael Stanhope**
Chief Executive Officer & Founder
Hubbis

Panel **Mandeep Nalwa**
Founder, Chief Executive Officer
Taurus Wealth Advisers

Dr. Ekkehard J. Wiek
Managing Partner
Straits Invest

Stephen Fisher
Chief Investment Officer
First Degree Global Asset Management

Audrey Lo
Managing Director
ALPS Advisory

Mark Nelligan
Chief Executive Officer, Singapore
Pershing Securities



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Ask us how we can help you transform your business for a changing global environment.

Singapore

Lila Meng

lila.meng@pershing.com

+65 6432-0291

Sydney

Robert Forbes

rjforbes@pershing.com

+612 8999-4050

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*Global Finance rankings, "World's Top 50 Safest Banks," September, 2014

11.35am **Presentation**
Creating a new investment experience

David Schmid
 Chief Executive Officer and Managing Director, Asia
 Leonteq Securities

- *Leonteq Securities - next generation structured products*
- *Redefining the origination and distribution of investment products in Asia*
- *Leonteq-DBS partnership model*

11.55am **Presentation**
Is there space for a platform market in Asia and what will the catalysts be for the emergence of such structured investment offerings?

Christopher Faddy
 Managing Director, Head of Distribution Managed Investments – Asia Pacific
 BNY Mellon

In this discussion, Chris Faddy will address key findings from the recently-published White Paper “Towards More Structured Investment Offerings”. This paper involved interviews with over 35 senior private bankers and covered a wide range of topics including:

- *The emerging demand for discretionary*
- *The challenges of taking on third-party infrastructure*
- *The likely catalysts for change*
- *The areas where platforms will be most successful*
- *Education*

12.15pm **Panel Discussion**
Improving the investment proposition and wealth structuring for Asian Families

- *Innovative Asian investment solutions for wealthy Asian families*
- *Tailor-making opportunities and accessibility*
- *What sort of asset allocation strategies should families consider – including to protect against risk?*
- *Helping families get more access to capital markets and other investment opportunities?*
- *Facilitating club deals*
- *Property and alternative investments*
- *What’s the best exit?*
- *How do you see the insurance market and product offering developing, especially for Asian Families?*
- *How would you compare a Wealth Structuring Vehicle such as PPLI to holding assets in a Trust, Foundation or BVI company, in relation to holding assets for Asian Families?*
- *How can investors ensure their portfolios are tax efficient?*

Chair **Michael Stanhope**
 Chief Executive Officer & Founder
 Hubbis



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Orios Venture Partners is a technology focused early stage Venture Capital fund in India that backs ventures focused on e-consumers and Software/SaaS products. The fund takes a platform approach to help build highly successful companies. The founding team has been investing since 2008 with a stellar track record including leading investments into OlaCabs, Druva and Jigsee (VuClip); the current team consists of 12 members with cross-domain experience.



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Panel	<p>Roxanne Davies Managing Director Parly Singapore</p> <p>Jim Huang Founder Tennou Capital Management</p> <p>David Varley Head of High Net Worth - Asia AXA</p> <p>Jakob Nilsson Head of Business Development - Asia Pacific Hermes Investment Management</p> <p>Tanmai Sharma Founder & Chief Executive Officer Mesitis</p> <p>Vikas Gattani Founder & Chief Executive Officer Progress Capital</p>
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12.55pm **Lunch**

1.40pm **Panel Discussion**
Dealing with the burden of compliance on independent firms

- *What are the biggest challenges to become fully compliant within Singapore's wealth management landscape?*
- *Putting sufficient reporting mechanisms in place*
- *Meeting the need for robust tax reporting – and ongoing checks & balances*
- *Dealing with audits*
- *The best ways to tackle stringent cross-border marketing restrictions*
- *What are the key compliance pain points in 2015 – and how can you deal with them?*

Chair **Michael Stanhope**
Chief Executive Officer & Founder
Hubbis

Panel **Alice Lee**
Compliance Manager
Chartered Investment Managers

Rolf Haudenschild
Principal Compliance Consultant
Maroon Analytics

Jack Wang
Partner
Lexico

2.25pm **Presentation**
Outsourcing

Patrick Donaldson

Market Development Manager - Wealth, ASEAN. Financial & Risk
Thomson Reuters

- *Leveraging technology*
- *What can be outsourced?*
- *Staying compliant*

2.45pm **Presentation**
Promising venture capital opportunities in India

Rehan Yar Khan

Managing Partner & Founder
Orios Venture Partners

- *Opportunities and challenges*

3.05pm **Presentation**
Accessing China's A Share market through domestic Sunshine Managers

Chao Li

Portfolio Manager, Hermes Greater China
Hermes Investment Management

- *China A shares – pros and cons of active versus passive approach*
- *Active management – pros and cons of Sunshine managers*
- *Accessing Sunshine managers for China A share exposure*

3.25pm **Refreshments & Networking**

3.50pm **Presentation**
Current residence and citizenship options for wealthy families

Dr Juerg Steffen

Head Asia Pacific
Henley & Partners

- *Explanation of the topic "Residence and Citizenship Planning"*
- *Overview of the current residence options from an Asian perspective*
- *The world's most interesting Citizenship-by-Investment options*



4.15pm **Panel Discussion**
Servicing the demand from the rest of the world

- *What interest is there from wealthy individuals and non-Asian businesses in this region's numerous industrial, investment and structuring opportunities?*
- *What do these clients want to achieve?*
- *Which types of assets are in most demand?*
- *How can you help them find "value assets"?*
- *Providing the right connectivity for non-Asian clients in Asia*
- *What are the structuring considerations for these clients?*
- *How can you help them with their long-term business planning in Asia?*
- *Navigating global tax transparency*
- *Advising your clients in a new era of regulation and compliance*

Chair **Michael Stanhope**
Chief Executive Officer & Founder
Hubbis

Panel **Yai Sukonthabund**
Partner
Crossbridge Capital Asia

Federico Donato
Chief Executive Officer
FFA Asia

Dr Juerg Steffen
Head Asia Pacific
Henley & Partners

John Berry
Business Development Director
Asia Plantation Capital

5.05pm **Forum Ends**

Speaker biographies



Alice Lee
Compliance Manager
Chartered Investment Managers

Alice Lee started out as a legal and compliance person in the alternative investments industry in 2006 and is currently in the asset management industry. During her tenure, she has assisted fund managers in setting up funds in Singapore, made a landmark licence application in Singapore for a commodities trading licence in CFDs (spot gold/silver) and was involved in the acquisition process of Eurekahedge Pte Ltd to Mizuho Bank.



Anthonia Hui
Chief Executive Officer
AL Wealth Partners

Anthonia Hui is a self-made success story who started from humble beginnings. She is the co-founder of AL Wealth Partners (ALWP) Pte Ltd, a specialty firm providing independent wealth advisory, fund management and multi-family office services, which holds the Monetary Authority of Singapore (MAS) Capital Markets Services License for global accredited and institutional investors. As a trusted advisor to families, Ms. Hui manages three to four generations of wealth and takes on board key family office functions. Ms. Hui has achieved great success and recognition in the international private wealth management arena with her exceptional drive, determination and perseverance. Ms. Hui is a former top banker in major international banks including Coutts, Credit Suisse, BNP Paribas and Citigroup, with over three decades of experience in private banking, wealth management and family offices in London, Paris, Zurich, Hong Kong and Singapore. Her in-depth, multidisciplinary knowledge and experience have given her international insights that few bankers can claim. Ms. Hui co-founded the Association of Independent Asset Managers (AIAM) in Singapore with other like-minded members, a professional body of Independent Asset Management (IAM) firms, to support the nation's drive to be a leading global wealth management center. As President, Ms. Hui leads initiatives to assist members in promoting industry best practices as well as understand and meet regulatory issues related to IAM's independent business model. In November 2014, Ms. Hui was conferred the title of "IBF Fellow" by the Institute of Banking and Finance (IBF), the standard-setting body for financial sector competencies in Singapore. The "IBF Fellow" is launched to recognize professionals who are key practitioners and thought leaders in the financial industry. Ms. Hui is credited for her exemplary role in developing the private banking and independent asset management (IAM) industries in Singapore. Ms. Hui was involved in setting up and implementing the "Financial Industry Competency Standards" (FICS), a benchmark-setting framework for professional achievement in the wealth management industry. The FICS is initiated and supported by MAS/IBF, where Ms. Hui is an active member in the Advisory Committee. Ms. Hui is also committed to grooming talent in the industry. She is a leader and influencer in the banking community and is frequently invited to speak at universities and investment bodies both in Singapore as well as abroad. She lectures in workshops, seminars and courses to mentor students and professionals in wealth management and has contributed significantly in the design of professional courses and curriculum. In addition, Ms. Hui also advises on restructuring of wealth management practices for financial institutions. She is a frequent speaker in international private wealth management and family office forums.



James Dougall
Managing Director, Geneva & Bangkok
Secure Wealth Management

James Dougall, CFA, is founder and principal asset manager of Secure Wealth Management. James has over 13 years' experience in asset management, primarily managing discretionary client portfolios. James has over 25 years' experience advising institutional investors, hedge funds and private clients. Amongst other roles, he held the position of Executive Director with UBS AG and Director with Deutsche Bank AG. James is a CFA Charter holder, a Chartered Financial Planner and a CFP (Certified Financial Planner). He holds a Masters in Management (with distinction) from the EAP (Ecole Europeene d'Affaires), a German business degree (Diplom Kaufmann) and a French business degree (Diplome de Grande Ecole de Gestion).



Christopher Faddy

Managing Director, Head of Distribution Managed Investments – Asia Pacific
BNY Mellon

Chris Faddy is Managing Director and Head of Distribution for Managed Investments – Asia Pacific at BNY Mellon. He is responsible for driving business development for the company's new managed accounts offering throughout the region. He is also responsible for identifying and developing relationships with local asset management firms, as well as building out the wholesale sales team and overseeing local marketing efforts. Chris has over 22 years of financial services and asset management experience. Most recently, he was Managing Director, Head of Distribution for Asia, excluding Japan, at Credit Suisse Asset Management in Singapore and was a member of the regional leadership team. Prior to this, Chris was Director, Head of Distribution at Barclays Capital Fund Solutions, Asia, where he led the fund and managed accounts business for all channels across Asia. He was also previously an Executive Director with Goldman Sachs JBWere in Australia. Earlier in his career, he held other senior business development roles with Skandia and BT Portfolio Services. Chris is a fellow of The Financial Services Institute of Australia (Finsia). He holds a Bachelor of Commerce degree from The Australian National University, Australia and a Graduate Diploma (Funds Management) from Finsia. Chris Faddy is Managing Director and Head of Distribution for Managed Investments – Asia Pacific at BNY Mellon. He is responsible for driving business development for the company's new managed accounts offering throughout the region. He is also responsible for identifying and developing relationships with local asset management firms, as well as building out the wholesale sales team and overseeing local marketing efforts. Chris has over 22 years of financial services and asset management experience. Most recently, he was Managing Director, Head of Distribution for Asia, excluding Japan, at Credit Suisse Asset Management in Singapore and was a member of the regional leadership team. Prior to this, Chris was Director, Head of Distribution at Barclays Capital Fund Solutions, Asia, where he led the fund and managed accounts business for all channels across Asia. He was also previously an Executive Director with Goldman Sachs JBWere in Australia. Earlier in his career, he held other senior business development roles with Skandia and BT Portfolio Services. Chris is a fellow of The Financial Services Institute of Australia (Finsia). He holds a Bachelor of Commerce degree from The Australian National University, Australia and a Graduate Diploma (Funds Management) from Finsia.



Chao Li

Portfolio Manager, Hermes Greater China
Hermes Investment Management

Prior to joining Hermes Investment Management, Chao was at Caliburn Capital Partner's Singapore office in 2010, where he undertook investment and hedge fund strategy research for the Caliburn Greater China Fund. Prior to this, Chao worked for OCBC Bank as a product manager for the group's wealth management department, he also worked for Bank of China's Singapore office as an investment consultant for private wealth management. Before joining the finance industry, Chao spent one year conducting scientific research in the Singapore government research agency, A*STAR. Chao graduated from National University of Singapore with a BSc with Honours and Singapore Management University with a Master of Science in Wealth Management. He is also a CFA charterholder. Chao has six years finance industry experience, including two years in wealth management and four years in hedge fund investment.



David Varley

Head of High Net Worth - Asia
AXA

David is Head of High Net Worth for AXA in Asia. He works with private banks, high net worth brokers, family offices, trust companies, lawyers and directly with HNW individuals themselves on wealth structuring and planning solutions within Insurance. His specialist is PPLI/Life-wrapping of assets, and structuring assets and investment strategies for HNW individuals and families. Previously David was Regional Protection and Health Development manager as AXA Asia, which has been seen by the company as a major sector for regional growth. Prior to this, he set up and for four years managed the Axa Hong Kong international brokerage business. He has a Bachelor of Commerce and a Management Honours Degree from Melbourne University. With a published Thesis titled: "Innovate or Die" He lives in Hong Kong with his wife Lisel.


Dr Juerg Steffen

Managing Partner, Singapore and Head Asia Pacific
Henley & Partners

Juerg Steffen is a member of the Executive Committee of the group and is the managing partner of the Singapore office. Juerg has over 20 years experience in the financial services industry. He established and developed a private bank operation for one of the leading banks in Switzerland. Thereafter, he was a director in the cross-border wealth planning department of UBS in Zurich, advising HNWI and key clients in all matters regarding financial, residence and citizenship planning. Before joining Henley & Partners, he was a personal adviser for the members of one of the wealthiest families in Europe and a member of the management board and head of the wealth planning department of a leading private bank in Austria. He wrote and published books about relocating to Switzerland and Austria.


Dr. Ekkehard J. Wiek

Chief Executive Officer, Partner
Straits Invest

Dr. Ekkehard Wiek has been an independent Financial Planner, Portfolio Manager and Fund Manager for 25 years. During this time he set up and managed several licensed financial intermediary companies, first in Europe and then in Singapore. With these he served clients in Europe, South America and Asia Pacific. For more than 15 years Dr. Wiek has initiated and advised numerous white label mutual funds for independent asset managers. Since 2006 he is living in Singapore. Today Dr. Wiek is the Managing Director and Partner of Straits Invest Pte. Ltd., Singapore, a boutique Portfolio Management and Asset Management Company. Amongst other things Straits Invest is offering a platform for private bankers who want to start their independent advisor career or want to set up their own investment fund. Dr. Wiek received a diploma in industrial Engineering and Management from the University of Karlsruhe and holds a PhD from the University of Frankfurt, both Germany.


Federico Donato

Chief Executive Officer and Founding Partner
FFA Asia

Federico Donato is the CEO and founding partner of FFA Asia and currently President of the Italian Chamber of Commerce in Singapore. Born in Brescia, Federico Donato started his career as an analyst in the Corporate Banking division of Sanpaolo Imi Bank in New York, focusing on European corporate clients. In 2005 he moved to Singapore to head the Italian Corporate Desk of Sanpaolo Imi Bank in South East Asia, implementing its business development and enlargement of the loan value towards Italian corporations. In 2006 Federico Donato moved onto the private banking industry, joining Credit Suisse Singapore as a Relationship Manager in the International Wealth Management team. From 2010 to 2012 he was in charge of the European Desk of UBI Capital Singapore, a fund management company providing financial advices to private and institutional clients. Graduated in financial markets from Bocconi University, Federico has been a visiting student at Stern School of Business - New York University.


Audrey Lo

Managing Director
ALPS Advisory

Audrey is founder and CEO of ALPS Group subsequent to the management buyout in December 2002 from Julius Baer Holding Ltd. ALPS is an independent Asset Management firm regulated by the HKSF. Its principal activities include acting as a Multi Family-Family Office for select Asian families to manage their liquid wealth, outside of the families' business operations. Prior to the MBO, she was chairperson and Managing Director of Julius Baer Investment Advisory (Asia) and was responsible for the Asia Pacific private banking business of Julius Baer (since 1995). Before joining the Swiss Group, Audrey's experience had been with North American organisations. She worked with US financial institutions: Bank of America and Citigroup for 14 years (11 with the latter). The first half of these years were in Institutional banking and the last 7 years with Citigroup's Private Banking Group as Asian Family Business, as North Asia Head. Audrey was trained with Price Waterhouse in Toronto and qualified as Chartered Accountant in Ontario, Canada, in 1978. She also worked with Arthur Andersen in Chicago and Hong Kong as a staff consultant from 1978 to 1980. Audrey is married with 2 grown sons. She enjoys reading, swimming and is a qualified yoga instructor.



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 network of at least USD10 million on their investment strategies and family business planning. Assets under his management exceeded USD100 million.



Jakob Nilsson
Director, Head of Business Development, Asia
Hermes Fund Managers

Jakob joined Hermes Investment Management in September 2012 as a director, initially to focus on promoting Hermes investment strategies to large European investors. In January 2014, Jakob re-located to Singapore to head-up Hermes' business development efforts in Asia. Prior to Hermes, Jakob spent 15 years on the sell-side working for Citigroup, Goldman Sachs, Lehman Brothers and Bank of America Merrill Lynch. Jakob started his career as a European equity institutional salesperson and latterly moved to prime brokerage origination. Over the course of his career he has worked with a broad range of asset managers, investors, products and geographies. Jakob holds a Bachelor's degree in Literature from the University of Rochester, New York.



Jim Huang
Founder
Tennou Capital Management

Jim Huang is a seasoned investment professional overseeing opportunities in Asia Pacific. He had worked on Oaktree Capital's private equity team in Singapore looking after Southeast Asia and Australia, mainly origination, execution, and management of portfolio investments. Prior to Oaktree, Mr. Huang also worked on the Real Estate Private Equity platform of Credit Suisse, mainly due diligence, structuring and asset management in Pan-Asia. Other experience includes ANZ Private Capital, HSBC Securities (New York), and Fitch Ratings (New York). As a native Mandarin speaker, Mr. Huang received BA from Cornell University and MBA from University of Chicago.



John Berry
Business Development Director
Asia Plantation Capital

John Berry is Business Development Director at Asia Plantation Capital. He previously worked at Coutts & Co heading up their Asian Foreign Exchange Margin Trading Advisory Desk in Hong Kong. He was also responsible for the structuring and dissemination of derivative product ideas relating to various markets, including Foreign Exchange, Fixed Income, Equities and Commodities. During his time at Coutts & Co, Mr Berry worked in the London office for 18 months, establishing the Structured Product and Derivative Advisory Desk. He began his banking and finance career more than 25 years ago, with the National Westminster Bank in the UK.



Lucie Hulme
Chief Executive Director
TriLake Partners

French national, raised in Singapore, France and Switzerland. Lucie Hulme, Executive Director, is Chief Executive Officer and member of the Investment Committee. She was part of the founding team of TriLake Partners in 2011 and has more than 10 years of experience gained in the independent asset management and private banking industry. Lucie is also Honorary Secretary of the Association of Independent Asset Managers in Singapore (AIAM). Prior to joining TriLake Partners, Lucie was a relationship manager at Société Générale Private Banking (Suisse) S.A. She also worked for the Middle Eastern desk at Cr dit Agricole (Suisse S.A.) and for an independent asset management firm based in Geneva, The Forum Finance Group (Suisse) S.A. Lucie holds a Bachelor of Business Administration from Webster University Geneva and speaks fluent English and French.



Mandeep Nalwa
Founder, Chief Executive Officer
Taurus Wealth Advisors

Mandeep is a wealth adviser with over 16 years of banking experience. He has managed high net worth client relationships across Asia with leading private banks like Deutsche Bank, HSBC, Merrill Lynch and Citibank. He has been the primary adviser on large client portfolios and has been responsible for suitable development and implementation of customised investment advice and portfolio management. Prior to setting up Taurus Wealth Advisors, Mandeep had spent most of his career with various private banks in the Asia-Pacific region with specific exposure to equities, fixed income, currencies, derivatives and managed assets. As the chief executive officer of Taurus Wealth Advisors in Singapore, advising high net worth individuals within the framework of a multi-family office, Mandeep has successfully built up a team of experienced financial advisers, providing unbiased investment advice to the wealthy with total assets under advice currently in excess of US\$600 million. Mandeep is a member of the founding committee of the Association of Independent Asset Managers (AIAM) in Singapore. He is an alumnus of the Indian Institute of Management, Ahmedabad, India and the Srimam College of Commerce, Delhi.



Mark Nelligan
Chief Executive Officer, Singapore
Pershing Securities

Mark Nelligan is Pershing's senior business representative in Asia Pacific. He is based in Singapore and is responsible for relationship management and business development in the region. He is a member of BNY Mellon's Asia Pacific Executive Committee and is chief executive officer of Pershing Securities Singapore Private Ltd, which holds a capital markets license to service Singapore financial intermediaries. He has nearly 20 years of financial services experience. Mark joined Pershing in October 2002 from ING Barings, Singapore, where he was the chief operating officer with responsibility for the bank's commercial and investment banking operational support platform in South East Asia, Vietnam and India. Prior to this, he held several senior operational roles in Hong Kong, India and London. He is a Fellow of the Institute of Chartered Accountants in England & Wales (FCA, ICAEW) and a graduate of Jesus College, Cambridge University.



Philipp Piazz
Partner
Finaport

Philipp is highly motivated, and backed by extensive expertise in financial and asset management acquired predominantly in Asia. He has been in Singapore since 2001, and his entrepreneurial spirit has allowed for quick development of solutions to a variety of challenges spanning across markets, with specialised focus on Thailand. Before joining Finaport in Singapore in 2009 as co-founder and managing partner, Philipp worked at Deutsche Bank Private Wealth Management in Singapore, and Credit Suisse Private Banking in Singapore and Zurich.


Rolf Haudenschild

Principal Compliance Consultant
Maroon Analytics

Rolf Haudenschild is the Principal Compliance Consultant of Maroon Analytics. He has over 10 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 multi-jurisdictional 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. He has also been involved in major corporate governance initiatives. In his position as Principal Compliance Consultant of Maroon Analytics, Rolf is supporting financial institutions in Singapore in their compliance tasks and performing internal audits. In addition, Maroon Analytics is the local co-operation partner of BRP Bizzozero & Partners SA, the global leader regarding compliance in cross-border financial activities. 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.


Roxanne Davies

Managing Director
Parly Singapore

Roxanne Davies is the Managing Director of Parly Singapore PTE Ltd. Previously she held the position of Deputy General Manager at Parly Company SA heading investment advisory and research. Her previous roles were senior management and investment advisory roles at UBP, Lightyear Capital and HSBC specialising in alternative assets, and, doing specialized consulting work for hedge funds such as Moore Capital in New York. Roxanne Davies has worked with family offices for 22 years, having lived in New York, Switzerland, Brazil, Thailand, Russia and now Singapore. Presently on the Advisory board of SRL, a financial technology firm, she has had several appointments on boards of family offices and hedge funds and a Singapore listed Trust Company. Roxanne holds a Master in Business Administration and a Masters in Finance.


Vikas Gattani

Founder & Chief Executive Officer
Progress Capital

Vikas established Progress Capital in 2007 as a fund management company after 17 successful years in top financial firms like J.P. Morgan, Merrill Lynch, UBS and ICICI. Progress Capital is involved in Fund management, independent asset management and wealth management products. Over the past 24 years, Vikas has managed a wide variety of equity strategies in various Asian markets and brings a unique combination of understanding market behaviours and company fundamentals. He is a seasoned investment professional with expertise in managing varied asset classes and adept at managing volatility and spotting secular opportunities. Vikas ran the internal hedge fund group of J.P. Morgan in Hong Kong as the chief investment officer from 2005 to 2007. He built the investment team, operational and support systems and was responsible for a multi-strategy equity team. In 1999, he joined Merrill Lynch in Hong Kong as the India investment specialist and was eventually responsible for running their Asian proprietary desk. Previously, Vikas was a portfolio manager with UOB Asset Management, Singapore, where he co-managed several Asian balanced fund mandates and independently managed UOB Gold and General Fund. Vikas holds an MBA from the Indian Institute of Management (IIM), Ahmedabad and is a Mechanical Engineer from the University of Mumbai, India.



Stephen Fisher

Principal, Chairman and Chief Investment Officer
First Degree Global Asset Management

Stephen Fisher was appointed as Chairman and Chief Investment Officer of First Degree Global Asset Management Pte. Ltd. upon its formation in 2011. Stephen has had twenty years experience as an investment professional with leading investment management groups in the United States, Asia and Australia. Formerly, the Head of Global Fixed Income Product – Asia Pacific at JPMorgan Asset Management, Stephen has also held the positions of Australian Head of Capital Markets Research and Asia Pacific Regional Head of Capital Markets Research at J.P. Morgan Investment Management, Inc. Stephen's particular areas of expertise have been in quantitative analysis and in Central Bank reserves management. His research on reserves management issues has been widely published in academic and industry journals. Stephen has a Master of Science (Finance) and a PhD (Finance) from the WE Simon Graduate School of Business Administration, University of Rochester, New York and a Bachelor of Economics (First Class Honours) from the University of Sydney.



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.



Patrick Donaldson

Market Development Manager - Wealth, ASEAN. Financial & Risk
Thomson Reuters

Patrick is Market Development Manager, Wealth - ASEAN, for the Thomson Reuters Financial & Risk business based in Singapore. His role is to ensure that Thomson Reuters' products & services meet the needs and expectations of Wealth Management customers by identifying, developing and launching news, analytics, risk and workflow solutions to the Wealth Management community across all asset classes and segments. Patrick joined Thomson Reuters in 2014. Previously, Patrick worked within the private banking industry in Singapore as Head of the European Desk at Barclays and Head of Private Banking at VP Bank (Singapore). He moved to Singapore in 2008 from London where he was a team leader for Barclays Wealth. Patrick is a Chartered Fellow of the Chartered Institute for Securities & Investment and has a BSc in Statistics from the University of Newcastle upon Tyne. Outside of work his focus is on being a husband, a father, a runner and a Scotsman.



Tanmai Sharma

Chief Executive Officer
Mesitis

Running Mesitis Capital since Aug 2013. Have been in a front office trading floor role from Aug 1993 till Mar 2013. Have extensive cross asset-class, cross functional and cross geography experience. Worked across various functions including Trading (with stints in Client Coverage and Structuring as well) and was based in major financial centres including Singapore, Hong Kong, New York and Mumbai. Have traded financial products in 13 countries. Very strong trading and risk management credentials, traded various complex books across asset classes in multiple jurisdictions in both normal and distressed market conditions.



Urs Brutsch

Managing Partner & Founder
HP Wealth Management

Urs has been in the private banking industry for 25 years, of which the last 23 years have been in Asia. After expanding the private banking businesses of Credit Suisse, ABN AMRO and Clariden/Clariden Leu in Singapore and throughout Asia, he decided to go independent. In 2009, Urs founded HP Wealth Management Singapore Pte Ltd, with the Geneva-based entity of the same name as a major shareholder, and with Michael Foo, the former Head of Clariden Leu's Portfolio Management unit, as the Chief Investment Officer. The company's focus is exclusively on looking after private clients, acting as an Independent Asset Manager. Urs believes that an Independent Asset Manager can offer a client the best of both worlds: a custodian of choice coupled with truly independent investment advice. Urs continues to believe that private banking is and remains a people's business and that the key aspect of building a successful business is the ability to listen to the client and to build strong relationships. Relationships last longer than products!



Yai Sukonthabhund

Chief Executive Officer
Crossbridge Capital Asia

Prior to joining Crossbridge Capital, Yai Sukonthabhund was executive director and head of foreign exchange (FX) sales, Asia, at Bank Julius Baer in Singapore, where he was responsible for building FX products for the Singapore booking platform (including legal and compliance, booking, term sheets, new product approvals, risk management, selling and trading issues). During 2002 and 2006, Sukonthabhund worked with Citigroup Private Bank in Singapore as a vice president. Before 2002, he worked at Deutsche Bank where he first traded Asian currencies and later helped to form the FX desk for the bank's Asian private banking platform. Sukonthabhund received his BSc degree in Mechanical Engineering from Cornell University, in New York



Rehan Yar Khan

Managing Partner & Founder
Orios Venture Partners

Rehan Yar Khan is the Managing Partner and Founder of Orios Venture Partners. He has overall responsibility for all aspects of the funds activities. Rehan has consistently been recognised as India's leading early stage technology investor, leading investments into OlaCabs, Druva, Jigsee (acquired by VuClip), Sapience, Unbxd, PrettySecrets, Ziffi, Zapstitch and other stellar companies. Rehan has been remarkably strong in spotting emerging trends and has picked winners with unparalleled consistency. The capital values of his led investments which were collectively US\$20M when going in between 2008 and 2013, are today collectively valued at US\$1 billion+. Rehan has been extremely successful in scaling his investments and ensuring follow on capital, 15 out of 19 of his investments achieving profitability and/or receiving follow on funding (or exits) by Sequoia, Tiger, Matrix, Nexus, Softbank, Inventus, Tenaya and other leading Global VC funds. What sets Rehan apart as a fund manager is that for 22 years Rehan has been an entrepreneur and built 3 successful businesses, giving him the unique "been there, done that" edge. Rehan is past Board Member of Indian Angel Network, Founding Member of its Mumbai Chapter and a TIE Charter Member. He studied Political Science & Economics of the St. Xavier's College, Mumbai.

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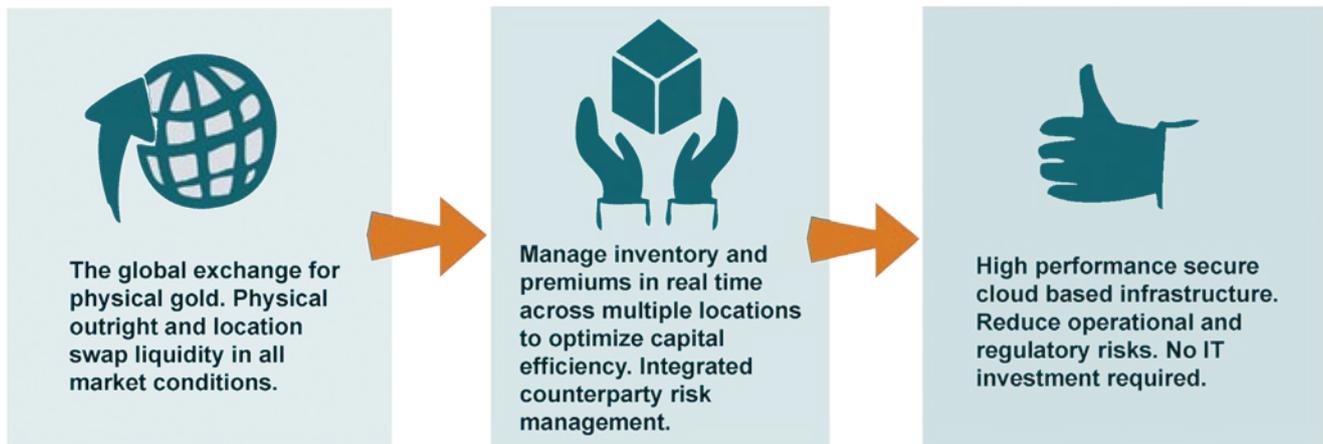


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About BNY Mellon Managed Investments

BNY Mellon Managed Investments is Asia's first third-party managed accounts company that enables financial intermediaries to deliver professionally managed multi-currency investment accounts to high net worth investors in the region.

It is part of BNY Mellon, a global leader in third-party managed accounts*, with nearly US\$400 billion in assets under administration, servicing more than one million accounts**.

The company combines the investment expertise of BNY Mellon's investment management business and the operational capabilities of the firm's investment services business.

In January 2014, BNY Mellon Managed Investments launched Spectrum, Asia's first separately managed accounts business that offers investors a choice of investment strategies from leading global investment advisers, and allows financial intermediaries to customise to their clients' investment objectives and desired portfolio requirements.

BNY Mellon Investment Management

BNY Mellon Investment Management is one of the world's leading investment management organisations and one of the top US wealth managers, with US\$1.7 trillion in assets under management as of 31 December 2014. It encompasses BNY Mellon's affiliated investment management firms, wealth management services and global distribution companies.

Its multi-boutique investment management model encompasses the skills of world class specialist investment managers. Each has its own unique investment philosophy and proprietary investment process and each is a leader in its field. It is a structure that encourages an entrepreneurial, focused approach to investment and creates an environment in which each investment manager can best perform and build on its individual experience and organisational strengths in the development of new products. BNY Mellon Investment Management is the investment management arm of BNY Mellon.

BNY Mellon

BNY Mellon is a global investments company dedicated to helping its clients manage and service their financial assets throughout the investment lifecycle. Whether providing financial services for institutions, corporations or individual investors, BNY Mellon delivers informed investment management and investment services in 35 countries and more than 100 markets.

As of 31 December 2014, BNY Mellon had US\$28.5 trillion in assets under custody and/or administration. BNY Mellon can act as a single point of contact for clients looking to create, trade, hold, manage, service, distribute or restructure investments. BNY Mellon is the corporate brand of The Bank of New York Mellon Corporation (NYSE: BK).

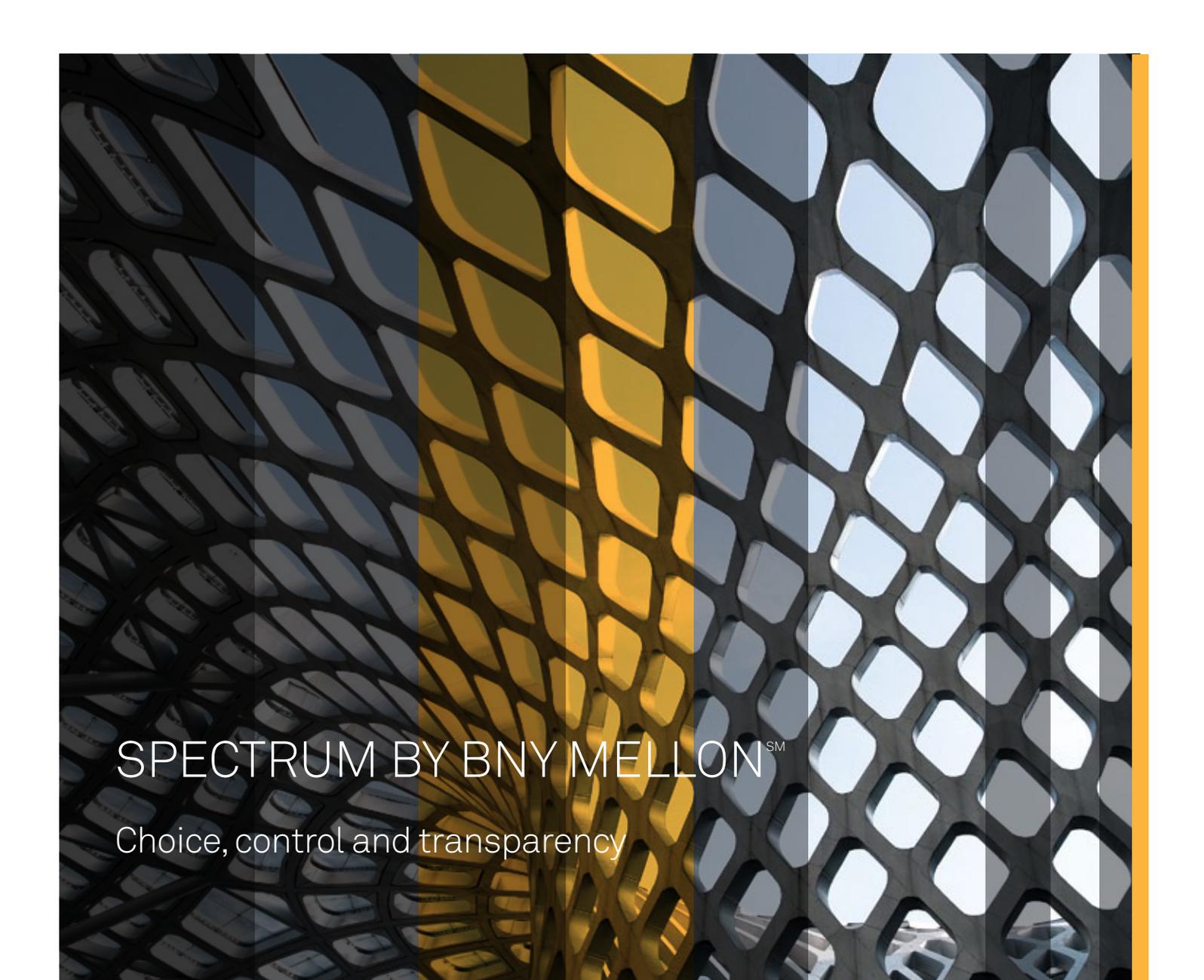
**The Cerulli Edge, Managed Accounts Edition, 2Q 2014 Issue. BNY Mellon affiliate, Pershing LLC, is listed as one of the largest "Nonadvisory Third-Party Vendors" by assets under administration.*

*** Source: Pershing LLC. Data as of 6/30/14. Managed Investments is a service of Pershing LLC.*

Contact details

For general inquiries, please contact:
T +852 3926 0600
E contact.im.apac@bnymellon.com

For more information about Spectrum, please contact:
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BNY MELLON

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At times it is about picking the right asset class; at others it is about choosing the correct timing; often it is looking forward to what an investment needs to achieve in the decades ahead. We think it is about *Contemporary Wisdom* – the ability to understand the multifaceted dynamic of investments to achieve our clients' goals. Our values of excellence, responsibility and innovation underpin our *Contemporary Wisdom* and have enabled us to deliver performance over the long term.

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For further information contact Jakob Nilsson on +65 6808 5858.

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Leonteq has received more than 15 awards since its foundation in 2007

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- Most Innovative Product – COSI®
- 1st Category Commodity Products
- Top Service Award

2010 SWISS DERIVATIVE AWARDS

- Innovation of the year – COSI®
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2009 SWISS DERIVATIVE AWARDS

- Special Award for Product Reports
- 2nd Category Capital Protection

2008 SWISS DERIVATIVE AWARDS

- 1st Category Yield Enhancement



About Mesitis

Mesitis is a financial technology company focused on providing customer data consolidation and visualisation solutions for wealth managers, single family offices and high networth individuals.

Mesitis provides fast and accurate account consolidation at a game-changing low cost.

Account consolidation, the ability to see an accurate picture of one's whole wealth across asset classes, currencies and most importantly, across banks, is the number one request that wealth managers receive from their clients. Despite the needs, the service is generally not made available to all clients, due to the slow, expensive and error prone nature of the traditional way of account consolidation; i.e. a large back office manual process.

Mesitis simplifies account consolidation with a proprietary automated process. Clients simply need to send to Mesitis bank, broker, fund admin-etc. statements in PDF, CSV, SWIFT or any other electronic format. Mesitis' software will then extract, analyze, aggregate, reconcile data and will generate consolidated reports on a secure website. A host of analytical tools are included in the reporting website, and the site is viewable on any browser, particularly optimized for iPads. Every single entry in the customer's account (including loans) is captured; and through the reconciliation process, performance calculation, P&L attribution etc. is usually correct to the cent. All traded asset classes (including private equity and hedge funds), in all currencies and markets is covered.

Mesitis was found in 2013 by Tanmai Sharma, a banking industry veteran with close to 20 years institutional experience. He started the company after experiencing frustrations investing and managing his own money. He was shocked at the severe lack of investment and portfolio management tools, technology and platforms for the individual investor; essential services that are otherwise available to institutional investors. Hence Mesitis was born.

Mesitis is currently a team of 10 employees (and growing) comprised of ex-bankers, with over 75 years combined knowledge of various aspects of the financial industry, and software developers. We are based in Singapore and we plan to reach across Asia Pacific, Europe, Middle East, and to North America.



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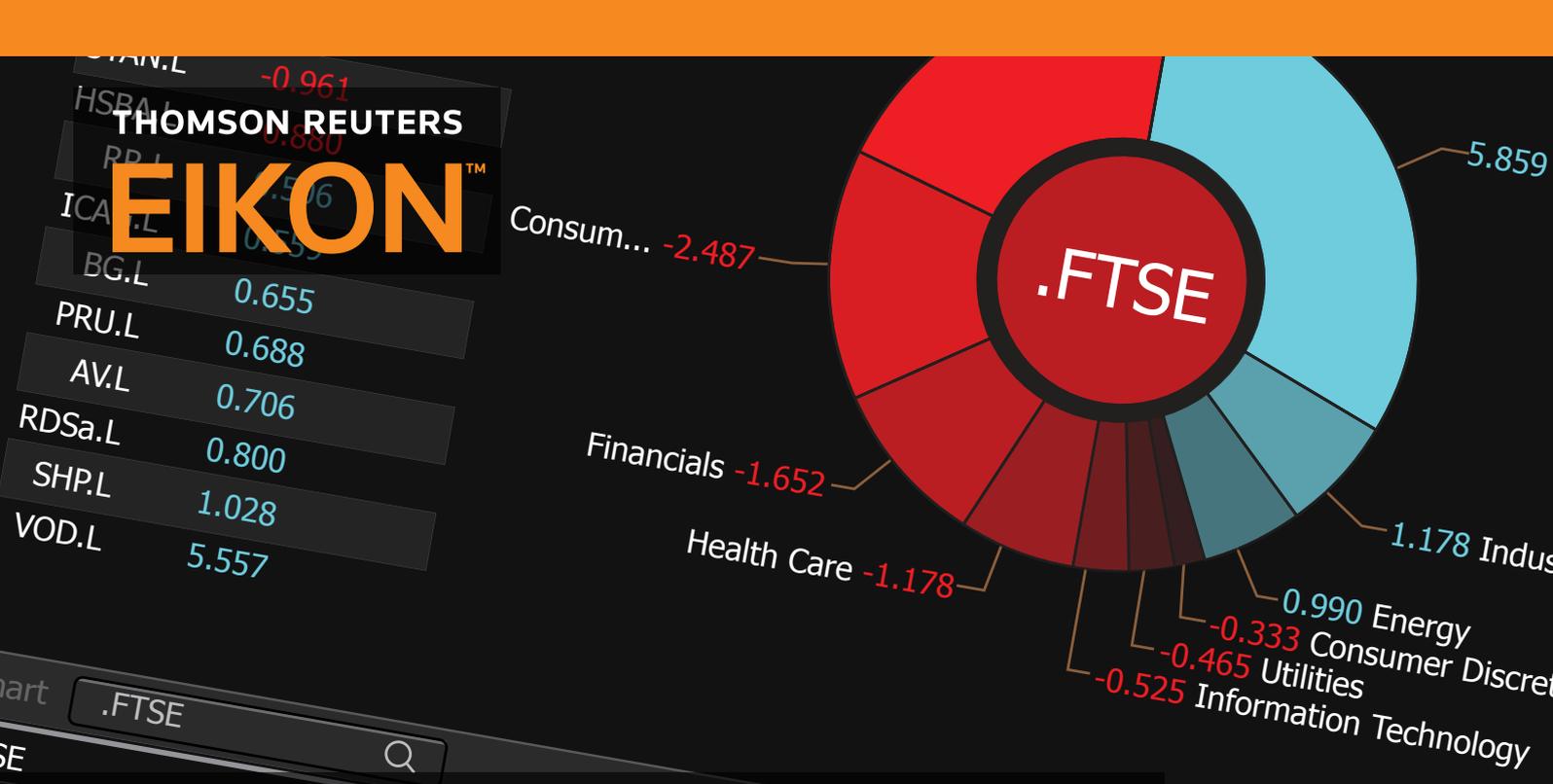
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About Asia Plantation Capital (APC)

Asia Plantation Capital (APC) is the owner and operator of a range of sustainable commercial plantation and farming businesses around the world. Its focus is on its diverse plantation projects geared towards both domestic and global demands across various continents.

The company also serves as plantation managers and advisors to several Private Equity Funds that focus on the forestry, farming and renewable energy investment sectors. The mission of APC is to become the leading owner and operator of sustainably managed forestry and agricultural plantations, ranging from project evaluation to plantation management and forestry product distribution.

Asia Plantation Capital's strongly regards corporate responsibility as not just about securing profit for shareholders and investors, but also to contribute positively to society and the environment.



ASIA
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From Soil... To Oil... To You.

The Asia Plantation Capital Group has provided sustainable management services to the global forestry investment and agricultural sector for over 10 years.

Our mission is to be the leading operator of sustainably managed forestry and agricultural plantations, from project evaluation through to plantation management and forestry product distribution. We believe corporate responsibility is not just about securing profit for shareholders and investors, but also to contribute positively to society and the environment.

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About Bullion Capital

Bullion Capital is a membership-based exchange facilitating the trade of physical gold, silver and platinum. The MetalDesk2 web-based trading platform, which can be fully white-labelled, allows members and their end customers to trade, store, and take delivery of physical precious metal.

Exchange participants are able to trade on live prices for physical precious metal in multiple global locations. Orders are streamed by our liquidity providers directly to a displayed central limit order book. All participants have equal access to immediately executable levels and associated sizes, ensuring transparency and fairness.

FIX API and a variety of customisable solutions are available to integrate with third party platforms and administration portals.

Contact details

Australia

Adam Bevan

Head of Sales APAC

E adam.bevan@bullioncapital.com

T +61 (0)7 3211 3863

China

Thomas Cheng

Head of Asia

E thomas.cheng@bullioncapital.com

T + 86 (0)21 6122 1121

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About Henley & Partners

Henley & Partners is the global leader in residence and citizenship planning. Each year, hundreds of wealthy individuals, families and their advisers rely on our expertise and experience in this area. Our highly-qualified professionals work together as one team in over 20 offices worldwide.

The concept of residence and citizenship planning was created by Henley & Partners in the 1990s. As globalisation has expanded, residence and citizenship have become topics of significant interest among the increasing number of internationally-mobile entrepreneurs and investors whom we proudly serve every day.

The firm also runs an industry-leading government advisory practice. We have raised more than US\$3.5 billion in foreign direct investment and been involved in strategic consulting and the design, set-up and operation of several of the world's most successful residence and citizenship programmes.

Although its origins date back more than 40 years, Henley & Partners as it is today was formed in 1997 through the combination of a private client immigration consultancy and a trust company.

The firm is part of a group with three divisions, operating via more than 20 offices worldwide: Henley & Partners, which focuses on residence/citizenship planning and government advisory, Henley Estates, which focuses on high-end real estate for private clients, and Henley Trust, which provides fiduciary and tax planning services for private clients and family owned businesses.

Contact details

Singapore

Dr Juerg Steffen
 Managing Partner
 Henley & Partners Singapore Pte Ltd
 E juerg.steffen@henleyglobal.com
 T +65 6438 7667

Hong Kong

Jennifer Lai
 Director and Head of Business
 Henley & Partners HK Ltd
 E jennifer.lai@henleyglobal.com
 T +852 3101 4100

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About IRESS

IRESS is a principal supplier of share market and wealth management systems in Australia, Asia, New Zealand, Canada, South Africa and the UK.

Our solutions

We produce innovative, sophisticated solutions for serious financial market and wealth management participants.

Our two core product streams, IRESS and XPLAN, comprise an equity information and trading platform and an extensive suite of financial planning and associated tools.

Both product streams support a diverse range of roles and offer front, middle and back-office functionality.

All our solutions tailor to the individual needs of our clients.

Our clients

IRESS clients range from large corporations through to independent operators. We support all financial market and wealth participants who have a need to manage and monitor industry information.

Who we are

We are a progressive, service-based organisation that employs over 1,340 employees in 14 offices worldwide. Located in the centre of the major financial districts, our staff have local knowledge and industry experience. Open channels of communication keep us focused and informed across the entire business.

Our relationships

We strive for excellence in our relationships with clients and industry bodies alike. We are client-driven, responsive and promote a culture that supports working with our customers and the industry to face challenges and keep pace with industry developments.

Key contact

Jason Hoang
Managing Director
T 65 6672 6270
E jhoang@iress.com.sg

Private Wealth Solutions

Our Private Wealth solution supports private client advisers operating within advice provision, discretionary management, and execution services with an online desktop tailored to their client and workflow requirements.

Integrated solutions that foster connectivity and sustainable relationships with clients



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About Swiss-Asia

Founded in 2004, Swiss-Asia Financial Services Pte Ltd holds a Capital Markets Services License under the Singapore Securities and Futures Act to conduct regulated activities in Fund Management and Advisory for accredited investors. Its sister company, Swiss-Asia Asset Management (Hong Kong) Limited holds a License under the Securities and Futures Ordinance from the Securities and Futures Commission in Hong Kong to carry out regulated activities in Fund Management (Type 9) and Advisory (Type 4) for accredited investors.

Swiss-Asia provides a platform for independent Private Bankers in Singapore and Hong Kong. This platform increases the efficiency and eases the processes so that Wealth Managers can leverage on our relationships with the different Private Banks and gain substantial economies of scale.

With the External Wealth Manager Platform, Wealth Managers will be able to focus on relationship and portfolio management without having administrative and compliance worries. Leveraging on our relationships with the various Private Banks, Wealth Managers will be able to enjoy the best executions and economies of scale for transactions. Topped with news highlight and active, unbiased research from Swiss-Asia, Wealth Managers will be empowered to make the best decisions for their clients.

Contact details

Singapore

Omar Taheri

Business Development Manager
Swiss-Asia Financial Services Pte Ltd
E omar.taheri@swissasia-group.com
T +65 6887 57 90
M +65 8111 76 34

Hong Kong

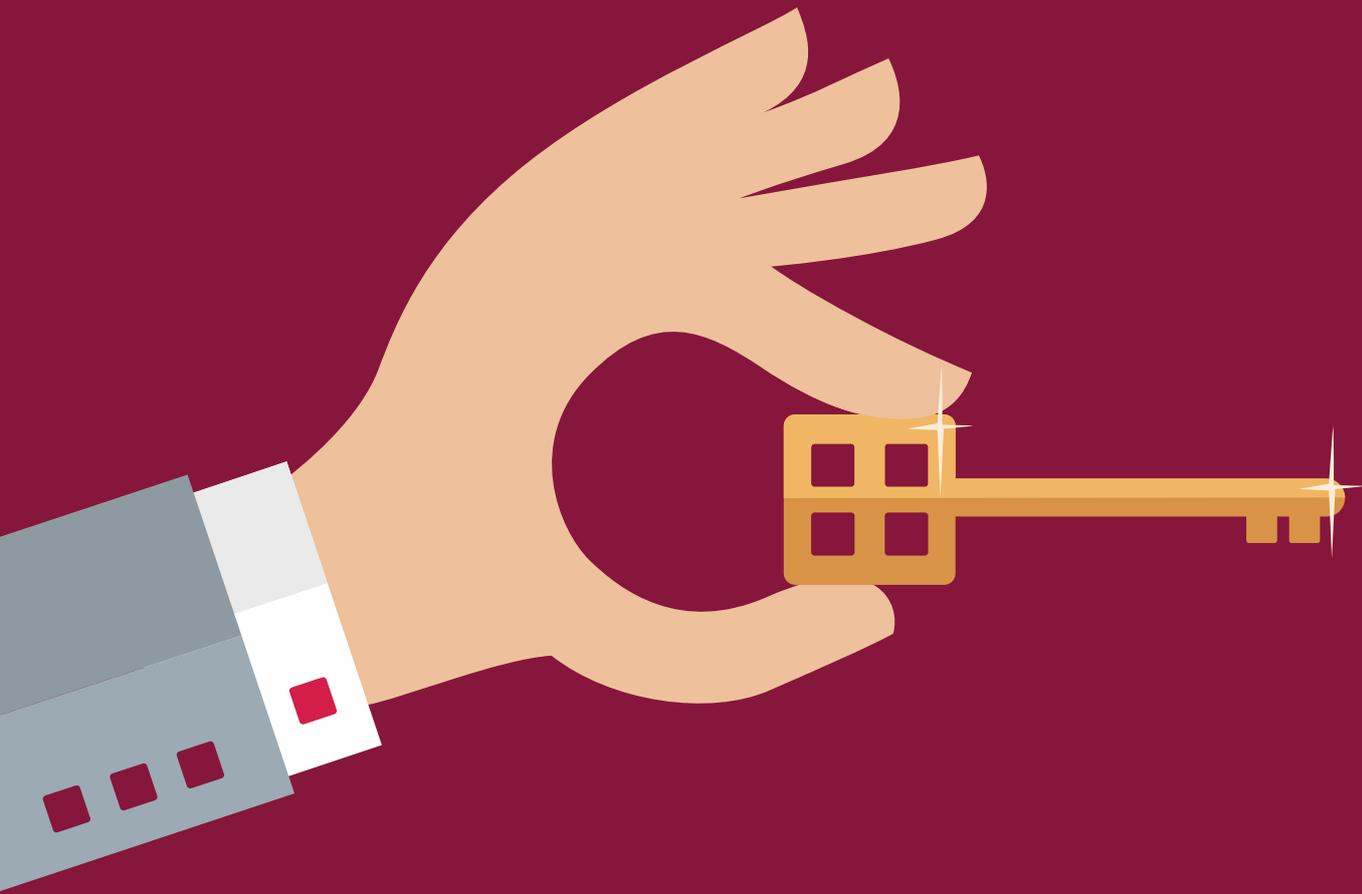
Riccardo Lehmann

Managing Director
Swiss-Asia Asset Management
(Hong Kong) Limited
E Riccardo.lehmann@swissasia-group.com
T +852 2776 2211
M +852 6502 8553

www.swissasia-group.com

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Get in touch

Michael Stanhope
Chief Executive Officer
T +852 2563 8766
E michael.stanhope@hubbis.com

hubbis.com