



# Business Ethics Forum

## Ethics and Leadership

## 2015

22 January 2015

S421, Hong Kong Convention & Exhibition Centre

The **Business Ethics Forum (BEF)**, first launched in 2006, is a signature event organised by the Hong Kong Securities and Investment Institute (HKSI Institute) to promote business ethics and integrity in the financial services industry. This year, in partnership with the Hong Kong Trade Development Council, the BEF forms an integral segment of the International Financial Week following the Asian Financial Forum. The one-day forum will be held on Thursday, 22 January 2015 at the Hong Kong Convention and Exhibition Centre.

### Gold Sponsors



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# Programme

8:55am **Welcoming Remarks**

**Mr Craig LINDSAY**

Chairman, Hong Kong Securities and Investment Institute

9:00am **Opening Remarks**

**The Hon John TSANG Chun-wah**

Financial Secretary, The Government of the Hong Kong Special Administrative Region

9:15am **Keynote Address**

***Topic: Framing Ethics and the Market***

**Dr Edgar CHENG**

Chairman, World-Wide Investment Co. Limited; HKSI Institute Founding Chairman and Honorary Fellow

9:45am **Coffee Break**

10:00am **1<sup>st</sup> Panel Discussion**

***Topic: Key Regulatory and Enforcement Areas on Unethical Behaviour***

**Moderator Ms Barbara SHIU**

Former HKSI Institute Chairman

**Panelists • Ms Meena DATWANI**

Director-General (Enforcement), Hong Kong Monetary Authority

• **Mr Mark STEWARD**

Executive Director (Enforcement Division), Securities and Futures Commission

• **Ms Monica YU**

Executive Director of Hong Kong Ethics Development Centre, Independent Commission Against Corruption

11:15am **2<sup>nd</sup> Panel Discussion**

***Topic: Sharing Regional Perspectives on Developing Ethical Culture in Financial Services Business***

**Moderator Dr Bill KWOK**

Managing Director, Wocom Holdings Limited and former HKSI Institute Chairman

**Panelists • Dr LIN Yixiang**

President, Securities Analysts Association of China

• **Dr Yasuhiro MAEHARA**

President and Chief Executive Officer, The Securities Analysts Association of Japan

• **Mr Russell THOMAS**

Chief Executive Officer and Managing Director, Financial Services Institute of Australasia

12:45pm **Luncheon (exclusive to VIPs and Members only)**

***Topic: Setting an Ethical Culture from the Top***

**Speaker The Hon Bernard CHAN**

President, Asia Financial Holdings Ltd. and Member of Executive Council, The Government of the Hong Kong Special Administrative Region

**Moderator Ms Angela MACKAY**

Managing Director, Financial Times and Publisher, Professional Education in Asia Pacific

## 2:30pm 3<sup>rd</sup> Panel Discussion

**Topic: How Building an Ethical Culture can be a Win-Win to Business, Customers and Regulators, and the Key Success Factors for Building Such Culture**

### Moderator **Mr Anthony MUH**

Chief Executive Officer, H.R.L. Morrison & Co. Capital Management and former HKSI Institute Chairman

### Panelists • **Dr Moses CHENG**

Hon President and Chairman Emeritus, The Hong Kong Institute of Directors

### • **Ms Ka Shi LAU**

Chairman, Hong Kong Trustees' Association

### • **Mr Patrick SUN**

Chairman, The Chamber of Hong Kong Listed Companies

## 3:50pm Coffee Break

## 4:05pm 4<sup>th</sup> Panel Discussion

**Topic: Demographics Trends, Talent Gaps, Hiring Practices and Remuneration Packages to Promote Ethical Culture**

### Moderator **Miss Angelina KWAN**

Head of Equities Compliance, CLSA Limited and HKSI Institute Professional Events Committee Member

### Panelists • **Ms Alice AU Miu-hing**

Co-Head, CEO & Board Services Practice, Asia Pacific and Member of Global Board, Spencer Stuart

### • **Mr Paul PONG**

Human Capital Committee Member, Financial Services Development Council

### • **Mr Martin ROGERS**

Partner, Davis Polk & Wardwell

## 5:25pm Closing Remarks

### **Mr Anthony NEOH**

Former Chairman of Securities and Futures Commission and Chief Advisor to the China Securities Regulatory Commission, and HKSI Institute Honorary Fellow

## 5:45pm Vote of Thanks

### **Mrs Edith NGAN CHAN**

Chief Executive, Hong Kong Securities and Investment Institute

Simultaneous Interpretation (English / Mandarin) will be available at the forum

## CPT / CPD Hour

(Participants MUST attend the whole AM/PM session to be entitled for the CPT/CPD hour.)

	CPT hour recognised by SFC	CPD hour recognised by MPFA
AM Session	3 CPT hour	3 CPD non-core hour
Luncheon**	1 CPT hour	1 CPD non-core hour
PM Session	3 CPT hour	3 CPD non-core hour

\*\*For participants attending the exclusive luncheon

Seats are limited, so **REGISTER NOW!**

# Registration Fee

Please tick "✓" in the appropriate box.

Forum* only	Regular (HKD)	Early Bird# (HKD)
<input type="checkbox"/> Members*	\$3,000	\$2,500
<input type="checkbox"/> Members of Supporting Organisations / AFF Participants^	\$3,500	\$3,000
<input type="checkbox"/> Non-Members	\$3,900	\$3,400

Forum + Luncheon	Regular (HKD)	Early Bird# (HKD)
<input type="checkbox"/> Members* only	\$4,200	\$3,500

\* Standing lunch will be provided

# Early Bird: registration and payment on or before 15 December 2014

+ HKSI Institute individual members and staff of corporate members

^ AFF refers to Asian Financial Forum

## Registration Form

Online Registration [www.hksi.org/BEF2015](http://www.hksi.org/BEF2015)

(Return by Fax: 2899 2611 or by Email: [bef@hksi.org](mailto:bef@hksi.org))

<b>Full Name of Participant</b> (Block Letters) Dr / Mr / Mrs / Ms / Miss	<b>HKSI Institute Membership Number / Supporting Organisation Name and Membership Number / AFF Admission Barcode</b>	
<b>Job Title</b>	<b>Company</b>	
<b>Contact Person</b>	<b>Payment</b>	
Name	<input type="checkbox"/> Cheque <input type="checkbox"/> Amex Card <input type="checkbox"/> Master Card <input type="checkbox"/> Visa Card	
Tel	Cheque Number / Card Number	
Mobile	(Please make cheque payable to "Hong Kong Securities and Investment Institute" and post to Room 2405, 24/F, Wing On Centre, 111 Connaught Rd. Central, Hong Kong.)	
Email (required)	Name of Card Holder	Expiry Date
Mailing Address	Total Payment HK\$	Signature

### Terms & Conditions

- Participants who are interested to attend the HKSI Institute event can send the completed registration form(s) together with the appropriate event fee to the HKSI Institute by fax, mail, e-mail, in person or register online. No telephone reservations will be entertained.
- Participants who wish to enjoy Corporate/Individual Member fee must provide relevant information at the time of application. Otherwise, Non-member fee shall be charged.
- All fees paid are non-refundable except when the event is cancelled.
- Personal data provided will be used only for purposes relating to enrolling and attending HKSI Institute events.
- Seats are limited and registrations will be processed on a first-come-first-served basis, and registration will be confirmed upon receipt of the full payment.
- HKSI Institute reserves the right on the following:
  - To change or cancel any of its events due to unforeseen circumstances.
  - To ask improperly behaved participants to leave the event. No CPT/CPD hour(s) will be granted or no refund will be made under this circumstance.
- By attending in HKSI Institute event(s), participants understand that portions of the event(s) may be recorded in video and audio and/or captured in still and/or digital photographs; and participants hereby grant HKSI Institute the right and permission to use in perpetuity participants' photographic images, voice, and/or testimonial(s), for the purpose of advertising and publicising HKSI Institute events and services. The HKSI Institute owns all rights, title and interest, including intellectual property rights, in any audio, video, and/or photograph captured during the event(s).
- The event will be cancelled if typhoon signal No. 8 or black rainstorm warning is hoisted on the event day. Participants will be notified of the re-arrangement on the next business date.

For enquiry, please call our Hotline on 3120 6100.