



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.

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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 **1st 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 **2nd 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

3rd 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

4th 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

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

Full Name of Participant (Block Letters) Dr / Mr / Mrs / Ms / Miss	HKSI Institute Membership Number / Supporting Organisation Name and Membership Number / AFF Admission Barcode			
Job Title	Company			
Contact Person	Payment			
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		(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.)	
Mobile	Name of Card Holder	Expiry Date		
Email (required)	Total Payment HK\$	Signature		
Mailing Address				

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.
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- 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.