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Asian Institute of International Financial Law    CLLC Training Centre Limited

## Capturing the Aurora of the Dawn after the Financial Crisis

### Covering:

- The Latest Development in Financial Regulations
- Getting Ready for the FDRC
- Advanced Negotiation & Complaint Handling Skills

**Saturday 15th September 2012**  
**(10:00am-6:00pm)**

**University of Hong Kong, Main Campus,**  
**Pokfulam Road, Hong Kong**



### Co-organized by:

**Asian Institute of International Financial Law, The University of Hong Kong &**  
**CLLC Training Centre Limited**

## Program Objectives

The eruption of the global financial crisis in 2008 has led various organizations such as the G-20, Financial Stability Board, Basel Committee on Banking Supervision and the IMF, to implement new regulatory and economic policies. In the wake of the crisis, governments and financial institutions have been engaged in the implementation of these policies. At the same time, a number of critiques have been put forward regarding the efficacy of some of these initiatives. Questions have been raised regarding the effectiveness of regulatory harmonization to reduce systemic risk, and the optimal capital requirement required in the eyes of risks balancing and economic development.

On the other hand, in the context of a volatile and complex market and regulatory and policy changes, financial institutions are also required to refocus on business growth. To achieve business expansion and profitability, equipping the workforce with effective negotiation and customer complaint handling skills are an important key to success. With effective complaint and dispute handling skills, financial services practitioners will be able to turn unhappy customers into more neutral (or even happy) customers and maintain relationships with them. With the help of excellent negotiation techniques, they may even be able to cross-sell more products or services and grow their businesses further. In addition, given that complainants will often first seek resolution directly with the financial institutions concerned, this skill enhancement is also a very crucial component with the establishment of the Financial Dispute Resolution Centre ("FDRC").

This one-day program consists of two parts. The first part presents latest development in financial regulations and customer experience, and skills in negotiation and customer complaint handling. The second part will give participants opportunities to put the techniques into practice and receive instant feedback from our experienced trainers.

## Program Coverage and Benefits

- Learn updates of the current market landscape, regulatory policies and compliance environment such as Basel III in the financial services industry
- Learn advanced strategy and techniques for effective negotiation and dispute & complaint handling
- Master negotiation tactics and better understand how to use counter-tactics
- Sharpen questioning techniques and learn how to ask questions more effectively
- Know when to accept offer and when to walk away
- Get insights on the latest development in customer experience in the financial services industry
- Strengthen skills on dispute & complaint handling and effective emotion management
- Master influencing skills so as to make work and personal lives more successful
- Real-life simulated role-play for financial disputes (with instant feedback from the trainer) to put techniques acquired into practice

## Who Should Attend

- Professionals of financial services industry (banking, insurance and financial institutions) who would like to keep themselves update on the latest development of regulations
- Those who would like to sharpen the crucial soft skills to manage customer complaints or disputes that are essential particularly with the establishment of Financial Dispute Resolution Centre ("FDRC")
- Regulators who would like to stay at the forefront and keep abreast of the latest updates and best practices for the financial market
- Mediators who wish to sharpen negotiation skills in handling financial disputes
- Business executives who already have good negotiation and complaint handling skills and wish to further master them

## The World-Class Faculty

### **Prof. Douglas ARNER**

Prof. Douglas Arner is the Head of the Department of Law and a Professor at the Faculty of Law of the University of Hong Kong. He served as Director of HKU's Asian Institute of International Financial Law from 2006-2011. He has served as a consultant with, among others, the World Bank, Asian Development Bank, European Bank for Reconstruction and Development and APEC, and worked on financial sector reform projects in over 20 economies in Africa, Asia and Europe. He has published widely, including eleven books and over 100 articles, chapters and reports on financial law, regulation and development. His most recent book, *From Crisis to Crisis: The Global Financial System and Regulatory Failure* (with Ross P. Buckley) was published in September 2011.

### **Mr. Charles LAM**

Mr. Charles Lam is a seasoned executive in banking, financial services, information technology and dispute resolution. He has over 20 years of experience working as CEO, COO, CIO and sales director at several major multi-national financial institutions and corporations. Some of the financial institutions that Charles had worked for include ABN AMRO, Credit Suisse First Boston, HSBC and National Australia Bank. Charles possesses strong banking, information technology, financial services and wealth management industry knowledge and understands the market, risks, product and consumers well. Through practical experience in managing various functions, stakeholders and clients, he has accumulated extensive experiences in team management, business development, providing consulting, negotiating and helping clients and institutions to manage disputes and conflicts. Charles has many successful track records in helping the multi-national financial institutions build and expand their presence and business around the globe, especially in the Asia Pacific and China Region. Throughout the career, he had executed more than 100 negotiation deals/transactions, and was one of the key members involved in several company acquisitions.

Charles has obtained the Master of Laws (LLM) from the University of Hong Kong. He is a CEDR Accredited Mediator and panel mediators of Chartered Institute of Arbitrators (East Asia Branch) and Hong Kong Institute of Arbitrators. He is also Member of Chartered Institute of Arbitrators (UK), Member of Hong Kong Standing Committee on Arbitration (ICC-HK), Member of The Hong Kong Institute of Bankers, Member of British Institute of Facilities Management and Fellow of The Chartered Institute of IT (BCS) UK.

### **Ms. Louise CHAN**

Louise was an experienced banker with many years working in different areas of banking and wealth management in a few major multi-national financial institutions. With her solid practical experience and professional qualifications in wealth management, Louise is well versed in financial planning, selling process, customer experience, customer complaint handling and the latest development and the dynamics of the market. Over the years, Louise was very active in community work, she had given coaching and training on negotiation, entrepreneurship and conflict management.

Louise has obtained the Master of Laws (LLM) from the University of Hong Kong and is a CEDR Accredited Mediator and a panel mediator of Hong Kong Institute of Arbitrators. She is also Member of International Chamber of Commerce – Hong Kong, China, Member of Hong Kong Standing Committee on Arbitration (ICC-HK), Certified Financial Planner<sup>CM</sup> and Member of The Hong Kong Institute of Bankers.

### **Dr. Shahla ALI**

Dr. Shahla Ali serves as the Deputy Director of the LLM in Arbitration and Dispute Resolution Programme and Assistant Professor at the Faculty of Law of the University of Hong Kong. Prior to joining the Faculty of Law, she worked as an attorney in the international trade group with Baker & McKenzie LLP in its San Francisco office. She has consulted with USAID, IFC/World Bank and the United Nations Office of Human Resource Management on issues pertaining to dispute resolution design and evaluation. Her research on comparative financial dispute resolution design has been published internationally including most recently by Arbitration International and the Pacific Rim Law and Policy Journal. She is an accredited mediator (HKMC), public arbitrator (FINRA) and member of the State Bar of California.

## Program Fee

- Full fee – HK\$2,300
- Early Bird: Registration on or before 30<sup>th</sup> August, 2012 – HK\$2,000
- HKU or CLLC Alumni – HK\$2,000

## CPD

Please check with your respective associations for the eligibility of claiming of CPD. HKU is in the process of applying for the Law Society of Hong Kong CPD points.

## Registration

Registration deadline: **8<sup>th</sup> September, 2012**

To register, please complete and return the registration form with a cross cheque (cheque payable to **'The University of Hong Kong'**) to Flora Leung, Faculty of Law, The University of Hong Kong, Pokfulam Road, Hong Kong.

Program details will be sent to you by email 1 week prior to the program commencement date. If you do not receive it accordingly, please contact us.

**Program fee is due upon acceptance of registration.**

For enquiries, please contact Ms. Leung at 3917-2941 (email: [fkleung@hku.hk](mailto:fkleung@hku.hk)) or Ms. Chan at 3151-6800 (email: [enquiry@cllc.com.hk](mailto:enquiry@cllc.com.hk))

*The University of Hong Kong and CLLC Training Centre Limited reserves the right to make any amendments to the program without prior notice.*

## Cancellation Policy

For any cancellation of registration before 9<sup>th</sup> September 2012, 20% of the program fee will be refunded. Thereafter, no program fee will be refunded.

**REGISTRATION FORM**

Please complete and return the registration form with a cross cheque (cheque payable to ‘**The University of Hong Kong**’) to Flora Leung, Faculty of Law, The University of Hong Kong, Pokfulam Road, Hong Kong. The registration deadline is **8<sup>th</sup> September, 2012**.

Please note that your booking is provisional until confirmed in writing by The University of Hong Kong and your cheque is cleared. For enquiries, please contact Ms. Leung at 3917-2941 (email: [fkleung@hku.hk](mailto:fkleung@hku.hk)) or Ms. Chan at 3151-6800 (email: [enquiry@cllc.com.hk](mailto:enquiry@cllc.com.hk)).

(Please affix your business card)

**Section A – Program Application**

Program Name & Code	Program Date	Fee (HKD)
Capturing the Aurora of the Dawn after the Financial Crisis	Sep 15, 2012 (10am-6pm)	<input type="checkbox"/> Early Bird (on or before Aug 30, 2012) – HK\$2,000 <input type="checkbox"/> CLLC or HKU Alumni – HK\$2,000 <input type="checkbox"/> Full Fee – HK\$2,300

**Section B – Personal Particulars** (ALL fields must be completed)

<b>Title:</b> Prof / Dr / Mr / Mrs / Ms / Miss (Please delete where inappropriate)		
<b>Full Name:</b> (As printed on your HKID Card / Passport)		
<b>Company Name:</b>	<b>Position:</b>	
<b>Email Address:</b>	<b>Mobile Phone No.:</b>	<b>Office Tel. No.:</b>
<b>Correspondence Address:</b>		

**Signature & Date:**  
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*In case of any dispute arises, the decision of The University of Hong Kong and CLLC Training Centre Limited shall be final.*

*Information collected from this Registration Form will not be passed to a third party without the delegate’s expressed consent, but The University of Hong Kong and/or CLLC Training Centre Limited may on occasion send further details of products or services that it feels may be of interest.*

**Section C – Payment Details**

<b>Cheque No.:</b> (Payable to “ <b>The University of Hong Kong</b> ”)	<b>Bank:</b>
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