

THE UNIVERSITY OF HONG KONG
ASIAN INSTITUTE OF INTERNATIONAL FINANCIAL LAW
and
RGC Theme-based Research Scheme Project:
“Enhancing Hong Kong’s Future as a Leading International Financial Centre”

Seminar

Getting Back to Basics: What is Financial Regulation Trying Solve For?

James Shipton

Securities and Futures Commission

Friday, 11 March 2016

12:30 - 1:30 pm

**Academic Conference Room, 11/F Cheng Yu Tung Tower
The University of Hong Kong**

James Shipton will explore, from a regulator’s perspective, some of the key fault lines in the modern financial system thus highlighting some of the important drivers behind the post-crisis regulatory responses. In addition he will speak about the important role that financial industry professionals need to play in addressing these fault lines. Finally he will address some of the outstanding issues confronting financial regulators and industry participants that remain work-in-progress.

Mr James Shipton is a member of the Securities and Futures Commission. He is also an Executive Director with responsibility for Intermediaries, which comprises the Intermediaries Supervision and Licensing departments. Prior to joining the SFC, Mr Shipton held several senior positions at Goldman Sachs. Before that he was an advisor to asset manager firms, an investment banker and lawyer. Mr Shipton completed a BA in Asian studies and a LLB (Honours) and undertook post-graduate studies at the University of Hong Kong. He is a solicitor in Hong Kong, England & Wales and Victoria (Australia) and is currently a Fellow of Harvard Law School.

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