



Compliance in the Financial Services Industry

~ a series of public lectures ~

In response to the rapid development of what the compliance task involves, a series of public lectures giving a 360-degree perspective on the major considerations, tools, strategies, operational matters and challenges relevant to the compliance task. Jointly hosted by HKU's Asian Institute of International Financial Law & the Hong Kong Securities and Investment Institute

Fifth Lecture

How to Handle Regulatory Investigations

Jill WONG

Partner, Howse Williams Bowers

Wednesday, 1 March 2017, 12:30 – 1:30 pm

NEW VENUE: Moot Court, 2/F Cheng Yu Tung Tower, The University of Hong Kong

Synopsis Jill will discuss expected areas of regulatory scrutiny in 2017, ranging from AML/CTF sanctions to listed company issues and market misconduct. A focus of the lecture will be handling regulatory investigations, from forming a correct understanding of the issues underlying the investigation, to recognizing the expectations of regulators, the role of legal privilege, and options for remediation and settlement. The consequences and potential penalties of failing to properly manage the relationship with the regulator in the course of an investigation will be considered. Case studies will be used to illustrate the issues discussed.

Speaker bio **Jill Wong** specialises in financial services and corporate regulatory and compliance issues, and has been identified as a leading lawyer in numerous recognized legal directories. She is named as an External Counsel of the Year in Asian-Mena's 2013 survey and the sole Hong Kong winner of the Banking Award in the international Client's Choice Award 2017. Previously Deputy General Counsel at the Hong Kong Monetary Authority, and in-house counsel as Head of the Asia-Pacific Regulatory Advisory Group, Legal and Compliance at Credit Suisse, Jill has also worked in leading international law firms in Hong Kong. Her experience with a regulator and as in-house counsel allows her to provide in-depth and constructive insights into the issues and challenges facing financial institutions and corporations. She is co-author of "*Securities and Futures Ordinance: Commentary and Annotations*" published by Sweet & Maxwell (2nd edition).

Upcoming Lectures

Sixth Lecture ~ 15 March: Gary Tiu, Former General Counsel, On Online Investment Services

Seventh Lecture ~ 05 April: Stuart Somer, Complyport, On Outsourcing Compliance Services

Registration/enquiries: www.AIIFL.com fkleung@hku.hk

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