



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

Seventh Lecture

Compliance as a Process

Stuart SOMER

Director, Complyport (HK) Limited

Wednesday, 5 April 2017, 12:30 – 1:30 pm

5/F, Wing On Centre, 111 Connaught Road Central, HKSI Institute

Synopsis The lecture will focus on the establishment and administration of an effective compliance programme and address practical limitations to the same. In the context of asset management and, more broadly financial services, effective compliance has become a critical operational element. Increasingly, shareholders, clients and regulators will carefully review an entity's compliance function to ensure that it is sufficiently sophisticated and adaptive so as to address and mitigate potential risk factors. For newly established businesses, implementing and maintaining an effective compliance process will be a critical success factor.

Speaker Bio **Stuart Somer** is a principal of Complyport Hong Kong, which provides regulatory and compliance advisory services to the Asian offices of multi-jurisdiction fund managers and institutional securities brokers. He has 18 years' experience in regulatory and compliance law in Hong Kong and the US, and spent the last 12 years in advising hedge fund managers. He attended Vanderbilt University in the US, holds a JD and MBA, and is a qualified lawyer.

[Online Registration](#) (or via www.hksi.org) / Enquiries: education@hksi.org

Upcoming Lecture

Eighth Lecture ~ 19 April 2017: Meena Datwani, HKMA, On risk-based compliance

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