

**ASIAN INSTITUTE OF INTERNATIONAL FINANCIAL LAW  
FACULTY OF LAW, THE UNIVERSITY OF HONG KONG**

**CONSUMER LAW AND POLICY SEMINARS**

**ENHANCING INVESTOR PROTECTION VIA  
REGULATORY UPDATES**

**Professor Anna Wong**

*Faculty of Business and Economics, University of Hong Kong*

**Tuesday, 17 September 2019**

**12:30 - 1:30 pm**

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

Suitability assessment and selling process are key to investor protection. Since the financial crisis, the SFC has issued a number of regulatory updates to further enhance investor protection. This seminar will discuss updates on the Professional Investor regime, Client Agreement regime and the Guideline on the Sale of Complex Products which became effective in 2017 and 2019. Professor Anna Wong will share her knowledge in the regulatory updates' background and her insights on the updates' impact on investors and intermediaries.



Anna is a Professor of Practice in Finance at the Faculty of Business and Economics at HKU. She teaches financial regulations, compliance and risk management and had taught at the Law Faculty convening two core courses in LLM – Compliance and Regulations. Anna also has an extensive experience in banking and finance covering Corporate Banking, Private Banking, Securities and Risk Management. She was Head of Private Bank, Greater China at Credit Suisse and the CEO of HSBC Broking Services (Asia) Limited prior to her taking her academia position.

Please register **ONLINE** (or via [www.AIIFL.com](http://www.AIIFL.com)) to reserve a place.

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