

**Wednesday 7<sup>th</sup> December 2011  
(7:00pm-9:00pm)**

**Theatre 2, Meng Wah Complex,  
The University of Hong Kong, Main Campus,  
Pokfulam Road, Hong Kong**



**The University of Hong Kong – CLLC Training Centre Seminar Series:**

## **Unleashing the Power of Risk & Crisis Management in New Business Development**

**Covering:**

- **RMB Bonds & Offshore Businesses**
- **MPF Employee Choice Arrangement**
- **and Others**

**Organizers:**



**Asian Institute of International Financial Law**



**CLLC Training Centre Limited**

## SEMINAR OBJECTIVES

In 2008, as the global financial crisis erupted, banks and financial institutions underwent the once-in-a-century financial tsunami, the after-effects of which continue to be felt, most directly in the context of the current European financial crisis. There have been many commitments from various organizations such as the G-20, Financial Stability Board, Basel Committee on Banking Supervision, IMF, etc. to implement new regulatory and economic policies, yet progress has been slow. In the last two years, while many banks and financial institutions have shifted their focus from risk enhancement to business growth, with the worsening of the European debt crisis, they are now refocusing on reform, including to impose long-term structural changes to banks and financial institutions through regulations, risk management and corporate governance with the aim to weather through the financial instability and restore consumer trust.

Amid such extreme volatility in Europe and the United States, the Asian markets, particularly the Chinese market (including Hong Kong SAR), are seeing moderate growth. New initiatives such as developing Hong Kong into an offshore RMB centre, allowing Mainland enterprises to issue RMB bonds in Hong Kong, MPF Employee Choice Arrangement and new IPOs all symbolize prosperous business opportunities. Good understanding and implementation of regulatory changes and placement of proper risk management and crisis management processes and procedures are mandatory in order to solidify these opportunities.

In this seminar, the distinguished speakers will:

- Give updates of the current market landscape, regulatory policies and compliance environment such as Basel III in the financial services industry;
- Share lessons from previous crises and incidents and give insights on how to improve risk and crisis management and corporate governance among corporations;
- Discuss and share how sound risk management and corporate governance play significant roles and restore consumers' confidence in new business opportunities such as RMB bonds, RMB off-shoring, MPF Employee Choice Arrangement, etc.; and
- Share how to make use of the best practices to capture more business opportunities

## AGENDA

Topic	Speaker
The Post-2008-Crisis Financial Services Industry: The Changing Regulatory and Compliance Landscape	Prof. Douglas Arner
Is Corporate Governance the Solution for Prosperity?	Prof. Say Goo
From Risk Management to Business Opportunities: How to Reflect Good Risk Management Practices in Capturing New Opportunities such as RMB Off-shoring, RMB Bonds, MPF Employee Choice Arrangement, etc.	Mr. Charles Lam
Going Out of Crises: Lessons Learnt & The Way Forward	Ms. Louise Chan

*Remark: The seminar is subject to changes without prior notice.*

## WHO SHOULD ATTEND

- **Bankers and Financial Services Practitioners** – Keep abreast of the latest market, regulatory, risks, compliance and capital requirements, and acquire insights and best practices on how to better address the market and regulatory demand.
- **Regulators** – Stay at the forefront and keep abreast of the latest updates and best practices in corporate governance, risk management and crisis management for the financial market.
- **Legal Practitioners** – Gain insights and updates on the latest market, regulatory, compliance and capital requirements and best practices in corporate governance, risk management and crisis management requirement to get better prepared for giving advice to clients on business opportunities such as IPOs, rolling out products, obtaining licences, etc.
- **Public Consumers & Investors** – Understand the best practices in corporate governance, risk management and crisis management for a more comprehensive judgment when making investment choices.

## **DISTINGUISHED SPEAKERS**

### **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.

### **Prof. Say GOO**

Professor Say H Goo is Professor and Director of the HKU's Asian Institute of International Financial Law (AIIFL). He was Founding Director of AIIFL and HKU's LLM (CFL) Programme, has spoken at lectures and conferences in more than 15 cities in Asia, Europe, North America and Australia, including UN funded and APEC conferences, and published no less than 34 books (including new editions) and 35 articles in leading international refereed journals and book chapters. He is a member of the Hong Kong Government's Standing Committee on Company Law Reform, an editorial member of many distinguished journals, and a reviewer for a number of world-renowned publishers. His books on corporate governance include *Corporate Governance: the Hong Kong Debate* (2003) and *Minority Shareholders' Protection* (1994).

### **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. His experience in the banking sector is extensive, with footprints in all segments, including retail banking, commercial banking, corporate banking, investment banking, wholesale banking and private banking. Some of the financial institutions that Charles had worked for include ABN AMRO, Credit Suisse First Boston, HSBC and National Australia Bank.

Charles has deep root with the Greater China Region since the nineties. He has many successful track records in helping multi-national financial institutions build and expand their presence and business in the Greater China Region, in addition to his other successful assignments in other regions around the globe. He understands the markets, risks, products and consumers well and possess strong banking, information technology, financial services and wealth management industry knowledge. Through practical experience in managing various functions, stakeholders and clients, Charles has accumulated extensive experiences in team management, business development, providing consulting, negotiating and helping clients and institutions to manage disputes and conflicts.

### **Ms. Louise CHAN**

Ms. Louise Chan is an all-rounded banker and had worked in a few major multi-national banks. Some of the major ones including ABN AMRO and HSBC.

Louise's experience in the financial services industry spans across the frontline, product development and back-office operations. She has a lot of successful track-records on developing and implementing a wide range of projects including process re-engineering, strategy development, business continuity planning, segmentation and service enhancement projects.

Louise has obtained a Bachelor of Business Administration and Master of Laws, and is a Certified Financial Planner<sup>CM</sup> and CEDR Accredited Mediator. With her diverse experience and professional qualifications in Banking, Financial Products and Law, Louise is very active in providing consulting services to major corporate clients of the firm.

## SEMINAR FEE

- Full fee – HK\$600
- Early Bird (Registration on or before 26<sup>th</sup> November 2011) – HK\$480
- Special Concession (HKU or CLLC Alumni, or Members of designated professional associations\*) – HK\$480

*\* Please refer to the registration form for the list of designated professional associations and professional qualifications.*

## CPD

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

## REGISTRATION & CONTACT

Registration deadline: **3<sup>rd</sup> December 2011**

To register, please complete and return the registration form with a cross cheque (cheque payable to ‘**CLLC Training Centre Limited**’) to CLLC Training Centre Limited, P.O. Box No. 1969, General Post Office, Hong Kong.

Seminar fee is due upon acceptance of registration.

Please note that your booking is provisional until confirmed in writing by CLLC Training Centre Limited and your cheque is cleared. Confirmation will be sent to you by email 1 week prior to the seminar. If you do not receive it accordingly, please contact us.

For enquiries, please contact Ms. Chan at (852) 3151-6800 or enquiry@cllc.com.hk.

**REGISTRATION FORM**

Please complete and return the registration form with a cross cheque (cheque payable to 'CLLC Training Centre Limited') to CLLC Training Centre Limited, P.O. Box No. 1969, General Post Office, Hong Kong. The registration deadline is **3<sup>rd</sup> December 2011**.

Please note that your booking is provisional until confirmed in writing by CLLC Training Centre Limited ("CLLC") and your cheque is cleared. For enquiries, please contact [enquiry@cllc.com.hk](mailto:enquiry@cllc.com.hk) or 3151-6800.

(Please affix your business card)

**Section A – Application**

Seminar	Date	Fee (HKD)	Discount Applied (please state reason and provide evidence)
Unleashing the Power of Risk & Crisis Management in New Business Development (BN(CLLC-HKU)111006)	7 <sup>th</sup> December 2011 (7:00pm-9:00pm)		Yes <input type="checkbox"/> No <input type="checkbox"/>  Reason:

Designated professional associations and professional qualifications include:

- Chartered Financial Analyst (CFA) Charterholder
- CERTIFIED FINANCIAL PLANNER<sup>CM</sup>, CFP<sup>CM</sup>
- Member of International Chamber of Commerce
- Member of Hong Kong General Chamber of Commerce
- Member of Hong Kong Securities Institute
- Member of Hong Kong Institute of Bankers
- Member of the Hong Kong Institute of Directors
- Member of The Hong Kong Institute of Chartered Secretaries
- Member of Association of Chartered Certified Accountants
- Member of Hong Kong Institute of Certified Public Accountants
- Member of Hong Kong Bar Association
- Member of Hong Kong Law Society

**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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*Information collected from this Registration Form will not be passed to a third party without the delegate's expressed consent, but HKU and/or CLLC 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 "CLLC Training Centre Limited")	<b>Bank:</b>
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