



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

First Lecture

The Evolution of Compliance: From Afterthought to Corner Office

Bénédicte NOLENS

*Senior Director and Head of Risk & Strategy
Securities and Futures Commission*

Wednesday, 2 November 2016, 12:30 – 1:30 pm

New Venue: Large Moot Court, 2/F Cheng Yu Tung Tower, HKU

Synopsis The global financial crisis unveiled cracks in the system, and by doing so, propelled chief compliance officers from afterthought to the corner office. Regulators worldwide advocated the importance of solid risk governance and risk culture. In this lecture we will explore the flaws and the fixes, including the growing connection with technology, and the overriding importance of customer centricity and the moral compass.

Speaker bio Bénédicte is Senior Director and Head of Risk and Strategy of the SFC. She also leads the SFC Fintech Contact Point, and is the Vice Chair of the IOSCO Committee on Emerging Risks. Before joining the regulator, she spent 15 years as a compliance practitioner with leading financial institutions. In January 2016, Bénédicte received a China Daily Asian Women Leadership Award, recognizing women who are role models in entrepreneurship, innovation, charity and the empowerment of women.

Upcoming Lectures

Second Lecture ~ 17 Nov: Dr Tony Tan, CFA Institute, On ethics

Third Lecture ~ 07 Dec: Alice Law, MPFA, On regulatory expectations

Registration via www.AIIFL.com / Enquiries: fkleung@hku.hk

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