



# 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*

## *Second Lecture*

### **Why behaving ethically is so hard**

**Dr Tony TAN, CFA**  
*CFA Institute*

**Thursday, 17 November 2016, 12:30 – 1:30 pm**  
5/F, Wing On Centre, 111 Connaught Road Central, HKSI Institute

**Synopsis** The lecture will discuss why behaving ethically is so difficult. Using a combination of theories involving philosophy, psychology and behavioural economics, Dr. Tan will illustrate a common mis-understanding of the homo sapien and how we rationalise bad behaviour. He will also explain conditions that increase dishonesty and possible solutions that can decrease it.

**Speaker bio** Tony Tan is Head of the Global Society Advocacy Engagement and Standards & Advocacy division for CFA Institute for the Asia Pacific region. He is responsible for leading CFA Institute efforts in advocacy, policy development, and regulatory outreach. Dr. Tan received his doctorate from the University of Western Australia. Additionally, he holds a Master of Research degree from the same university and a Master of Science in Financial Economics degree from the University of London. He is also a CFA charterholder.

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

### Upcoming Lectures

*Third Lecture ~ 07 Dec 2016*: Alice Law, MPFA, On regulatory expectations

*Fourth Lecture ~ 15 Feb 2017*: Greg Heaton, SFC, On licensing