

IMAS 6th Regulatory & Legal Roundup Forum

Friday, 15 February 2019, 1.30pm to 5.30pm
23 Church Street, #06-01 Capital Square One, Singapore 049481

Time	Programme	Speaker(s)
1.30 pm	Welcome Remarks	Rodney Lim – Chairman IMAS Regulatory Committee
1.40 pm	Opening Address	Lim Cheng Khai – Executive Director Monetary Authority of Singapore
2.00 pm	Overview of Overseas Regulations & Developments – Asia, ex China and Singapore	Stephanie Magnus – Principal, Baker & McKenzie.Wong & Leow
2.20 pm	Overview of Overseas Regulations & Developments – China	Natasha Xie – Partner, JunHe
2.40 pm	Overview of Overseas Regulations & Developments – Europe	Jason Valoti and Jonathan Quie – Partners, Simmons & Simmons JWS
3.00 pm	Overview of Overseas Regulations & Developments – U.S.	Nigel Austin – Special Counsel, COO World Compass & World Passport, Dechert LLP
3.20 pm	COFFEE BREAK	
3.45 pm	Overview of Changes to Securities and Futures Act & Regulations in Singapore	Ho Han Ming – Partner and Co-head, Asia Investment Funds Practice, Sidley Austin LLP
4.05 pm	Understanding the Developments in Taxation	Mriganko Mukherjee – Partner, Financial Services and International Tax, Ernst & Young Solutions LLP
4.25 pm	Practical look into Harnessing Technology in Implementing Compliance Surveillance	Loretta Yuen – Executive Vice President, Group Legal & Regulatory Compliance, OCBC Bank
4.45 pm	Thematic Jurisdictional Insight into Conduct, Culture & Accountability	Peter Guy – Co-founder & Editor-At-Large Regulation Asia
5.05 pm	Closing Remarks	Rodney Lim – Chairman IMAS Regulatory Committee
5.15 pm	End of Forum	

Topic: Overview of overseas regulations & developments Asia, ex. China and Singapore



Stephanie Magnus, Principal, Baker & McKenzie.Wong & Leow

Stephanie Magnus is a principal in the Corporate & Securities Practice Group and heads up the Financial Services practice in Singapore, and is part of the Firm's Asia Pacific Insurance Steering Committee. She has significant experience in compliance, and she focuses on clients in the financial services sector. She advises on regulatory and compliance issues, particularly in the financial services, insurance and commodities sectors.

Stephanie regularly advises international banks, capital market intermediaries, fund managers, insurance companies and other financial institutions on compliance and regulatory matters, and works closely with her clients to navigate these matters.

She also works on merger and acquisitions transactions involving financial institutions, including banks, insurers and capital market intermediaries.

Stephanie seeks to be a trusted adviser to clients, and has been valued by clients for her "efficient management" and that she is "up to speed on regulatory matters in Singapore, going beyond telling us just what the law says" (Chambers, 2014).

Topic: Overview of overseas regulations & developments

China



Natasha Xie, Partner, JunHe

Widely acknowledged as a leader in the provision of legal services for the derivatives market and private securities investments, Ms. Xie has had significant involvement in the formulation of law and policy for both the private fund industry and the derivatives markets in China. With almost twenty years' experience in financial regulatory compliance and complex transactions involving financial institutions, Ms. Xie has resolved and implemented effective legal solutions for a wide range of clients. Of note, she has assisted numerous international institutional investors with their China market entry, earning emphatic endorsements from her clients.

Topic: Overview of overseas regulations & developments

Europe



Jason Valoti, Partner, Simmons & Simmons

Jason Valoti is a partner in the Singapore office of Simmons & Simmons. Jason heads up the firm's APAC Derivatives and Structured Products Practice. He acts for asset and investment managers and international investment banks in relation to trading and transactional documentation, structured debt arrangements, prime brokerage agreements, structured and OTC derivative transactions, synthetic and cash CLOs and repackaged securities and other asset and fund backed structures. Jason also advises clients in the market in relation to equity and commodity linked note, warrant and certificate issues.

Topic: Overview of overseas regulations & developments

Europe



Jonathan Quie, Partner, Simmons & Simmons

Jonathan Quie is a partner in the Singapore office of Simmons & Simmons. Jonathan joined Simmons in 2011 in Hong Kong and subsequently relocated to Singapore in 2014 to assist with the establishment of the Singapore office. Jonathan leads the firm's buy-side derivatives practice in Asia and specialises in prime brokerage, derivatives, derivatives regulation and structured products. He advises asset managers (both hedge fund and institutional) on all aspects of their trading relationships with market counterparties, including prime brokerage, derivatives and other trading agreements. He also provides specialist advice to clients in relation to financial regulation.

Topic: Overview of overseas regulations & developments

U.S.



Nigel Austin, Special Counsel, COO World Compass & World Passport, Dechert LLP

Nigel Austin is the Chief Operating Officer of Dechert's World Compass and World Passport, providing global online regulatory and registration services to financial services businesses.

Mr. Austin has over 25 years of financial services experience, much of which was in-house in various legal, regulatory and leadership roles globally.

Most recently he was the Head of International Compliance at Janus Capital Group. Where he was responsible for managing the group compliance functions across EMEA, Japan, Pan-Asia and Latin America. Prior to this, Mr. Austin was COO EMEA at Janus Capital Group responsible for running the EMEA business across offices in London, Paris, Frankfurt, Milan, Dubai, Zurich and The Hague.

Topic: Overview of Changes to Securities and Futures Act & Regulations in Singapore



Han Ming Ho, Partner and Co-head, Asia Investment Funds Practice, Sidley Austin LLP

Han Ming Ho is a partner and co-head of Sidley's Asia Investment Funds practice and is based in Singapore. He focuses on fund formation of open-ended and close-ended entities and related regulatory matters as well as regularly advises fund managers on the establishment of business operations in Singapore, together with the establishment, structuring and registration of investment funds in Singapore and various other Asia-Pacific jurisdictions.

He is also the Asia-Pacific Board (Council) Director and Singapore National Group Chairman of AIMA (Alternative Investment Management Association), a member of the Advocacy Committee of SVCA (Singapore Venture Capital & Private Equity Association), a member of the Regulatory Committee of IMAS (Investment Management Association of Singapore) and a member of the Fund Management Working Group, IBF (The Institute of Banking & Finance).



Mriganko Mukherjee, Partner, Financial Services and International Tax, Ernst & Young Solutions LLP

Mriganko is a partner with the Financial Services and International Tax group in Ernst & Young Solutions LLP in Singapore. He has over 13 years of experience as an international tax consultant in the financial services space, specializing in providing tax advisory services to clients in the wealth and asset management industry.

In Singapore, Mriganko has advised global private equity, venture capital and hedge fund managers on their fund structure and management structures and applied for Singapore tax incentives from the Singapore regulators. He works closely with clients throughout the life-cycle of the fund.

Topics: Practical look into Harnessing Technology in Implementing Compliance Surveillance



Loretta Yuen, Executive Vice President, Group Legal & Regulatory Compliance, OCBC Bank

Loretta was appointed General Counsel and Head of Group Legal and Regulatory Compliance in September 2010 and Executive Vice-President on 1 June 2015. Loretta oversees the full spectrum of legal and regulatory risks, including anti-money laundering, across OCBC Bank and its subsidiaries, and provides advice on regulatory risks and legal issues involved in decisions to management, so that management can make informed strategic choices within an acceptable legal and regulatory risk profile.

Loretta has over 18 years of legal and regulatory experience in banking and finance. Loretta was conferred the IBF Distinguished Fellow award in 2016. The IBF Distinguished Fellow is a significant role model who serves as a beacon of excellence for the financial industry.

Loretta was also conferred the Outstanding Singapore Chief Legal Officer Award in 2017 by the Singapore Corporate Counsel Association

Topic: Thematic Jurisdictional Insight into Conduct, Culture & Accountability



Peter Guy, Co-founder and Editor-at-Large, Regulation Asia

Peter Guy is Co-founder and Editor-at-Large for Regulation Asia, a specialist provider of regulatory news and intelligence for Asia Pacific financial services.

A former international banker and award-winning financial journalist, Peter's coverage includes banking, capital markets, and asset management – often demonstrating a willingness to tackle topics that most others shy away from.

Peter is also involved in editorial strategy and production at Regulation Asia, where he applies his industry experience and analytical expertise to help shape the regulatory agenda across the region.

Peter is also a regular contributor and columnist for the South China Morning Post.

Thank you!

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