

Maximising operational & corporate performance

Governance, Risk & Compliance Asia

28 – 30 June 2010, Crowne Plaza, Hong Kong

Hear 15 cross-industry case studies from in-house governance, risk and compliance practitioners:



Kym Fortescue
Chief Compliance Officer -
Group Compliance
**AMERICAN INTERNATIONAL
ASSURANCE COMPANY**



Steve Tunstall
Group Risk Manager
CATHAY PACIFIC AIRWAYS



Kris Lee
Manager Fraud Investigative
Services Asia Pacific & India
DOW CHEMICAL PACIFIC



Angelina Kwan
Managing Director
Chief Operating Officer
Asia Pacific Region
**CANTOR FITZGERALD
(HK) CAPITAL MARKETS**



G. Michael Bennett
Chairman, Audit Committee -
Board of Directors at CPHI,
CAGC, SHZ, CEO,
**AMERICAN GENERAL
BUSINESS ASSOCIATION**
Senior Advisor, **SWISS PRIVATE
CLIENT CAPITAL & CFO,**
**CHINA ARCHITECTURAL
ENGINEERING**



Veejay Madhavan
Director of Compliance
Insurance
**PRUDENTIAL
CORPORATION ASIA**

- **Ricky Short**, APAC Head of Compliance, **ALCATEL-LUCENT**
- **Martin Tolar**, CEO, **AUSTRALASIAN COMPLIANCE INSTITUTE**
- **Chadaporn Tanakasemsub**, Regional Regulatory Affairs Director, **BAUSCH AND LOMB ASIA PACIFIC**
- **Michael K.H. Chan**, CEO, **C&C ADVISORY SERVICES LIMITED**
- **Graham Lee**, Vice President, Group Business Continuity Management, **DBS BANK (HONG KONG)**
- **Steve Thurley**, Vice President, Asia Pacific and Japan, **FRSGlobal**
- **Adrian Sit**, Manager - Group Information Security, Group Management Services, **HUTCHISON WHAMPOA**
- **Scarlet Li**, SOX Program Manager, **ING Asia/Pacific**
- **Antonio Martinez Marroquin**, Regional Head Internal Audit, **NOVARTIS ASIA PACIFIC**
- **Justin Dundas-Smith**, Chair, Singapore Chapter, **OPEN COMPLIANCE & ETHICS GROUP (OCEG)**
- **Neville Tiffen**, Global Head of Compliance, **RIO TINTO**
- **Elmer D. Nitura**, Head, Corporate Governance Office, **SMART COMMUNICATIONS**
- **Joe Nekic**, Senior Regional Manager, Partner & Asset Protection Asia Pacific/ Greater China, **STARBUCKS**
- **John Bradfield**, Regional Compliance Counsel Asia Pacific, **SYNGENTA**
- **Scott Lane**, Principle, **THE RED FLAG GROUP**
- **Michael Short**, Director, **WORLD-CHECK**

Join our pre-conference workshops for practical, focussed learning:

Monday, 28 June 2010

Workshop A: Developing robust risk and compliance programmes

Workshop B: Gaining commercial advantage through strongly linked risk, governance & compliance

Organiser:



Participating sponsor:



Supporting sponsor:



Supporting associations:



To register, contact Ethical Beacon on +852 2219 0111, email: info@EthicalBeacon.com or visit: www.RiskComplianceAsia.com

Governance, Risk & Compliance Asia

Pre-Conference Workshops

28 June 2010, Monday

9:00 – 12:30

Workshop A

Developing robust risk and compliance programmes

- Designing and implementing strong compliance risk and control frameworks
- Establishing enterprise risk and compliance data mart, ERCDM
- Monitoring and reviewing risk and compliance via single-version-of-truth internal MIS and regulatory reporting
- Building a risk, compliance and performance oriented culture

Steve Thurley, Vice President, Asia Pacific and Japan, FRSGlobal

Stephen Thurley has over 20 years experience in providing banking solutions in Europe, Asia and the Americas. Prior to joining FRSGlobal, Steve served as a Director of Fiserv CBS Asia Pacific, a supplier of financial solutions to mid and large tier banking organisations. Steve was also responsible for both the delivery of these solutions on a license and outsourcing basis.

12:30 Lunch

13:30 – 17:00

Workshop B

Gaining commercial advantage through strong risk, governance & compliance

- Linking key risk and compliance indicators and metrics with key business performance indicators
- Knowing the cost of poor governance
- Improving quality and reliability of data for reporting
- Achieving valuable productivity improvements through integrated compliance, risk and governance

Michael K. H. Chan, CEO, C&C ADVISORY SERVICES LIMITED

C&C Advisory Services Limited provides assessment and services relating to corporate governance, internal control, enterprise risk management, internal audit and compliance.

Mr. Chan has over 30 years' experience in compliance and enterprise risk management, internal auditing, IT auditing, information security, auditing, financial management, corporate secretarial and administration, MIS management and training gained from working in Big Four firms and multi-national corporations in Hong Kong, England and Australia.. Mr. Chan is a Senior Advisor of the International Association of CFOs and Corporate Treasurers (China) ["IACCT"] and an Adjunct Professor of the School of Accounting and Finance, Hong Kong Polytechnic University. Before founding C&C, Mr. Chan was the Head of Group Compliance of Ping An Insurance (Group) Company of China, Limited

Conference Day One

29 June 2010, Tuesday

8:20 Registration & coffee

8:50 **Opening remarks from the Chairperson**
Martin Tolar, CEO, AUSTRALASIAN COMPLIANCE INSTITUTE

Integrated and enterprise programmes

- 9:00 **KEYNOTE: Governance, Risk & Compliance – linking it all together**
- Improving risk and compliance through strong corporate governance - increasing responsiveness through management culture, better processes and improved accountabilities
 - Developing interdependence, strong reporting and transparent communication between functions, committees, and the board
 - Identify governance vulnerabilities which contributed to the GFC, and links to improving compliance and risk activities

Angelina Kwan, Managing Director, Chief Operating Officer, Asia Pacific Region, CANTOR FITZGERALD (HK) CAPITAL MARKETS

- 9:40 **CASE STUDY: Unifying risk management across the business**
- Moving beyond the main risk register
 - Gaining board buy-in in a meaningful way
 - Avoiding resource hungry technology driven solutions to risk management
 - Quantifying the importance of culture in your risk management programmes
 - Managing risk for smaller subsidiaries

Steve Tunstall, Group Risk Manager, CATHAY PACIFIC AIRWAYS

- 10:20 **Achieving proactive risk due diligence & avoiding corruption and governance risks**
- Ensuring an active and pragmatic approach to assessing risk posed by business partner entities
 - Complying with anti corruption and AML legislations, and their mitigation
 - Navigating risk in unfamiliar markets
 - assessing the human factor risks
 - minimising exposure to bribery and corruption
 - complying with local and international regulation and standards of business ethics

Michael Short, Director, WORLD-CHECK

11:00 Morning tea

Compliance models

- 11:30 **CASE STUDY: Compliance best practice**
- Driving compliance programmes across your company
 - Establishing policies and processes for compliance
 - Conducting compliance training and awareness across your organisation
 - Actively monitoring compliance by business partners and suppliers

John Bradfield, Regional Compliance Counsel Asia Pacific, SYNGENTA

- 12:10 **CASE STUDY: Forward-looking, principles based compliance & risk models**
- Adapting your regional or global risk and compliance models for local conditions
 - Anticipating change in business and regulatory environments
 - Achieving connectedness between compliance, audit and risk programmes
 - Developing a principles based risk & compliance approach

Veejay Madhavan, Director of Compliance, Insurance,
PRUDENTIAL CORPORATION ASIA

12:50 Lunch

Multi-jurisdictional compliance

- 13:50 **CASE STUDY: Managing cross-border regulatory requirements**
- Maintaining strong relationships with Regulatory bodies – locally and regionally
 - Working with entities to achieve local compliance
 - Implementing tools and processes to assist regional staff
 - Extending your corporate governance standards and principles across borders in the region
 - Conducting risk assessments in China and emerging Asian economies

Chadaporn Tanakasemsub, Regional Regulatory Affairs Director,
BAUSCH AND LOMB ASIA PACIFIC

- 14:30 **CASE STUDY: Managing compliance in emerging Asian economies**
- Identifying gaps in legislation, and your normal business practices or logic
 - Conducting compliance reviews and assessments for local entities
 - Introducing governance practices
 - Addressing issues of Director liability in emerging economies
 - Building strong relationships with regulatory bodies in emerging countries

Neville Tiffen, Global Head of Compliance, **RIO TINTO**

15:10 Afternoon tea

Internal governance & compliance

- 15:30 **CASE STUDY: Achieving business integrity through good corporate governance, culture and regional compliance**
- Linking corporate ethics, values and governance standards to your regional compliance and risk programmes
 - Ensuring transparency and accountability in a highly regulated industry
 - Maintaining business integrity standards through partner networks
 - Implementing practices to monitor compliance to standards

Antonio Martinez Marroquin, Regional Head, Internal Audit,
NOVARTIS ASIA PACIFIC

- 16:10 **CASE STUDY: Audit committee best practice**
- Ensuring responsiveness by audit committees to demands of investors, regulators, and the board
 - Maintaining independence and objectivity by audit committees
 - Appointing an effective external auditor, and evaluating them
 - Complying with the Code on Corporate Governance practices
 - Achieving ongoing and comprehensive evaluation of processes and programmes

G. Michael Bennett, Chairman, Audit Committee - Board of Directors
at CPHI, CAGC, SHZ, CEO, **AMERICAN GENERAL BUSINESS
ASSOCIATION**, Senior Advisor, **SWISS PRIVATE CLIENT CAPITAL
& CFO**, **CHINA ARCHITECTURAL ENGINEERING**

16:50 Close of day one and networking cocktails

Conference Day Two

30 June 2010, Wednesday

8:30 Registration & coffee

8:50 Opening remarks from the Chairperson

GRC performance attributes

- 9:00 **KEYNOTE: Enabling benchmarking & performance through a standards based approach to Governance, Risk & Compliance**

Justin Dundas-Smith, Chair, Singapore Chapter,
OPEN COMPLIANCE & ETHICS GROUP (OCEG)

- 9:40 **CASE STUDY: Beyond box-ticking & compliance to actual performance & instilling a culture of good corporate governance in the company**

- Creating a road map in ethics and compliance: vision, mission, core values and strategy
- Gaining support from senior management/setting the 'tone from the top'
- The 3Es in ethics and corporate governance: engineering; education; and enforcement
- The 3Cs in ethics and corporate governance: compliance, competence and culture
- Integrating corporate governance with corporate social responsibility
- Encouraging buy-in from internal and external stakeholders and extending it to third-party business partners

Elmer D. Nitura, Head, Corporate Governance Office,
SMART COMMUNICATIONS

Compliance and governance for listed companies

- 10:20 **CASE STUDY: Sarbanes-Oxley**

- Minimising SOX regulatory burden and systematic paper chases
- Meeting financial reporting standards for SOX Section 404
Addressing factors in a practical way which affect your SOX compliance:
 - internal control programmes
 - human factors
 - accountability
 - communication
 - reporting and monitoring

Scarlet Li, SOX Program Manager,
ING Asia/Pacific

11:00 Morning tea

Fraud risk & controls

11:30 **CASE STUDY: Internal fraud mitigation**

- Identifying opportunistic fraud risk drivers
- Implementing strong investigative techniques
- Proactively assessing and measuring internal threats
- Maintaining control of supply chain, partner, vendor and procurement related fraud
- Encouraging fraud risk awareness and culture throughout your organisation

Kris Lee, Manager, Fraud Investigative Services Asia Pacific & India, DOW CHEMICAL PACIFIC

12:10 **CASE STUDY: Maximising results of investigations**

- Measuring effectiveness and ROI of investigative processes
- Scoping investigations effectively
- Adopting strong interview techniques
- Investigating and overcoming more evolved and sophisticated methods of deception
- Implementing strong risk intelligence practices which assist in investigations

Joe Nekić, Senior Regional Manager, Partner & Asset Protection Asia Pacific/ Greater China, STARBUCKS

12:50 Lunch

Anti-corruption

13:50 **Tackling bribery & corruption**

- Identifying key risks and indicators
- Embedding FCPA anti-bribery principles and practices across the enterprise
- Monitoring staff who deal with Governments
- Tracking and maintaining transparency regarding employee expenditures
- Analysing commissions and other payments
- Integrating anti corruption, fraud and AML programmes

Scott Lane, Principle, THE RED FLAG GROUP

14:30 **CASE STUDY: Developing workable whistleblowing programmes**

- Implementing and promoting a successful reporting hotline
- Preventing hostility and alienation by whistleblowers
- Encouraging staff to report ethical and legal violations
- Overcoming barriers to successful programmes: trust, fear of retaliation, hostility and alienation of whistleblowers
- Managing cultural considerations in different countries

Kym Fortescue, Chief Compliance Officer - Group Compliance, AMERICAN INTERNATIONAL ASSURANCE COMPANY

Ricky Short, APAC Head of Compliance, ALCATEL-LUCENT

15:10 Afternoon tea

Business resilience

15:30 **CASE STUDY: Effective business continuity planning**

- Maintaining strong business continuity preparedness for evolving or emerging risks
- Gaining demonstrated and meaningful senior management and board sponsorship
- Evaluating and prioritising business interruption threats in five key areas:
 - the workplace
 - systems
 - key personnel
 - interdependency
 - records and data

Graham Lee, Vice President, Group Business Continuity Management, DBS BANK (HONG KONG)

Information risk & governance

16:10 **CASE STUDY: Achieving information security governance**

- Protecting integrity and confidentiality of information and data throughout the information lifecycle
- Minimising information security risks through robust policies and strategies
- Responding to data breaches or loss
- Managing privacy issues, from data capture to usage

Adrian Sit, Manager - Group Information Security, Group Management Services, HUTCHISON WHAMPOA

16:50 Close of conference

Attend this conference to:

- Improve processes and accountabilities for risk & compliance
- Achieve strong corporate governance & ethics
- Implement strategic & unified risk management
- Tackle bribery and corruption
- Mitigate against internal fraud
- Maximise results of investigations
- Manage multi-jurisdictional regulatory requirements
- Improve corporate culture for risk, governance & compliance

Business development opportunities

Demonstrate how your solutions and services help in combating corporate fraud. Join a senior audience of pre-qualified budget holders responsible for fraud prevention in their respective organisations. Executives are looking for advice, consultation and technology solutions that will help them to do their job more effectively.

Sponsoring this summit will give you the opportunity to introduce new products, demonstrate thought leadership and enhance your corporate profile. Beacon will work with you to ensure that your sponsorship package reinforces access to your intended audience. Please contact:

Mabel Ho at (852) 2531 6228 or email to mho@EthicalBeacon.com

Why you should attend

In response to market uncertainties, increased expectations of regulators, customers, investors, and the board, it is critical to understand the links and implement strong management systems. Beacon's Governance, Risk & Compliance Asia summit will help you to identify and respond to threats more thoroughly through robust frameworks, controls, policies and practices.

Our agenda features over 20 market leading speakers covering 15 case studies, and 2 workshops. Learn from and network with the best, and share your views on the topics discussed.

Who should come?

This programme has been designed to provide valuable guidance to the following professionals across a variety of industry sectors:

Managers & heads of:

- Risk
- Compliance
- Fraud
- Anti-corruption
- Governance
- Ethics
- Regulatory affairs
- Audit & control
- Inhouse Counsel/legal

About Ethical Beacon



Ethical Beacon is dedicated to delivering the most innovative, insightful & valuable must-attend conferences and training events in the areas of compliance and anti-corruption in Asia.

Our compliance and anti-corruption events have time and again been first-to-market, leading the way in practical education for In-house Counsel and Compliance Executives across APAC. Ethical Beacon's events create a unique platform that brings together forward-thinking practitioners from key industries with a common goal of creating and implementing better compliance in Asia and turning corporate ethics and compliance into a competitive advantage for their businesses. Website: www.EthicalBeacon.com

About our participating sponsor



Trusted by more than 3 800 institutions in over 160 countries, including 49 of the world's top 50 banks, **World-Check** offers an end-to-end solution for assessing, managing and remediating financial, regulatory and reputational risks. World-Check's global database of Politically Exposed Persons (PEPs) and heightened risk individuals and entities, due diligence reports, passport verification and country risk assessment tools provide the means to address the full spectrum of risk across all markets and industries. Represented across five continents, **World-Check's** international research team monitors emerging risks in more than 50 languages, covering over 240 countries and territories worldwide. Website: www.world-check.com

About our supporting sponsor



The Red Flag Group is one of the world's leading independent Corporate Governance and Compliance firms providing thought leadership around Compliance to Fortune 1000 companies.

Our main goals include helping companies develop and maintain efficient and effective Governance and Compliance programs in the emerging markets. Our Technology Solutions are leading edge - providing practical web based solutions to manage Compliance risks globally. Website: www.redflaggroup.com

What past delegates of Ethical Beacon have said:

"A wide variety of relevant topics, experienced speakers and good content – all packed into one conference"

(Vikram Singh, Chief Compliance Officer, GE Capital Asia)

"Instructive, interesting and very relevant topics"

(Nick Malhotra, Director Compliance Asia, Philip Morris Asia)

"Enjoyed the conference and found it useful"


(Dominic Sheils, Group Compliance Counsel, John Wood Group)


"The speakers and materials are very helpful"

(Yousef Ali, Head of Internal Review, Meraas Holding)




Governance, Risk Compliance Asia 28 – 30 June 2010, Hong Kong

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Wanchai, Hong Kong

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EH551 MM WEB

I will attend the summit:

- 2 Day Conference + Workshops (28-30 June 2010)
 2 Day Conference (29-30 June 2010)
 My company is a
 a member of ACI / HKCCA / ICA / OCEG and I claim 15% discount

HOTEL INFORMATION

Crowne Plaza Hong Kong
 8 Leighton Road, Causeway Bay
 Tel: +852 3980 3980 • Fax: + 852 3980 3900
 Reservations: www.crowneplaza.com
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Fee Table	Day	Register by 23 April 2010#	Register by 28 May 2010#	Thereafter
2 Day Conference + Workshops	3	USD 2,495	USD 2,695	USD 2,895
2 Day Conference	2	USD 1,695	USD 1,895	USD 2,095

*On-site registration: US\$200 surcharge will be collected and no discounts are available.# Early bird rates are contingent upon payment being received within 14 days from the registration date. All discounts can only be applied at the time of registration and discounts cannot be combined. In the event that more than one discount is applicable, delegates will receive the discount with the highest value. All discounts are subject to approval. Please note the conference fee does not include travel or hotel accommodation costs.

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Please tick the relevant box to indicate your method of payment. (When making payment, please include delegate name and conference code: EH551)

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Cancellation Policy:

Should you be unable to attend, a substitute delegate is always welcome at no extra charge. We can also provide a credit note for attendance at any future event. Alternatively, a 50% refund will be provided for cancellations received in writing (letter or facsimile) no later than four weeks prior to the event; thereafter we regret no refunds can be made. ©2010 Beacon Events Ltd. All rights reserved.

To register, contact Ethical Beacon on +852 2219 0111, email: info@EthicalBeacon.com or visit: www.RiskComplianceAsia.com