

## Mis-selling of Financial Products:

*How are investors protected in today's marketplace?*

Sponsored by the Institutional Investor Educational Foundation (IIEF) and CFA Institute, this half-day conference will address topics relating to rights and protection of Asian investors:

- Findings of the CFA Institute [\*Global Market Sentiment Survey 2013\*](#)
- Mis-selling and the regulatory landscape in Asia
- Challenges facing financial advisers and distributors in the delivery of financial products to private clients
- Views and experiences of how investor rights are enforced in the United States and other jurisdictions, and how investors can recover losses
- Development of class action suits and other remedial actions available in Asia

### Keynote Speakers:

- Anthony Neoh, Former Chief Adviser to the China Securities Regulatory Commission, Beijing
- Paul Smith, CFA, Managing Director, Asia Pacific, CFA Institute
- Sou Chiam, LL.M., CEO, Financial Dispute Resolution Centre Ltd, Hong Kong

### Moderator:

Stuart Leckie, Chairman, Stirling Finance, Hong Kong, and Founding Chairman, Hong Kong Retirement Schemes Association

### Among our Panelists:

- Reuben Guttman, Director, Grant & Eisenhofer P.A., Washington
- Daniel Summerfield, Co-Head Responsible Investment Team, USS Superannuation Fund, London
- Tan Kin Lian, Founder and Director, Tan Kin Lian & Associates and former CEO, NTUC Income, Singapore

## Investor Rights and Protection Forum

Hong Kong

Wed, 27 February 2013

8:00 AM – 12:00 PM

### Keynote Speakers



**Anthony Neoh**

Anthony Neoh was Chief Adviser to the China Securities Regulatory Commission (CSRC). In addition to being Visiting Professor at Peking University, he holds various adjunct academic appointments in universities in China, including Hong Kong. He was Chairman of the Hong Kong Securities and Futures Commission from 1995 to 1998.

**Paul Smith, CFA**

Paul Smith, CFA, has more than 25 years of financial leadership experience in the investment management industry. Until 2006, he was global head of alternative funds administration for HSBC (previously Bank of Bermuda), where he was responsible for the administration of over US\$250 billion of client assets. Prior to joining CFA Institute in 2012, he was CEO of Asia Alternative Asset Partners.



**Sou Chiam**

Sou Chiam is CEO of the Financial Dispute Resolution Centre Ltd, Hong Kong. She was Senior Legal Counsel and Head of the Human Rights Policy Unit in the New Zealand Human Rights Commission and most recently was Secretary to the Mediation Task Force chaired by the Hong Kong Secretary of Justice.

*This event is complimentary to CFA Institute and IIEF Members.  
Non-member fee is HKD 750 / USD 100.*

**Register Online:** ([www.iief.org/register](http://www.iief.org/register))

Or contact:

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