

**HK TRUSTEES' ASSOCIATION LTD**  
**PO Box 8493**  
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**A SEMINAR ON**

**HOW TO TACKLE RISKS IN BUSINESS CHANGES, CONFLICTS OF INTEREST AND  
EXTERNAL SERVICER OF TRUSTEE INDUSTRY**

Speaker: Mr Dominic Wu (Managing Director and Senior Risk Manager, Financial Markets and Treasury Services, Bank of New York Mellon)

Date: Wednesday, 22 January 2014

Time: 6.00 p.m. – 7.00 p.m.

Venue: HK International Arbitration Centre, 38/F Two Exchange Square, Central, Hong Kong

Dominic Wu is the Managing Director and Senior Risk Manager with BNY Mellon covering the operational risk activities within their Treasury and Financial Markets in Asia Pacific. Dominic has more than 18 years of extensive experience in the investment, commercial, consumer, custodian and private banking practice gained from Japanese, European and US banks, and also in an international accounting and consulting firm specialising in information and operational risk management formulation and execution. He has also led several industrial working groups to address the issues and work out the roadmap for the ORM practice. Formerly, he has been a tutor with the University of Hong Kong lecturing on investment and accounting to the general public. He has also written articles on promoting ORM awareness and practices in Asia-Pacific which is published in books and newspapers. He was a consultant working for Risk Management Institute of National University of Singapore to develop and deliver the professional programme on operational risk management. Dominic Wu is the Chairman of the Asia Chapter of the Institute of Operational Risk (IOR), which is a global professional body dedicated to Operational Risk and is based in London.

Mr Wu's seminar will cover the practical approach in risk management relating to the introduction of new business/products, deals and on-boarding of clients. Also, he will touch on the consequence and risk avoidance in the situation of conflicts of interest in the role of the Trustee. Nowadays, Trustee has to rely on other third party service providers to perform various roles and it is important to understand the implication and the risk mitigation techniques. The seminar will comprise of presentation and case study for illustration.

- Risk outlook in Trustee Industry
- Risk assessment of new products, new deals, new businesses and new clients
- Handling of conflicts of interest faced by a trustee
- How a trustee is to monitor its various service provider
- Risk mitigation approach

Those interested should register using the attached seminar enrolment form.

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**SEMINAR ENROLMENT FORM**

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The cost per person is HK\$300 for members of the HK Trustees' Association Ltd\* and STEP, and HK\$400 for non-members. (\*Any staff, not only the nominated representative of the HKTA member, can attend the seminar at a cost of \$300). Applications for ten or more members can enrol at a special discount fee of \$275 per person. Please complete this form and return it to us at the above address with your cheque made payable to **HK Trustees' Association Limited**.

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Name of Member/Company \_\_\_\_\_

Name(s) of attendee(s) \_\_\_\_\_

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Cheque total: \_\_\_\_\_ Cheque No. \_\_\_\_\_

Contact Person: \_\_\_\_\_ Telephone: \_\_\_\_\_

Email: \_\_\_\_\_ Fax: \_\_\_\_\_

(NB: Payments are non-refundable unless the event is cancelled by the Association.  
Bookings are only confirmed with payment, on a first-come, first-served basis)