

Network Management 2010

# NeMa Asia

BOOK BY  
8th October 2010  
& SAVE up to  
**£300**

"All topics  
absolutely relevant to  
our business today and  
in the future"  
Lilla Juranyi, ING Bank

Over 300  
attendees at NeMa  
Europe this year!

## Realigning Your Network By Keeping Abreast Of Latest Clearing & Settlement And Post-Trade Initiatives

10th – 11th November, 2010, The Excelsior, Hong Kong

Hear Top Level Insights From These Following  
Industry Leaders:

- HSBC SECURITIES SERVICES
- CITI
- BROWN BROTHERS HARRIMAN
- STATE STREET
- DEUTSCHE BANK
- STANDARD CHARTERED
- CREDIT SUISSE AG
- UBS INVESTMENT BANK
- NOMURA SINGAPORE LIMITED
- RBC DEXIA INVESTOR SERVICES
- JPMORGAN
- BNY MELLON ASSET SERVICING
- VIETNAM SECURITIES DEPOSITORY
- NATIONAL SECURITIES DEPOSITORY LTD
- LINK-UP CAPITAL MARKETS S.L.
- KOREA SECURITIES DEPOSITORY
- JAPAN SECURITIES DEPOSITORY CENTRE
- DEPOSITORY TRUST & CLEARING COMPANY
- INFORMATION MOSAIC
- SECURITIES AND EXCHANGE BOARD OF INDIA
- SECURITIES COMMISSION MALAYSIA
- SECURITIES & FUTURES COMMISSION
- EUROPEAN COMMISSION
- PING AN SECURITIES CO. LTD
- CLIFFORD CHANCE
- EUROCLEAR
- SEB
- BANK OF TOKYO MITSUBISHI

Key Industry Speakers Taking Part This Year Include:



Colin Brooks  
HSBC SECURITIES  
SERVICES



Sophia Yuen  
STATE STREET



Tim Wood  
RBC DEXIA INVESTOR  
SERVICES



Lee R. Waite  
CITI



Masayuki Tagai  
JPMORGAN



Phuong Hoang Lan  
Huong  
VIETNAM SECURITIES  
DEPOSITORY



Karin Quek  
BNY MELLON ASSET  
SERVICING



Gagan Rai  
NATIONAL SECURITIES  
DEPOSITORY LTD



Roger L.F. Harrold  
DEUTSCHE BANK



Mark Shipman  
CLIFFORD CHANCE



PK Nagpal  
SECURITIES AND  
EXCHANGE BOARD OF  
INDIA



Datuk Ranjit Ajit Singh  
SECURITIES  
COMMISSION  
MALAYSIA

### Strengthen Your Organisation's Network Management By Investigating These Key Areas Of Focus:

- The Future Of Sub-Custody Business In Asia: What Is The Next Wave Likely To Bring?
- Asian Capital Markets – What Are The Operational Challenges & Opportunities For Growth In The Regional Markets?
- Risk Focus - What Does The Network Manager Need To Look For In The Asian Markets And Expect From The Sub-Custodian?
- How Will Infrastructural Change Move The Market In Asia-Pacific?
- CSD Cross Border Linkages – How Is The Landscape Evolving?

**PLUS** Pre-Conference Workshop:  
**Assessing Asia-Pacific Market  
Infrastructure Risks**  
9 November, 2010

Lead Sponsors:



Co-Sponsor:



Marketing partner:

[globalcustody.net](http://globalcustody.net)

Arranged by an **informa** business



Media Partner:



For latest programme & to register, please visit: [www.icbi-events.com/nemaasia](http://www.icbi-events.com/nemaasia)  
Email: [info@icbi.co.uk](mailto:info@icbi.co.uk) Tel: +44 (0) 20 7017 7200 Fax: +44 (0) 20 7017 7807

10th - 11th November, 2010  
The Excelsior, Hong Kong

## Day 1: Wednesday 10 November 2010

09:00 Registration & Coffee

### Chairman's Opening Remarks



**Philippe Dirckx, Managing Director, Head of Intermediaries, Asia Pacific, Securities and Fund Services, Global Transaction Services, CITI**

Philippe Dirckx is a Managing Director in Citi's Securities and Fund Services unit located within the Global Transaction Services business. Philippe is responsible for managing a portfolio of high profile Banks and Broker-Dealer clients ("Intermediaries"). In his role, he also focuses on building partnerships with Infrastructure clients, including regional exchanges, central depositories and clearing corporations. His position includes the development and execution of market advocacy initiatives in the region. Philippe joined Citi in Hong Kong in June 2010 after spending 5 years as Head of Asia Pacific for Euroclear, where he was responsible for all business activities and clients in the region.

### KEYNOTE ADDRESS:

#### Future Of Sub-Custody Business In Asia: What Is The Next Wave Likely To Bring?



**Colin Brooks, Global Head of Sub-Custody and Clearing HSBC SECURITIES SERVICES**

Colin Brooks has been closely involved in the development of securities services in HSBC for almost 20 years. Currently the global head of Sub-Custody and Clearing, Colin is responsible for the business in the 39 markets worldwide in which it currently provides services, spanning four out of the five continents. He is a member of HSBC's Securities Services' Management Committee and represents HSBC on SWIFT's Securities Council.

### 10:20 Polling Panel 1: Risk Focus - What Does The Network Manager Need To Look For In The Asia Markets And Expect From The Sub-Custodian?

- Is there more appetite for risk in Asia than in the rest of the world right now?
- If the risk and costs of business increase due to increased liability, then how much does pricing need to be reworked?
- Risk management considerations
- Counterparty risk
- Custodian risk management and investment monitoring



**Sophia Yuen, Vice President - Global Operations/Network Management & Correspondent Banking STATE STREET**

Sophia Yuen has been working in the Asia Pacific Network Management Team in State Street Bank & Trust, Hong Kong since February 2000. She is responsible for managing the subcustodian relationships of State Street in China, Hong Kong, and Taiwan. In addition, Sophia is the Network representative of State Street in Asia. Before joining State Street, Ms. Yuen worked in the Asia Pacific Network Management Team of JPMorgan Chase, Hong Kong from 1993 to 2000. She was responsible for managing the subcustodian relationships of State Street in China, Korea, Hong Kong, and Singapore.

**Hock Guan Lim, Executive Director**

#### NOMURA SINGAPORE LIMITED

Hock Guan Lim heads up South Asia Operations for Nomura and is also responsible for the Asia Pacific Network Management team. Prior to joining Nomura, he held senior Operations roles in RBC Dexia, Merrill and Credit Suisse.



**Tim Wood, Head - Network Management & Director - Client Services RBC DEXIA INVESTOR SERVICES**

Tim Wood is Head, Global Network Management for RBC Dexia Investor Services. He is responsible for the management of the worldwide sub-custody network providing access to over 90 markets for our clients. Tim joined RBC Dexia Investor Services' predecessor business in 2002, and prior to his current role, was Head of Client Services and Head of Operations and Fund Services until 2009.

**Grant Drabwell, Vice President - Global Network Management CREDIT SUISSE AG**

Grant is the Asia Pacific regional head of network management at Credit Suisse AG in Singapore. He is responsible for the custody and cash relationships for all the Credit Suisse AG group entities investing in the region, covering both Investment and Private banking. Grant joined Credit Suisse AG in Zurich in 2007 and relocated to Singapore in 2009. Prior to joining Credit Suisse AG, Grant spent 12 years at other major financial institutions in London and Frankfurt, including 9 years at Deutsche Bank in a number of operations and project management roles including 3 years in Network Management.

11:10 Morning Coffee

### 11:40 Asian Capital Markets - What Are The Operational Challenges & Opportunities For Growth In The Regional Markets?



**Roger L.F. Harrold, MD, Global Head of Direct Securities Services, DEUTSCHE BANK**

Roger is the Global Head of Direct Securities Services (DSS) and a member of the Global Executive Committee for the Trust & Securities Services business, part of the Bank's Global Transaction Banking division. DSS provides direct and multi-direct custody, clearing, fund services and agency services lending to institutional clients worldwide. In 1995, Roger moved to Singapore during a strategic build up of the Bank's Asian Custody Network. He was responsible for the region's product development for three years before being appointed Head of Securities Services Asia Pacific. In 2002, he was appointed to his current position as Global Head of Direct Securities Services.

### 12:10 Polling Panel 2: Value-Added: What Is Value-Added And What Is Fundamental?



**Goran Fors, Global Head of Custody Services, SEB**

Göran has been Global Head of Custody Services within SEB since 2005. The business area has the responsibility of Custody Services within SEB group. Göran is taking part in many market initiatives and is a Board member of SWIFT, Chairman of the Swedish Euroclear MAC and Chairman of the Swedish T2S NUG.

13:00 Lunch

### 14:20 Polling Panel 3: How Will Infrastructural Change Move The Market In Asia-Pacific?



**Masayuki Tagai, Executive Director - Global Market Infrastructures, JPMORGAN**

Masayuki (Mike) Tagai is the Industry Issues Executive for Asia at JPMorgan's Treasury & Securities Services business. In this role, Mike is responsible for coordinating TSS activity with international market infrastructures and industry associations in the region, monitoring regulatory trends and market practice issues that affect financial market structure development. Mike joined JPMorgan in 2009 after being with the Bank of Tokyo-Mitsubishi UFJ for 27 years where he had extensive experience in transaction banking and industry issues management.

**Paul J. Toomey, Vice President, Network Management - Relationship Team Manager, BROWN BROTHERS HARRIMAN**

Paul Toomey is a Vice President at Brown Brothers Harriman (BBH) in Boston. Mr. Toomey has 17 years experience in the financial services industry in a variety of roles, including subcustodian network management, international corporate actions, client relationship management, fund accounting and project management. When he joined BBH in 1998, Mr. Toomey worked as a manager in the bank's Corporate Actions department. Since 2000, he has been in BBH's Network Management department, where he is currently responsible for subcustodian relationship management and due diligence in over 50 countries; market practice expertise and information products; and the establishment of subcustodian service levels.



**Karin Quek, Regional Manager APAC, Global Network Management**

**BNY MELLON ASSET SERVICING**  
Karin is the Regional Manager, Asia Pacific responsible for Global Network Management in BNY Mellon Asset Servicing for The Bank of New York Mellon, based in Singapore. The Global Network Management team in Singapore is responsible for The Bank of New York Mellon's subcustody network covering 19 markets in Asia Pacific. Prior to The Bank of New York Mellon, Karin spent fourteen years with Standard Chartered Bank's Custody and Custody Clearing Services. While at Standard Chartered, she had several management positions, including an five year assignment in Tokyo.



**Taketoshi Mori, Head of Securities Market Infrastructure Global Network Management, Transaction Services Division, BANK OF TOKYO-MITSUBISHI UFJ, JAPAN**

Taketoshi has worked in the custody business for the past 10 years. He is the committee member of JASDEC, Japan Bankers Association and the Japan Securities Dealers Association. In addition to that, he is engaged in special task of SWIFT activities to develop and promote STP in business processes. Taketoshi is the steering committee member of Securities Market Practice Group (SMPG) as a representative of Asia and Pacific region.

### 15:10 STP Initiatives: How Can Robust Securities Market Infrastructures Contribute To A Risk Managed Environment While Reinforcing Financial Stability And Economic Growth?

- Market infrastructures as safe havens during periods of market unrest
- Preparing for the worst through robust business continuity planning
- Helping the market move from unsecured to secured transactions
- Working with local market infrastructure in Asia to

create larger pools of liquidity and eliminate the complexities of cross-border transactions

- A brief case study: Korean debt securities



**Olivier Grimonpont, General Manager and Head of the Asia-Pacific Region EUROCLEAR BANK**

Olivier oversees Euroclear's offices in Beijing, Hong Kong, Singapore and Tokyo. He is General Manager of the Euroclear Bank branch office in Hong Kong with responsibility for all of Euroclear's business activities and clients in the Asia-Pacific region. Based in Hong Kong, he manages teams of people spread over the four locations. Previously, he headed up Euroclear's Collateral Services, Fixed-Income, Loan Servicing and Securities Lending & Borrowing Product Management teams in Brussels.

15:40 Afternoon Tea

### 16:00 CSD Cross Border Linkages - How Is The Landscape Evolving?



**Phuong Hoang Lan Huong, CEO VIETNAM SECURITIES DEPOSITORY**

Ms. Phuung Hoang Lan Huong is the Chief Executive Officer of Vietnam Securities Depository (VSD). She is one of the founders of VSD and officially assumed office in December 2005. Before joining VSD, Ms. Phuung Hoang Lan Huong had 8 years working at the State Securities Commission (SSC) from 1997 to 2005, she held the positions of Deputy Manager of the Division of Fund Management Companies, Manager of the Division of Securities Companies, and Deputy Director of Securities Business Department.



**Gagan Rai, CEO, NATIONAL SECURITIES DEPOSITORY LTD**

Gagan has been CEO at NSDL since February 2008. Previous positions in his career included Executive Director, Credit Analysis & Research Limited (CARE), Mumbai and before that General Manager, Industrial Development Bank of India (IDBI), Mumbai. Other notable achievements include that he was awarded Distinguished Alumni Award by Shri Ram College of Commerce (SRCC) in 2008, and that he is a fellow of the Economic Development Institute (EDI) of the World Bank.



**Tomas Kindler, Managing Director LINK-UP CAPITAL MARKETS S.L.**

Tomas is Managing Director of Link Up Markets, a Madrid based company founded by seven Central Securities Depositories in April 2008 to improve efficiency and reduce costs of post-trade processing of cross-border securities transactions in Europe. Tomas Kindler joined Link Up Markets from Clearstream, the settlement and custody division at Deutsche Börse Group, where he was inter alia responsible for Clearstream's strategic projects and represented Clearstream in a number of industry discussions on topics such as TARGET2 Securities and the European Code of Conduct for Clearing and Settlement.

**Bong-Lok Oh, KOREA SECURITIES DEPOSITORY**



**Jun Shimizu, Deputy Director of International Department JAPAN SECURITIES DEPOSITORY CENTRE**

Jun Shimizu is a deputy director at the International Department of the Japan Securities Depository Center, Inc. (JASDEC). He joined the JASDEC in September 2006. Prior to his current role, he worked for the Global Depository Services of the Japan Securities Settlement & Custody, Inc. (JSSC) from July 2004 to August 2006. Before that, he worked for the Tokyo Stock Exchange (TSE).

### 16:50 Prime Services Roundtable: Liberation Of The Custodians

*With the threat of prime brokerage on their doorsteps for 3 to 4 years, we assess what custodians have done to innovate not only the product line within the given competitive custody environment, but also what 'out-of-the-box' products they have come out with. Have they taken the battle to the non-custodians' battlefield? Or because some of the big custodians are the same entities as the prime brokerage, do they want to keep the battle in the overcrowded battlefield of custodians only? How many race horses want to stay in the custody arena?*

**Nathan Davison, Managing Director, Co-Head of Asia Global Prime Finance DEUTSCHE BANK**

Nathan has previously worked at Goldman Sachs International, Dresdner Kleinwort Wasserstein and most recently Merrill Lynch International in Europe. He has 13+ years experience of Equity Finance, Prime Brokerage and Synthetics.

17:30 Chairman's Closing Remarks

### 17:40 Close Of Day One And Evening Function

Hosted By



# Abreast Of Latest Clearing & Settlement And Post-Trade Initiatives

Day 2: Thursday 11 November 2010

09:00 Morning Coffee

## Chairman's Opening Remarks



**Dan Massey, Global Head of Business Development and Regional Head Southeast Asia, Sub-Custody & Clearing**  
**HSBC SECURITIES SERVICES**  
 Dan Massey has worked for 23 years in financial services, including the last 16 years with HSBC. Originally from Vancouver, he has worked for

HSBC in several international locations including Hong Kong, London, Seoul and the Channel Islands. He has an extensive securities services background covering the custody, funds and corporate trust areas including both operations and sales activity. His most recent move back to Hong Kong was in October 2008 taking on his current role.

## Evolution Of The Securities Market In Asia: Clearing And Settlement Strategies For Efficiency And Growth



**Lee R. Waite, Managing Director, Global Head of Direct Custody and Clearing, Securities and Fund Services, Global Transaction Services, CITI**

Lee Waite is a Managing Director in Citi's Securities and Fund Services (SFS) unit located within the Global Transaction Services business. He is Global Head of Direct Custody and Clearing (DCC) which predominantly caters to the needs of intermediaries, including Broker-Dealer and Global Custodian clients. As the Global Head of Direct Custody and Clearing (DCC), Lee is responsible for managing the risk, setting global strategy surrounding all DCC products and managing the P & L of the business. He works closely with SFS's client base to develop multi-product strategies to solve complex client issues and is a member of the SFS executive committee.

## Corporate Actions Processing in Asia – Where Are We Now And How Much Further Do We Need To Go?



**Janet Wynn, Managing Director – Global Relationship Management DEPOSITORY TRUST & CLEARING COMPANY**

Janet was named Managing Director, Relationship Management, responsible for the newly organized Major Banks and International Client Segments in April 2008. DTCC currently chairs the Americas Central Securities Depository Association and sponsors an annual training seminar for securities infrastructure providers from around the world. Previously, she was the co-founder of DTCC's newest business, Deriv/SERV, which was launched in late 2003 and currently processes over 90% of all OTC trade confirmations for credit default swaps.

11:00 Morning Coffee

## Mitigating Counterparty And Sub-Custodian Risk



**Manmohan Singh Global Head of Product Leadership & India Operations INFORMATION MOSAIC**

Manmohan Singh is Global Head of Product Leadership and India Operations and an executive board member at Information Mosaic, the global provider of post-trade automation solutions for the securities and investment services industries. He has over 13 years' experience in the capital markets industry, specialising in delivering complex asset servicing solutions for large custodians and working with custodian banks, broker/dealers and asset managers across the globe. Manmohan is an active member of the capital markets community and a regular speaker at industry events.

## Dealing With Differing Market Procedures And Timelines - How Can Regulators Work Together To Bring In Cross-Border Standardisation?

- Regulating for sustainable industry growth: How are the regulators helping to drive the growth and efficient of the Asian markets?
- Regulatory upheavals in the West presenting custodians with likelihood of higher costs of doing business
- Is the Western regulatory change driving more focus on doing business in Asia?
- How is European regulation reshaping global regulation?
- If the risk and costs of business increase due to increased liability, then does pricing needs to be reworked?
- Opportunity or burden?
- Responsibilities of the custodians as they understand them and those as the regulators view



Moderator: **Mark Shipman Partner, CLIFFORD CHANCE**  
 Over the last seven years Mark has been active in developing products to take advantage of the China QFII regime and more recently has been advising investment advisers and custodians on the QDII regime. Mark also advised on establishment of a number of RMB funds including a number of clients on the feasibility of launching and the structure of China RMB funds.

Panelists:



**PK Nagpal, Executive Director – Market Intermediaries Regulation & Supervision SECURITIES AND EXCHANGE BOARD OF INDIA**

PK Nagpal has been actively involved in the formulation and implementation of the regulatory framework in India. He has worked in various Departments responsible for operations in various segments of securities markets - Corporate Finance, Market Regulation, Mutual Funds, Venture Capital Funds, Investigation and Enforcement, and currently in charge of Market Intermediaries Regulation and Supervision Department and also responsible for General Administration and Finance Department.



**Datuk Ranjit Ajit Singh Managing Director SECURITIES COMMISSION MALAYSIA**

Ranjit Singh is Managing Director of the Securities Commission Malaysia and is responsible for the oversight of the Malaysian capital market. This includes direct responsibility for all regulated markets (equity and bonds), related markets infrastructure for trading, clearing and settlement, the regulation and authorization of firms and representatives in investment banking, broking and asset management and for corporate and market surveillance. Ranjit is also responsible for key strategic developmental initiatives and was responsible for the formulation of the Malaysian Capital Market Masterplan, the establishment of a new financial reporting framework and several key deregulation and liberalisation initiative.



**Patrick Pearson Head of Unit, Financial Markets Infrastructure Internal Market DG EUROPEAN COMMISSION (tbc)**

Patrick Pearson is Head of Financial Markets Infrastructure in the European Commission's Internal Market Directorate General. He is heading the team that is responsible for regulating OTC derivatives and clearing and settlement. He previously headed the Commission's banking regulatory team and was responsible for the Financial Services Action Plan. Before joining the European Commission Patrick Pearson worked for the Dutch Finance Ministry.

**SECURITIES & FUTURES COMMISSION (invited)**

12:50 Lunch

## Afternoon Regional Focus Update: Greater China; India; Vietnam; Japan; Korea; Malaysia

A country by country focus on the fundamental features in each market, covering such issues as:

- Political updates
- How are the markets evolving?
- The role of the central depository
- The regulatory environment
- What are the risks?
- Settlement procedures



### A) Greater China: Panel

- QFII Update - How attractive is China to the investor?
- QDII - What is the appetite now? When will outbound flows swell and give the ultimate prize to global custodians trying to navigate cross-border business?



**Andy Ng Director and Head HSBC SECURITIES SERVICES, China**

Andy has overall responsibility for the Securities Services business in China. He has over 16 years of banking management experience in custody and clearing, corporate banking, personal banking and transactional banking, with special focus on foreign and domestic institutional clients. He has been managing HSBC's custody and clearing business in China for over 11 years, during which the department has been top-rated by institutional clients and named as China's No. 1 provider in the Global Custodian Emerging Markets survey. Andy has been invited by regulators to sit in various QFII working group committee/meetings and give comment/input on QFII implementation rules, such as the CSRC/SAFE/CSDC's QFII Implementation Details, on-going settlement and clearing rules, financial futures, and tax issues etc.



**Alvin Goh Director, Head, China, Securities and Fund Services, Global Transaction Services CITI**

Alvin Goh is currently Head of Securities and Fund Services (SFS) for Citi in China. In this role, Alvin is responsible for overall management of all of Citi's China-based Securities and Fund Services business, covering client and sales relationship and product development. Prior to his present appointment, Alvin was concurrently the Regional Client Executive for the insurance sector in Asia Pacific for the Financial Institutions Group and also the Head of Sales for the SFS business in South Asia.



**William Kwok Head of QFII Department PING AN SECURITIES CO. LTD**

William is in charge of QFII business for Ping An Securities, subsidiary of China Ping An Group. He established the trading and marketing platform for Ping An QFII business and has organized various conference and events including: Hong Kong Debut Reception, Shenzhen A Shares Co Visit and Shanghai Ping An Group Visit; plus worldwide roadshow at Korea, Japan and Europe. William has investment banking background at Donaldson Lufkin & Jenrette (DLJ), JPMorgan and HSBC.

## B) Vietnam



**David Gilmour Managing Director Transaction Bank Sales – North Asia STANDARD CHARTERED**

David Gilmour has worked in Corporate and Investment banking for over 20 years. He was educated and grew up in Sydney and has since worked in The Philippines, Hong Kong, Japan and Korea. During his career, David has worked extensively in equity, fixed income and global markets operations in both stock brokers and financial institutions. In his current role, David is Managing Director of Standard Chartered Bank's North Asia Cash Management and Securities Sales for the Investors and Intermediaries segment that covers the Insurance, Fund Managers, Banks and Broker Dealer clients.

## C) Japan (speaker to be announced)

15:30 Afternoon Break

## D) India (speaker to be announced)

## E) Korea (speaker to be announced)

## F) Malaysia (speaker to be announced)

17:00 Chairman's Closing Remarks & Close Of Network Management Asia Forum

Pre-Conference One Day Workshop  
 Tuesday 9 November 2010

## Assessing Asia Pacific Market Infrastructure Risks

Asia Pacific Infrastructure In The Context Of Global Best Market Practice

This interactive workshop outlines what managers should be looking at to assess risks in the post execution environment. What are these risks? Can they be assessed? How can they be intermediated to protect both banks and their underlying clients?

09:30 Registration & Coffee

10:00 Introduction

### Scope Of Post Execution Risk

- Matching systems
- Clearing
- CCPs
- CSDs
- Registration
- Payment systems

### What Risks Need To Be Assessed?

- Asset commitment risk
- Liquidity risk
- Counterparty
- Asset servicing risk
- Financial risk
- CSD on CSD credit risk
- Operational risk
- Legal risk

### Asia Pacific Post-Execution Risks

- Review of current post-trade risks
- Benchmarking selected countries

### Blueprint For A Modern Capital Market

- Best market practice from around the world
- Current trends in post trade infrastructure
- The impact of globalisation

### Lessons From Europe

- Consolidation
- Convergence
- Complexity

Q&A & Conclusion

17:00 Workshop Concludes

## About Your Workshop Leader:



**Tim Reucroft, Director THOMAS MURRAY LTD**

Tim joined Thomas Murray in January 2001 as director with responsibility for research and risk analysis in the European securities markets. Prior to joining Thomas Murray he has worked for Capco and KPMG as a consultant, Salomon Brothers as Head of Derivative Operations and at LIFFE (the UK derivatives exchange) where he was Head of Compliance.

For latest programme & to register, please visit: [www.icbi-events.com/nemaasia](http://www.icbi-events.com/nemaasia)  
 Email: [info@icbi.co.uk](mailto:info@icbi.co.uk) Tel: +44 (0) 20 7017 7200 Fax: +44 (0) 20 7017 7807

**Conference: NeMa Asia** 10 & 11 November 2010  
**Assessing Asia-Pacific Market Infrastructure Risks (Workshop)**  
 9 November 2010

**KP4100**  
**KP4100W**

**Register Now – Five Easy Ways!**

1. Fax this form on +44 (0) 20 7017 7807
2. Post this form to: ICBI NEMA ASIA, 29 Bressenden Place, London, SW1E 5DR, UK
3. Telephone us on +44 (0) 20 7017 7200  
 Email: info@icbi.co.uk always quote **KP4100**
5. Via the website: [www.icbi-events.com/nemaasia](http://www.icbi-events.com/nemaasia)

**VENUE DETAILS**

**Venue:**  
 The Excelsior, Hong Kong  
 281 Gloucester Road  
 Causeway Bay  
 Hong Kong

Email: [exhkg-info@mohg.com](mailto:exhkg-info@mohg.com)  
 Reservations: Telephone: +852 2837 6840  
 Facsimile: +852 2576 7715

Delegates are responsible for the arrangement and payment of their own travel and accommodation. If you wish to book a room at the hotel venue, then please contact the hotel directly, or download the hotel booking form at [www.nema-event.com](http://www.nema-event.com)

**10% DISCOUNT**  
**VIP CODE:KP4100FSRWEB**

Please do not cover VIP code CONFERENCE CODE: KP4100

**1st Delegate:**

Name \_\_\_\_\_  
 Job title \_\_\_\_\_ Department \_\_\_\_\_  
 Direct Tel \_\_\_\_\_ Mobile Tel \_\_\_\_\_  
 Email Address \_\_\_\_\_ Direct Fax \_\_\_\_\_

*I would like to receive information on future events & services via email. By giving you my email address I am giving ONLY IIR companies the permission to contact me by email.*

Yes!! I would like to receive info on future events & services via fax

Signature \_\_\_\_\_

**Hd of Dept: Name**

Job title \_\_\_\_\_ Department \_\_\_\_\_  
 Direct Tel \_\_\_\_\_ Mobile Tel \_\_\_\_\_  
 Email Address \_\_\_\_\_ Direct Fax \_\_\_\_\_

**Booking Contact: Name**

Job title \_\_\_\_\_ Department \_\_\_\_\_  
 Direct Tel \_\_\_\_\_ Mobile Tel \_\_\_\_\_  
 Email Address \_\_\_\_\_ Direct Fax \_\_\_\_\_

**Person who will attend if I have to cancel:**

Name \_\_\_\_\_  
 Job title \_\_\_\_\_ Department \_\_\_\_\_  
 Direct Tel \_\_\_\_\_ Mobile Tel \_\_\_\_\_  
 Email Address \_\_\_\_\_ Direct Fax \_\_\_\_\_

**2nd Delegate:**

Name \_\_\_\_\_  
 Job title \_\_\_\_\_ Department \_\_\_\_\_  
 Direct Tel \_\_\_\_\_ Mobile Tel \_\_\_\_\_  
 Email Address \_\_\_\_\_ Direct Fax \_\_\_\_\_

*I would like to receive information on future events & services via email. By giving you my email address I am giving ONLY IIR companies the permission to contact me by email.*

Yes!! I would like to receive info on future events & services via fax

Signature \_\_\_\_\_

**3rd Delegate:**

Name \_\_\_\_\_  
 Job title \_\_\_\_\_ Department \_\_\_\_\_  
 Direct Tel \_\_\_\_\_ Mobile Tel \_\_\_\_\_  
 Email Address \_\_\_\_\_ Direct Fax \_\_\_\_\_

*I would like to receive information on future events & services via email. By giving you my email address I am giving ONLY IIR companies the permission to contact me by email.*

Yes!! I would like to receive info on future events & services via fax

Signature \_\_\_\_\_

**50% discount**

**YOUR COMPANY DETAILS**

Company Name: \_\_\_\_\_ Nature of Company's business: \_\_\_\_\_  
 Address: \_\_\_\_\_ Postcode: \_\_\_\_\_

| PLEASE SELECT YOURPACKAGE   | DATES            | BOOK BY<br>8th October 2010 | SAVE | BOOK AFTER<br>8th October 2010 | SAVE |
|---|------------------|-----------------------------|------|--------------------------------|------|
| <input type="checkbox"/> 3 Day Package – Conference & Assessing Asia-Pacific Market Infrastructure Risks (Workshop) | 9 – 11 Nov 2010  | £2098                       | £200 | £2198                          | £100 |
| <input type="checkbox"/> 2 Day Package – Conference Only  | 10 – 11 Nov 2010 | £1499                       | £100 | £1599                          | -    |
| <input type="checkbox"/> 1 Day Package – Assessing Asia-Pacific Market Infrastructure Risks (Workshop)              | 9 Nov 2010       | £799                        | -    | £799                           | -    |

\* The VAT rate is subject to change and may differ from the advertised rate. The amount you are charged will be determined when your invoice is raised. All discounts are subject to approval. Discounts can not be combined. The discounts apply to the price at the date of registration. Discounts can only be claimed at the time of registration.

Please use this form as our request for payment. Fax and phone bookings should be made with a credit card number, or followed up by a posted registration form. Places are only guaranteed by full payment, which must be received before the conference.

**I will pay by:**

- Cheque/bankers draft made payable to ICBI for £.....
- Invoice to be sent to my company
- Bank transfer - full details of bank transfer options will be given with your invoice on registration.

Please debit my Mastercard  Visa  Eurocard  American Express

Card Number

Expiry Date / with the sum of £

Signature \_\_\_\_\_

CVV Number

3 digit security code on the reverse of card, 4 digits for AMEX card

**CANCELLATION POLICY**

**CANCELLATION POLICY:** Should you be unable to attend, a substitute delegate is always welcome at no extra charge. Alternatively, we will make a prompt refund less a service charge of 10% of the fee for cancellations received in writing (letter or facsimile) no later than 13 October 2010. Where notice is given between this date and 27 October 2010, refunds will be 50% of the fee, thereafter we regret that no refunds can be made.

Additional Requirements. Please notify ICBI at least one month before the conference date if you have any additional requirements e.g. wheelchair access, large print etc.

**PERSONAL DATA**

The personal information shown on this form, and/or provided by you, will be held on a database and may be shared with other companies in the Informa Group in the UK and internationally. If you do not wish your details to be available to other companies in the Informa Group please contact the Database Manager at the above address, Tel +44 (0)20 7017 7077, Fax +44 (0)20 7017 7828 or email: [integrity@iirttd.co.uk](mailto:integrity@iirttd.co.uk). Occasionally your details may be obtained from, or made available to, external companies who wish to communicate with you offers related to your business activities. If you do not wish to receive these offers, please tick the box . Incorrect Mailing: If you are receiving multiple mailings or you would like us to change any details or remove your name from our database, please contact the Database Manager at the above address, Tel +44 (0)20 7017 7077, Fax +44 (0)20 7017 7828 or email: [integrity@iirttd.co.uk](mailto:integrity@iirttd.co.uk) - quoting the reference number printed on the mailing label.

# ABOUT YOUR SPONSORS

## LEAD SPONSORS



Citi, the leading global financial services company, has approximately 200 million customer accounts and does business in more than 140 countries. Through its two operating units, Citicorp and Citi Holdings, Citi provides consumers, corporations, governments and institutions with a broad range of financial products and services, including consumer banking and credit, corporate and investment banking, securities brokerage, transaction services, and wealth management.

### About Global Transaction Services

Global Transaction Services, a division of Citi's Institutional Clients Group, offers integrated cash management, trade, and securities and fund services to multinational corporations, financial institutions and public sector organizations around the world. With a network that spans more than 100 countries, Citi's Global Transaction Services supports over 65,000 clients. Through its Securities and Fund Services business, Citi provides institutions worldwide with an unparalleled portfolio of offerings that enable them to grow, reduce cost and mitigate risk. With over \$11 trillion of assets under custody and the industry's largest proprietary network, clients can leverage Citi's local market expertise and global reach to extract value across the entire investment value chain.

For more information about Citi's Global Transaction Services, please visit [www.transactionservices.citi.com](http://www.transactionservices.citi.com)



The world's local bank

The HSBC Group's sub-custody and clearing business has a strong track record of protecting client assets around the world.

As a recognised market leader, HSBC Securities Services delivers a comprehensive range of securities services to institutional clients including banks, global custodians and cross-border institutional broker-dealers in both emerging and mature securities markets worldwide. We offer the full range of sub-custody and securities clearing services providing clients with flexible tailored solutions to meet their specific needs. We also provide foreign exchange and cash management solutions for clients.

With a global network spanning 39 markets across Asia-Pacific, the Middle East, Europe and Latin America, our sub-custody business is committed to bringing the best practices, state-of-the-art technology, operational efficiencies and world-class services of our award winning sub-custody network to clients worldwide.

Our dedicated team of experienced local market experts has an in-depth understanding of each of the markets in which we operate and strong relationships with market authorities enabling us to influence, monitor and analyse changes in a market and to report the impact to clients ensuring they are up-to-date with the latest market developments as they happen.

With a long history of providing the highest standards of service to clients consistently across our global network, we act as a valued business adviser to our clients in each of the markets we serve.

For further information please contact:

Dan Massey  
Global Head of Business Development  
Sub-Custody and Clearing  
HSBC Securities Services  
Tel: (852) 2822 4966  
E-mail: [danielmassey@hsbc.com](mailto:danielmassey@hsbc.com)

## CO-SPONSOR

Deutsche Bank



Deutsche Bank's Global Transaction Banking division, offers its clients access to a growing domestic custody and clearing network which currently covers more than 30 securities markets globally. We are dedicated to providing cross-border custody services, fund administration, securities clearing and agency securities lending consistently in all markets to exceptional standards as part of our commitment to support our clients' success.

This dedication has been recognized in Global Custodian's Annual Agent Bank Review. In 2009, Deutsche Bank was not only the highest scoring regional provider as rated by cross-border clients in both Asia and Central & Eastern Europe it was also recognized as the highest scoring emerging markets provider as rated by cross-border clients - globally.

Despite challenging market conditions, Deutsche Bank has continued to expand its global footprint. We offer clients a unique combination of local expertise backed by the resources of a leading global bank. With a worldwide team of custody experts, leading-edge technology and a track record of consistent product innovation, Deutsche Bank delivers exceptional custody and clearing services to its clients.

For more information, please visit [www.tss.db.com](http://www.tss.db.com)

## ASSOCIATE SPONSOR



Information Mosaic is a trusted global provider of advanced post-trade automation solutions to the securities and investment services industry, to include custody, asset servicing, private wealth management, asset management and investment banking. The company is a recognized market-leader for corporate actions automation, winning the 2009 European Banking Technology Readers' Choice Award for best corporate actions solution and achieving record scores in B.I.S.S. 2009 corporate actions benchmark tests.

Founded in 1997, Information Mosaic currently supports the post-trade operations of over 60 financial institutions worldwide. The company has a proven track record of helping financial institutions transform post-trade operations and reduce operational risk, enabling them to enter new markets, improve customer service and reduce the risk and cost associated with volume and complex processing. Information Mosaic's post-trade automation platform removes reconciliation points and therefore reduces risk and cost for all core post-trade services including corporate actions, securities settlement, trade, portfolio and cash management.

The company employs over 250 people and supports its global customer base from offices in Dublin, London, Luxembourg, New Delhi, Singapore, Melbourne and New York.

For more information visit: [www.informationmosaic.com](http://www.informationmosaic.com) or follow us at [www.twitter.com/infomosaic](http://www.twitter.com/infomosaic)

## SPEAKER SPONSORS:



## Promotional Opportunities

If you are interested in reaching senior decision-makers at this audience through:

- ★ An Exhibition space at the conference
- ★ Advertising in the delegate documentation
- ★ Sponsoring a wine/champagne tasting evening or cocktail party

Please contact Jeff Ong on  
+44 (0)20 7017 7240 or  
[jong@iirttd.co.uk](mailto:jong@iirttd.co.uk)