



THE UNIVERSITY OF HONG KONG
Faculty of Business and Economics



FSDC Practitioner Speakers Series

Compliance in the Financial Market



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After the global financial crisis in 2007-2008, financial regulators around the world have stepped up their regulatory efforts to prevent a similar incident from happening again. This has resulted in more stringent financial regulations which require more internal checking on part of the regulatees and heightened disclosure standards.

Compliance departments across banks, brokerage firms and asset managers have been expanding in both size and importance for the past years and they look certain to keep growing for the foreseeable future. Banks, brokerage firms and asset managers across the world are piling more resources into their 'middle office' risk and compliance teams to avoid facing massive fines from regulators. Many high paying jobs, with many senior roles, have been created in compliance.

Our speaker will share with you the ins and outs of a job in the compliance industry, and how to build a successful career in compliance and risk management.

Date : 21 March 2018 (Wednesday)

Time : 4:45pm – 6:00pm

Venue: Convocation Room, 2/F Main Building, HKU

To register, please visit:

<http://www.fbe.hku.hk/go/FSDCPSS2018>

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