



INVESTMENT MAGAZINE

# INVESTMENT OPERATIONS CONFERENCE

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## AGENDA

FEBRUARY 20, 2018

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THE WESTIN  
SYDNEY, NSW

SOLVING THE  
CHALLENGES  
OF REGULATION,  
TECHNOLOGY  
AND DUE  
DILIGENCE

TUESDAY, FEBRUARY 20

**8.30AM**                    **REGISTRATION****9.00AM**                    **WELCOME**  
**Colin Tate**, chief executive, Conexus Financial**9.10AM**                    **OPENING KEYNOTE: HARNESSING AI IN THE INVESTMENT WORLD**  
With the life-changing technologies behind artificial intelligence rapidly evolving, there are massive impacts on the global finance landscape, including for investment operations. Keynote speaker Dr Catriona Wallace is the chief executive and founder of FlamingoAI, only the second business ever to list on the ASX with both a woman chief executive and a woman chair. This presentation showcases how Wallace's company built a global software-as-a-service platform: cognitive virtual assistants named Rosie and Maggie, which companies with complex financial services products use to bolster online sales conversion rates in Australia and the US. What does the future hold for investment operations now that AI is well and truly here? How can we keep ahead of competition and future-proof ourselves, too?**SPEAKER**

- **Dr Catriona Wallace**, chief executive and founder, FlamingoAI

**10.00AM**                    **RG 97: MORE THAN TICKING THE BOXES**  
ASIC's new Regulatory Guide 97 (RG 97) on disclosing fees and costs in product disclosure statements and periodic statements came into effect on September 30, 2017. In November, the regulator announced a review of the regime. This session will take a fresh look at what the industry and regulators have learned. Which aspects of RG 97 compliance have been most problematic for funds? What are the costs of implementing RG 97 and is it compatible with the 'best interest' test? Is there a risk that the compliance burden will distort the investment decisions funds are making, leading to sub-optimal asset allocation? What insights does ASIC hope to glean from the data collected? How does RG 97 interact with the many other local and international regulatory challenges funds face?**SPEAKERS**

- **Jane Eccleston**, Senior executive leader, ASIC
- **Carol Lee**, Manager, investment planning, AustralianSuper
- **Nathan Hodge**, Partner, King & Wood Mallesons

**Chair: Sally Rose**, Editor, *Investment Magazine***10.40AM**                    **MORNING TEA**

**11.10AM****FUNDS TECHNOLOGY: BLOCKCHAIN, SETTLEMENTS AND INNOVATION**

A look at how investment management can evolve so the administration and infrastructure keep up with the latest technology, whether that is blockchain platforms or other software and systems rapidly changing the fund operations and payments landscape. How can you prepare your business for innovation and new investment and payment streams?

**SPEAKERS**

- **Ann Bowering**, Managing director and chief executive, NSX Limited
- **Jonathan Perkinson**, Payments and banking, Deloitte
- **Mark Neary**, Director, Multi-Asset Solutions and Innovation, Milestone Group

**Chair: Danielle Henderson**, Senior vice-president, Market Advocacy & Innovation Research, APAC, Northern Trust

**12.00PM****THE CLASS-ACTION REACTION**

Gain a deeper understanding of the latest changes in the class-action environment, given expanding global coverage, and changing regulations and legislation. What are some of the biggest roadblocks the end user experiences as a result of these legal issues? A session that examines of class actions, in terms of best practices and current pitfalls. How can you shield against losses and ensure you are meeting legal requirements?

**SPEAKERS**

- **Clive Bowman**, Chief executive, Australia and Asia, IMF Bentham
- **Steven Longley**, Vice-President, Corporate Development, Financial Recovery Technologies
- **Jeff Lubitz**, Executive Director, ISS Securities Class Action Services
- **Tom May**, General Counsel & Company Secretary, Australian Ethical Investments

**Chair: Robert Poulter**, Program director, ASO transformation, NAB

**12.50PM****INVESTMENT OPERATIONS AWARD and ACSA AWARDS**

The Lifetime Achievement Award will honour an individual for their outstanding contribution of leadership, innovation and service to the investment operations sector. There will also be four awards presented by the Australian Custodial Services Association, along with a brief overview of its strategic focus for 2018.

**SPEAKERS**

- **David Knights**, chair, Australian Custodial Services Association
- **Colin Tate**, Chief executive, Conexus Financial

**1.10PM****LUNCH**

**2.10PM****BRIDGING THE DUE DILIGENCE GAP**

This will be a forensic discussion of how to bridge the gap between operations and investment teams. What recruitment structure and candidate skills – such as risk, audit and investment – are required today, in light of the evolutionary change to the investment operations role? How do you find the right people with the right knowledge? How do you get people to add value, rather than just offer advice? An examination of the governance structures and cultural challenges funds are facing as they develop their investment operations to better serve their organisations.

**SPEAKERS**

- **Emma Robertson**, Head of investment operations, Vision Super
- **Jonathan Green**, General Manager Investments, Head of Investment Management and Operations, TCorp
- **Lounarda David**, Chief investment operations officer, Sunsuper

**Chair: Amanda White**, Director of institutional content and editor of top1000funds.com, Conexus Financial

**2.40PM****MANAGING PEOPLE AND MERGING CULTURES**

When it comes to corporate psychology, what are the realities of merging two businesses and how do you get the best out of a new team? What are the rules and tools for successfully navigating the merging of people, skills, legacy and cultures? Go inside the merger process as experts and chief executives who have been through it share their insights in a Q&A.

**SPEAKERS**

- **Brett Grant**, Executive officer, commercial, Equip Super
- **Jason Sommer**, Executive general manager, people, projects and performance, Sunsuper

**Chair: Jo Leaper**, Manager, operational consulting, JANA

**3.30PM****AFTERNOON TEA****4.00PM****CYBER-RISKS & DATA ANALYTICS: WHERE IS MY DATA?**

What are some practical examples of how cyber-risks can affect your data and business? How are custodians able to protect their data better and prepare for the expected future risks? How do you manage cyber-risk and information security via your employees? How can you use data analytics to help with detection of fraud and corruption within an organisation?

**SPEAKERS**

- **Steve Ingram**, Cyber lead, Asia-Pacific, PwC
- **Carla Liedtke**, Director and cybersecurity advisory lead across Australia Pacific, Control Risks

**Chair: Colin Tate**, Chief executive, Conexus Financial

**4.45PM****CONFERENCE CLOSE****5.00PM****POST-CONFERENCE DRINKS****NOTE: SESSIONS AND SPEAKERS ARE SUBJECT TO CHANGE WITHOUT FORMAL NOTICE**