



DRAFT AGENDA
7th AMCC Training Seminar
Implementing IOSCO Principles

Tokyo, Japan

April 7th, 2014

9:00 – 17:30 AMCC Mid-year Meeting (closed session - AMCC members only)
at Imperial Hotel

18:30 – AMCC Dinner (AMCC members only)
at Imperial Hotel

April 8th, 2014

9:00 – 12:00 AMCC Mid-year Meeting (closed session - AMCC members only)
at Imperial Hotel

12:00 – 13:00 Buffet Lunch
“RAN” Room, 2F at Imperial Hotel

Transfer to TSE hall of Tokyo Stock Exchange

*Coach will be arranged from Imperial Hotel to TSE Hall



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IOSCO AMCC Training Seminar
DAY 1: Investor Protection and Financial Literacy (Open Session)
At TSE Hall of Tokyo Stock Exchange

Moderator of Seminar: Mr. Paul Andrews, FINRA

13:30 –14:00	Registration
14:00 –14:10	Welcome Remarks by: - Mr. Kazutoshi Inano, Chairman, Japan Securities Dealers Association
14:10 – 14:30	Keynote Presentation: <i>IOSCO at the crossroads - the need for institutional strengthening</i> - Mr. David Wright, IOSCO Secretary General
14:30 – 16:00	Panel 1: <i>Critical Issues Related to Retail Investors</i> Moderator: Mr. David Wright, IOSCO Secretary General - Mr. Yasuto Watanabe, Director for International Financial Markets, FSA, Japan - Mr. HJ Shin, Head Consultant, KOFIA, Korea - Mr. Noel Maye, CEO, FPSB
16:00 – 16:15	Coffee Break
16:15 – 17:30	Panel 2: Promoting Financial Literacy through Life Cycle Moderator: Mr. Paul Andrews, Vice President and Managing Director, FINRA, US -Mr. Alparslan Budak, Assistant Secretary General, TSPAKB, Turkey - Ms. Ryoko Okazaki, Director, Head of Promotion of Financial Education Group, Public Relations Department, BOJ, Japan - Dr. Kusumaningtuti S. Soetiono, Member, Board of Commissioners, Indonesian Financial Service Authority, Indonesia
18:30	Transportation and Dinner



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April 9th, 2014

DAY 2: Regulatory Framework
(Restricted to IOSCO members and other regulatory organizations)
At TSE Hall of Tokyo Stock Exchange

Moderator of Seminar: Mr. Paul Andrews, FINRA

8:30 – 9:00	Registration and Welcome Coffee
9:00 – 9:15	Welcome Remarks from Mr. Jose Carlos Doherty , AMCC Chair, CEO, ANBIMA, Brazil
	Opening Remarks and Program Overview by Mr. Paul Andrews , Vice President and Managing Director, FINRA, USA
9:15 – 9:30	Keynote Presentation: <i>Diversity of Regulatory Frameworks and Roles of SROs</i> <i>(IOSCO Principles for Self-Regulation(9))</i> Mr. Yoshio Okubo , Vice Chairman, JSDA, Japan
9:30 – 10:30	Panel 1: Rule-making <i>-Roles and responsibilities sharing between government regulators and SROs</i> <i>-Public consultation process including dialogue with industry and other stakeholders</i> <i>(IOSCO Principles Relating to the Regulator(1-7))</i> Moderator: Mr. Werner Bijkerk , Head of IOSCO Research Department - Mr. Makoto Sonoda , Director for International Cooperation Office of International Affairs, FSA, Japan - Ms. Karen Wuertz , Senior Vice President, NFA, US - Mr. Doug Harris , General Counsel and Corporate Secretary, IIROC, Canada
10:30 – 10:45	Coffee Break



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10:45 – 12:15	<p>Panel 2: <i>Enforcement (on firms and market)</i></p> <p>-Inspection -Market surveillance -Disciplinary actions <i>(IOSCO Principles for the Enforcement of Securities Regulation(10-12))</i></p> <p>Moderator: Mr. Scott Tilden, Senior Manager, Market & Participant Derivatives Surveillance, ASIC, Australia</p> <p>- Ms. Karen Wuertz, Senior Vice President, NFA, US - Ms. Corinne Riguzzi, Head of Enforcement and Market Surveillance, SIX Swiss Exchange, Switzerland - Mr. Daisuke Miyauchi, Head of Participants Examination & Inspection, JPX-R, Japan</p>
12:15 – 13:30	Buffet Lunch
13:30 – 14:30	<p>Panel 3: <i>Qualification of Market Intermediaries and Sales Representatives</i> <i>(IOSCO Principles for Market Intermediaries(29-32))</i></p> <p>Moderator: Mr. Doug Harris, General Counsel and Corporate Secretary, IIROC, Canada</p> <p>- Mr. Jose Carlos Doherty, AMCC Chair, CEO, ANBIMA, Brazil - Mr. Christian Vollmuth, Managing Director, German Derivatives Association, Germany</p>
14:30 – 14:45	Coffee Break
14:45 – 16:00	<p>Panel 4: <i>Ahead of The Curve WG Panel</i></p> <p>Moderator: Mr. Yoshio Okubo, Chair of the Ahead of The Curve WG, Vice Chairman, JSDA, Japan</p>
16:00 – 17:00	<p>Break out session moderated by Mr. Paul Andrews, Vice President and Managing Director, FINRA, US</p>
	Transportation and Dinner



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April 10th, 2014

DAY 3: Changing Market Environments and Regulatory Responsibilities
(Restricted to IOSCO members and other regulatory organizations)

At TSE Hall of Tokyo Stock Exchange

Moderator of Seminar: Mr. Paul Andrews, FINRA

8:30 – 9:00	Registration and Welcome Coffee
9:00 – 10:00	<p>Panel 1: <i>Dispute Resolution</i></p> <p>Moderator: Mr. Paul Andrews, Vice President and Managing Director, FINRA, US</p> <ul style="list-style-type: none"> - Mr. Tadaharu Matsukawa , Director, FINMAC, Japan - Mr. Jeong, Jae-Ryong, Head of International Organization Team, Financial Supervisory Service, Korea - Dr. Albert Chou, the Vice President, Corporate Communication Department, Taiwan Stock Exchange, Chinese Taipei
10:00 - 10:15	Coffee Break
10:15-11:00	<p>Keynote Presentation and Special Q&A Session: <i>Ongoing Projects led by IOSCO Research Department</i> Mr. Werner Bijkerk, Head of IOSCO Research Department</p>
11:00 - 12:00	<p>Panel 2: <i>Technological Advances and Roles of Regulators(1): (IOSCO Principles for Secondary Markets (33-38))</i> - <i>Issues emerging from HFT</i></p> <p>Moderator: Mr. Nehal Vora, Chief Regulatory Officer, BSE, India</p> <ul style="list-style-type: none"> - Mr. Kei Okazaki, Vice President, Equities Department (Strategic Planning), TSE, Japan - Ms. Susanne Bergstraesser, IOSCO C2 Chair, BaFin, Germany - Mr. Scott Tilden, Senior Manager, Market & Participant Derivatives Surveillance, ASIC, Australia
12:00 – 13:15	Buffet Lunch
13:15 – 14:15	<p>Panel 3: <i>Technological Advances and Roles of Regulators(2): (IOSCO Principles for Secondary Markets(33-38))</i> - <i>Risks surrounding securities market (cyber- attack, system failures, etc.)</i></p>



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	<p>Moderator: Ms. Susanne Bergstraesser, IOSCO C2 Chair, BaFin, Germany</p> <ul style="list-style-type: none"> - Mr. Scott Tilden, Senior Manager, Market & Participant Derivatives Surveillance, ASIC, Australia - Mr. Nehal Vora, Chief Regulatory Officer, BSE, India
14:15 – 15:30	<p>Panel 4: <i>Technological Advances and Financial Innovation Affecting Investor Protection</i></p> <ul style="list-style-type: none"> - <i>Automation of Advice</i> - <i>Crowdfunding</i> - <i>Use of social network service for advertising and business solicitation</i> <p><i>(IOSCO Principles for Collective Investment Schemes(24-28), and Market Intermediaries(29-32))</i></p> <p>Moderator: Ms. Karen Wuertz, Senior Vice President, NFA, US</p> <ul style="list-style-type: none"> - Mr. Paul Andrews, Vice President and Managing Director, FINRA, US - Mr. Werner Bijkerk, Head of IOSCO Research Department
15:30 – 15:45	Coffee Break
15:45 – 17:00	<p>Panel 5: <i>Market Supervision (Market Manipulation and Insider Trading)</i></p> <p><i>(IOSCO Principles for Secondary Markets(36))</i></p> <p>Moderator: Mr. Scott Tilden, Senior Manager, Market & Participant Derivatives Surveillance, ASIC, Australia</p> <ul style="list-style-type: none"> - Mr. Nehal Vora , Chief Regulatory Officer, BSE, India - Mr. Kenji Tanaka, Deputy Director, Office of International Transactions and Related Issues, Securities and Exchange Surveillance Commission, Japan - Mr. Marcelo Deschamps, Head of Analysis and Strategy, BSM, Brazil
17:00 – 17:15	Concluding Remarks / Closing session/ Certification of attendance
	Transportation and Dinner