

APEC Financial Regulators Training Initiative
Regional Training Program – Investigation, Enforcement, and Prosecution

26 – 30 November 2001

Asian Development Bank Headquarters, Manila, Philippines

SEMINAR PROGRAM

Day 1: Monday, 26 November 2001

- 08:00 – 09:00 **REGISTRATION**
- 09:00 – 10:30 **SESSION I**
- Welcome – Introduction
- Lilia Bautista, Securities and Exchange Commission, Philippines*
Jose G. Cervantes, Philippine Stock Exchange
Shamshad Akhtar, Asian Development Bank
- 10:30 – 11:00 Coffee and Photo Session
- 11:00 – 12:30 **SESSION II: AN OVERVIEW OF ENFORCEMENT PRINCIPLES AND PRACTICES**
- Speakers: Hugh Patton, USAID/AGILE Consultant*
Michael Hubley, Ontario Securities Commission (OSC),
Canada
- 12:30 – 2:00 **Lunch**
- 2:00 – 3:30 **SESSION III: TRENDS AND DEVELOPMENTS IN ENFORCEMENT IN EMERGING EQUITIES MARKET PART I**
- Speaker: Khalid Mirza, Securities and Exchange Commission of*
Pakistan
- 3:30 – 4:00 Coffee

4:00 – 5:30

**SESSION IV: TRENDS AND DEVELOPMENTS IN
ENFORCEMENT IN EMERGING EQUITIES MARKETS PART II**

*Speakers: Kamaruzaman Abd. Jalil, Securities Commission
(SECCOM), Malaysia
Jose Tomas Syquia, Securities and Exchange Commission
(SEC), Philippines*

6:00

Cocktail Reception

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Day 2: Tuesday, 27 November 2001

- 09:00 – 10:30 **SESSION I: PARTICIPANT-LED DISCUSSION ON VARIOUS ENFORCEMENT ISSUES AND CONCERNS**
- Facilitators: Eugenio Reyes, Formerly General Counsel and Executive Director, SEC, Philippines*
David Bardsley, ADB
- 10:30 – 11:00 Coffee
- 11:00 – 12:30 **SESSION II: INTERNATIONAL ENFORCEMENT COOPERATION**
- Speaker: Michael Hubley, OSC, Canada*
- 12:30 – 2:00 **Lunch**
- 2:00 – 3:30 **SESSION III: CODE OF ETHICS AND STANDARDS OF PROFESSIONAL CONDUCT IN FINANCIAL MARKETS**
- Speaker: Jose Aquino, SEC, Philippines*
- 3:30 – 4:00 Coffee
- 4:00 – 5:30 **SESSION IV: MARKET SURVEILLANCE AND MONITORING**
- Speaker: Stephen Shek, Securities and Futures Commission (SFC), Hong Kong, PRC*

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Day 3: Wednesday, 28 November 2001

- 09:00 – 10:30 **SESSION I: ENFORCEMENT PHILOSOPHY**
- Speaker:* *Allen Turton, Australian Securities and Investments Commission (ASIC), Australia*
- 10:30 – 11:00 Coffee
- 11:00 – 12:30 **SESSION II: PLANNING AND MANAGING INVESTIGATIONS:
THE ASIC CONTEXT – BACKGROUND AND EXPERIENCE**
- Speaker:* *Allen Turton, ASIC, Australia*
- 12:30 – 2:00 **Lunch**
- 2:00 – 3:30 **SESSION III: PLANNING AND MANAGING INVESTIGATIONS:
THE PROJECT MANAGEMENT METHODOLOGY**
- Speaker:* *Allen Turton, ASIC, Australia*
- 3:30 – 4:00 Coffee
- 4:00 – 5:30 **SESSION IV: GATHERING INFORMATION AND EVIDENCE:
BASIC CONCEPTS**
- Speaker:* *Allen Turton, ASIC, Australia*

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Day 4: Thursday, 29 November 2001

- 09:00 – 10:30 **SESSION I: GATHERING INFORMATION AND EVIDENCE:
PHYSICAL AND ORAL EVIDENCE**
- Speaker:* *Allen Turton, ASIC, Australia*
- 10:30 – 11:00 Coffee
- 11:00 – 12:30 **SESSION II: REMEDIES AND RECOURCES: ADMINISTRATIVE,
DISCIPLINARY PROCESS, CIVIL, AND CRIMINAL**
- Speakers:* *Andria Li, SFC, Hong Kong, PRC*
 Seow Siew Mei, SECCOM, Malaysia
- 12:30 – 2:00 **Lunch**
- 2:00 – 3:30 **SESSION III: PROSECUTING A SECURITIES OFFENSE IN
MALAYSIA**
- Speaker:* *Seow Siew Mei, SECCOM, Malaysia*
- 3:30 – 4:00 Coffee
- 4:00 – 5:30 **SESSION IV: INVESTIGATING PARTICULAR CASES: MARKET
MANIPULATION**
- Speaker:* *Laurence Lee, SFC, Hong Kong, PRC*

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Day 5: Friday, 30 November 2001

09:00 – 10:30 **SESSION I: INVESTIGATING PARTICULAR CASES: INSIDER TRADING**

Speaker: *Laurence Lee, SFC, Hong Kong, PRC*

10:30 – 11:00 Coffee

11:00 – 12:30 **SESSION II: INTERNATIONAL BEST PRACTICES IN INTERNET ENFORCEMENT PROGRAM**

Speakers: *Keith Inman, ASIC, Australia*
Colin McCann, OSC, Canada

12:30 – 2:00 **Lunch**

2:00 – 3:30 **SESSION III: INVESTIGATING PARTICULAR CASES: INTERNET FRAUD**

Speakers: *Keith Inman, ASIC, Australia*
Colin McCann, OSC, Canada

3:30 – 4:00 Coffee

4:00 **End of Regional Training Program**