

**MACQUARIE UNIVERSITY DEPARTMENT OF BUSINESS
LAW**

**MONASH UNIVERSITY DEPARTMENT OF BUSINESS LAW
AND TAXATION**

Taxation Law and Policy Research Institute

PRESENT

**FINANCIAL SERVICES REFORM
THIRD ANNIVERSARY
– WHERE NEXT?**

CO-SPONSORED BY

AUSTRALIAN STOCK EXCHANGE

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Financial Planning Association of Australia

Securities and Derivatives Industry Association

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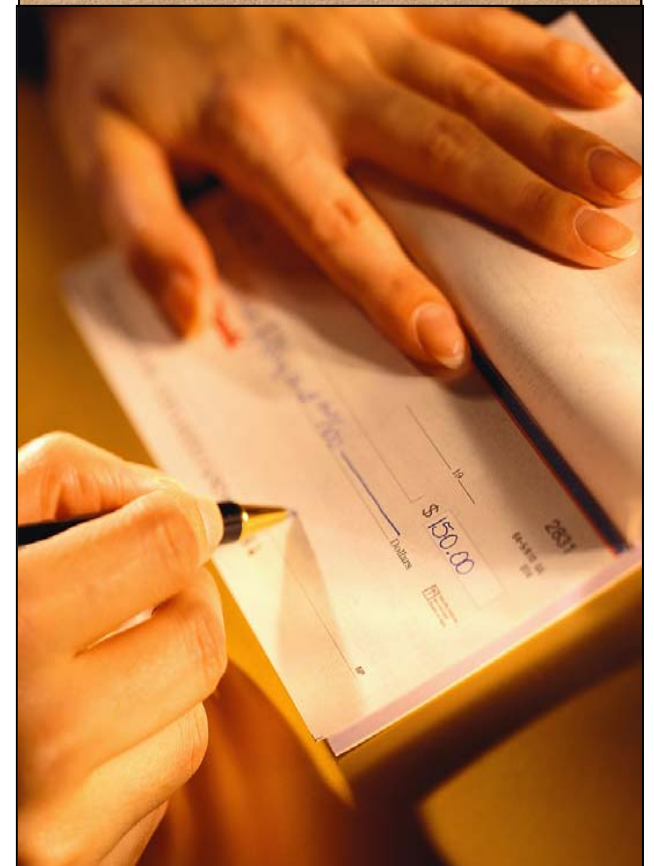
When: 13th July 2007

**Where: Macquarie
Graduate (MGSM)**

CBD Campus

**Level 6, 51-57
Pitt St (corner
Dalley St),
Sydney. Tel 8274
8340**

8.30 am to 5.00 pm



Financial Services Reform (FSR) in 2004 changed the *Corporations Act* to:

- Promote confident and informed decision making by investors;
- Promote fairness, honesty and professionalism in the financial services industry;
- Promote fair, orderly and transparent markets for financial products.

FSR has raised many Issues:

- What financial services were being reformed?
- What has it cost?
- What are the consequences, what are the unintended consequences?
- Do the reforms achieve their purpose?
- Conflicts of interest?
- Are investors now better informed, or more confused?
- Is there more professionalism in the financial services industry?
- Are markets now more fair, orderly and transparent?
- Alternative dispute resolution and FICS
- How has FSR impacted on the wider world of financial services such as accounting and insurance?

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PROGRAM

AISC Speaker to be confirmed	
David Lawrence, General Manger, Participants, Market supervision, ASX	ASX regulation of the market and participants after FSR – self regulation and co-regulation with ASIC
Neil Jensen Executive Director, AUSTRAC	Expanding AUSTRAC's role from information clearing house to a full policy and rule-making body and enforcement regulator
Professor Niamh Moloney Professor of Capital Markets Law School of Law University of Nottingham	Regulation of the market and intermediaries – global comparison and contrast – what is best practice?
Justine Woodford and Penny Nikoloudis, Senior Associates, Allens Arthur Robinson, Solicitors, Melbourne	Managing conflicts of interest in the financial services industry - FSR and beyond. An analysis of legislative and regulatory responses to controlling, avoiding and disclosing conflicts of interest in the FSR environment
Juliette Overland Division of Law Macquarie University	Insider trading - Companies, Chinese Walls and confidentiality (Citigroup)
Hugh Elvy, Institute of Chartered Accountants in Australia, Sydney	Effect of FSR after three years on the accounting profession
Deen Sanders, General Manager, Professional Standards, CFP Certification and Education, Financial Planning Association of Australia, Sydney	FSR and financial planners
Mei Ling Perry, Know Compliance, Melbourne	FSR after three years – the compliance industry and the future
Doug Clark, Securities and Derivatives Industry Association	FSR after three years – the stockbroker perspective