

2019 美國證管會訓練課程

2019 The U.S. SEC Training Program

指導單位：

金融監督管理委員會證券期貨局

主辦單位：

財團法人中華民國證券暨期貨市場發展基金會

一、前言

為配合金融監督管理委員會 108 年度重點施政計畫，極力推動金融體制與國際接軌，深化與各國金融監理機關之交流合作，進而提升我國金融業之國際能見度，並藉由參考國際金融監理機構作法接軌國際金融監理潮流，達到洞悉國際市場發展趨勢及監理機制之目標。

今（108）年度擬邀請美國證券管理委員會（U.S. Securities and Exchange Commission; 以下稱 SEC）代表來台，針對最新金融議題進行討論包含：「金融科技趨勢下 SEC 之變革及監理機制」、「建立風險基礎檢查計畫」、「資訊安全與金融科技」以及「金融業吹哨者保護」等，發展有效的證券市場監管機制，並規劃邀請新南向國家等監理機關代表與會，有助於各國專業人才互動交流、分享其監理實務作法，亦可增進我國在國際之曝光度與影響力。

二、辦理時間

108 年 7 月 17 日(三)，9:30-12:30、14:00-17:00。

三、辦理地點

臺灣期貨交易所大會堂（臺北市羅斯福路二段 100 號 6 樓）。

四、參加對象：

- 新南向國家之監理機關代表
- 證券期貨主管機關人員及周邊單位
- 金融控股公司
- 證券、期貨商、投信與投顧業者及其他金融機構代表
- 對本研討活動演講有興趣者

五、語言：英文

六、主講人：

Alka N. Patel

Associate Regional Director- Enforcement
U.S. Securities and Exchange Commission
Los Angeles Regional Office

Alka N. Patel is the Associate Regional Director supervising the enforcement program in the Los Angeles Regional Office of the Securities and Exchange Commission. She joined the SEC in July 2001. She served as an Assistant Regional Director for more than five years and has previously served in the Enforcement Division's Foreign Corrupt Practices Act Specialized Unit. Before joining the SEC staff, Ms. Patel worked as a litigation and transactional associate in Irvine, Calif., and St. Louis, and as an auditor at two international accounting firms. In addition to being a Certified Public Accountant (inactive), Ms. Patel received her Law degree from Southwestern University School of Law, her Master's degree in Business Taxation from the University of Southern California, and her Bachelors in Business Administration from California State University, Northridge.

Thomas M. Piccone

Associate Regional Director- Examinations
U.S. Securities and Exchange Commission
Denver Regional Office

Thomas M. Piccone is the Associate Regional Director managing the examination program in the Securities and Exchange Commission's Denver Regional Office ("DRO"). The DRO administers the Commission's examination program for an eight state region including Colorado, Utah, Wyoming, New Mexico, Kansas, Nebraska, North Dakota, and South Dakota. Mr. Piccone joined the Commission's staff in 1997, and worked in the Enforcement Division as an Attorney, Branch Chief, Trial Counsel, and Special Counsel before transitioning into the examination program. He served as the Assistant Regional Director for the DRO's investment adviser and investment company examination program from 2009 until moving into his current position in 2014. Prior to joining the SEC, Mr. Piccone worked as an attorney with Gibson, Dunn & Crutcher; served as a law clerk for U.S. District Court Judge Alfred A. Arraj; and was employed as a member of the management information consulting division of Arthur Andersen & Co. He became a certified public accountant in Colorado (currently inactive) in 1988. Mr. Piccone received his bachelor's degree in business (accounting) magna cum laude from the University of Colorado in 1983. He earned his law degree from the University of Colorado Law School in 1987, where he was awarded the Order of the Coif.

七、研討流程：

時間	主題	主講人*
9:00 9:30	Registration 報到	
9:30 9:40	Opening Remarks 主管機關或主辦單位致詞	主管機關或 主辦單位代 表

時間	主題	主講人*
9:40 10:40	<p><u>SEC overview and the trends of supervision in capital market</u> (綜觀 SEC 及探討全球資本市場監理之新趨勢)</p> <ul style="list-style-type: none"> - The Introduction of US Securities Market and SEC's Responsibility <ul style="list-style-type: none"> ● Public company disclosures/ accounting fraud - SEC Enforcement <ul style="list-style-type: none"> ● Enforcement trends ● Enforcement challenges/tools ● International cooperation - Best Practices for companies in SEC investigations <ul style="list-style-type: none"> ● Self-reporting ● Cooperation - Some Enforcement areas affecting multi-national companies <ul style="list-style-type: none"> ● Foreign Corrupt Practices Act (background and recent cases) ● Anti-Money laundering (background and recent cases) 	SEC 講師
10:40 11:00	Refreshment Break 休息時間	
11:00 12:30	<p>專題研討(I) : <u>Building a Risk-Based Examination Program</u> (建構風險基礎檢查計畫)</p> <ul style="list-style-type: none"> - Risk-Based Selections and Examinations - Focused Initiatives - Using Data Analytics and Technology - Chief Compliance Officer <ul style="list-style-type: none"> ● Interaction with Financial Industry 	SEC 講師
12:30 14:00	Lunch Time 中午提供餐盒用餐	

時間	主題	主講人*
14:00 15:10	專題研討(II)： <u>Cybersecurity and FinTech</u> (資訊安全與金融科技) - Cybersecurity - Examinations - Effective Practices - Automated Investment Advice (“Robo-Advisors”) - Electronic Messaging - Crypto Currency Challenges	SEC 講師
15:10 15:30	Tea Break 休息時間	
15:30 16:40	專題研討(III)： <u>Whistleblower Protection in Listed company and Financial Industry</u> (上市公司及金融業吹哨者保護) - Whistleblower protection rules - Whistleblowers in Enforcement and Examinations - Whistleblower awards - Factors considered <ul style="list-style-type: none"> ● Confidentiality of Whistleblower’s identity ● Retaliation/other actions that impede reporting ● Creating a whistleblower-friendly environment 	SEC 講師
16:40 17:00	Questions and Answers	SEC 講師

*本活動議程主題與主講人將配合 SEC 建議保留調整之彈性。

八、研討會報名：

➤ 報名費用：

本研討會為**免費參加**，由於座位有限，請務必提早報名以便確保名額。

➤ 報名日期：

即日起至 7月11日(週四)截止，逾期不受理報名。

➤ 報名方式：

本研討會**限網路報名**，請至(財)證券暨期貨市場發展基金會網站 (<http://www.sfi.org.tw>) 報名。

➤ 服務專線：

(財)證券暨期貨市場發展基金會 人才培訓中心

李小姐(02)2393-1888 分機 127，電子郵件 edu1@sfi.org.tw

廖小姐(02)2393-1888 分機 115，電子郵件 tina0219@sfi.org.tw