

NBS Focus Point: Lenses on Singapore Market Integrity



Speaker:

Mr Alan Lok

Director, Capital Markets Policy, Asia Pacific, CFA Institute
Bachelor of Engineering (Electrical & Electronic Engineering), 2003

Alan Lok is the director of Capital Markets Policy within the Financial Market Integrity division of CFA Institute in the Asia-Pacific region. He is responsible for conducting research projects in the area of market instruments and market structures. Mr. Lok works with regulators, institutional investors, academics, and other stakeholders within the financial industry to uphold investor protection and market integrity.

Prior to joining CFA Institute, he was a senior investment manager in a renewable-energy multinational corporation in Singapore. His portfolio involved carrying out intensive due diligence exercises in North America, Europe, and Asia Pacific.

Mr. Lok also spent six years as an equity research analyst; initially with a sell-side research house based in Singapore and subsequently with a buy-side boutique house based in China. As a spokesperson for both companies, he appeared regularly on financial media such as CNBC, Financial Times, The Edge and The Straits Times to discuss issues related to behavioral finance and macroeconomics. He was also featured regularly as one of the regular guest commentators on Mediacorp's "Good Morning Singapore" – a leading Mandarin-language financial TV program in Singapore.

Mr. Lok has extensive teaching experience in the areas of asset valuation and corporate finance. He serves as an adjunct lecturer at the Nanyang Technological University of Singapore.

He received his MBA from the University of Manchester. He was also awarded the FRM (Financial Risk Manager) certification by the Global Association of Risk Professionals.

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Speaker:

Mr Brian Thung

Partner, Assurance, Financial Services, Ernst & Young LLP
Bachelor of Accountancy, 1995

Experience

Brian Thung is a partner in the Financial Services group based in Singapore and leads the Singapore Asset Management assurance practice. He has more than 18 years in-depth experience from both external audit and advisory work capacities for financial services clients. Prior to working in Singapore, he spent three years working in EY in New York with the Asset Management team.

Currently, Brian leads the Southeast Asia and Singapore Asset Management assurance practice and is a member of the EY Global Hedge Fund Steering Committee.

Brian has vast experiences serving asset managers, hedge funds, private equity funds and investment companies and is involved in a wide range of advisory projects. His expertise lies in audit examinations (including mock audits and regulatory inspections), advising on fund structuring, leading internal control reviews, providing performance audit consultation on regulatory matters as well as performing due diligence procedures associated with asset management acquisitions.

He has extensive industry knowledge of core and alternative funds' structural and operating issues, including offshore entities and fund of funds. Brian is a key member of the GIPS and ISAE 3402 team in Singapore.

He has also led numerous due diligence and forensic accounting teams in Hong Kong, Seoul, Jakarta and Manila for a number of major Asian and US corporations.

Some of his major clients include Broad Peak, Citigroup, Dymon Asia Capital, Goldman Sachs Asset Management, Standard Chartered Bank, Lion Global Investors, Ichigo Asset Trust, and Axiom Asia Private Capital Funds.

Prior to joining EY, Brian was a Police Inspector with the Singapore Police Force.

Credentials

Brian graduated with a Bachelor of Accountancy, Nanyang Technological University (Honors), Singapore. He was qualified to practice as a Certified Public Accountant in New York in 2000, and is also a practicing member of the Institute of Singapore Chartered Accountants. He is also a member of the Executive Committee of the Singapore Chapter of the Alternative Investment Management Association.

In addition, he received a Singapore Police Force Local Merit Scholarship in June 1991.

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Speaker:

Mr Daryl Neo

Co-Founder of Handshakes

Bachelor of Business (Banking & Finance), 2009

Daryl is a co-founder of Handshakes, a disruptive fintech solution that provides intelligence for due-diligence and research. Over the years, Daryl has helped Handshakes grow from a small Singapore start-up into a multinational small-medium enterprise (“Multinational SME”) with presence in 5 Asian countries. In 2015, Handshakes did its first round of fund-raising with Singapore Press Holdings (“SPH”), which invested in a 20% stake.

Prior to founding Handshakes, Daryl was a regulator with the SGX, where he reviewed the IPO applications and post-listing compliance of companies on the Mainboard. He graduated from the Nanyang Business School (NTU) in 2009. He was President of NTU’s Business Case Club, and led the first Asian team to win a prestigious case competition in North America.