

CHAIR



Frank McLaughlin, Chapman Tripp, Wellington

Frank is a partner in Chapman Tripp's corporate and securities team. He advises on all manner of corporate transactions (including mergers and acquisitions, takeovers, capital raisings and joint ventures) and a wide range of corporate governance and regulatory compliance issues. He also provides advice, to both the public and private sectors, on law reform matters, and has had a particular involvement with many of the recent regulatory changes affecting securities markets and their participants. Frank joined Chapman Tripp in 1994.

PRESENTERS



Barney Cumberland, Simpson Grierson, Auckland

Barney is a tax expert with a wide range of experience in all aspects of New Zealand's domestic and international tax law, with specialisation in: tax aspects of structured finance transactions; advising clients from a number of overseas jurisdictions (including Australia, the US and UK) on tax efficient structures for investment into New Zealand; advising New Zealand clients on tax efficient structures for international expansion; and resolving tax disputes for clients, in some cases alongside Simpson Grierson's litigation specialists.



Toby Fiennes, Reserve Bank of New Zealand, Wellington

Toby was appointed head of the Prudential Supervision Department of the Reserve Bank in November 2007. The Prudential Supervision Department is responsible for the formulation and oversight of policy to promote and maintain a sound and efficient financial system. Major functions include developing and implementing public policy regarding the regulation and supervision of financial institutions which include banks, non bank deposit takers, and insurance companies. Toby's previous positions include: Reserve Bank of New Zealand: Financial Stability Department, Special Advisor; UK Financial Services Authority, Supervision Manager; Manager, Supervision and Surveillance, Bank of England; and various positions in Barclays Bank plc. Toby holds an MA in Economics from Cambridge University, England.



David Goddard QC, Wellington

David Goddard QC has a wide ranging commercial litigation practice with an emphasis on contract law, company law, competition law and regulation, public law, and private international law. He also has a substantial involvement in law reform in New Zealand and overseas, advising Government agencies and intergovernmental organisations. David publishes and speaks regularly in his areas of specialisation, and has taught at universities in New Zealand, Australia and England. He is a regular presenter of NZLS seminars and intensives.

PRESENTERS



David Ireland, Kensington Swan, Wellington

David heads the managed funds team at Kensington Swan, having practised in the area of securities offerings and financial adviser issues since 1992, and is the current chair of Workplace Savings NZ. David is a member of the inaugural Code Committee appointed under the Financial Advisers Act 2008 to develop a code of professional conduct for all authorised financial advisers operating in New Zealand, working closely with the Securities Commission, MED, and the financial advisory industry to help shape the new licensing regime for financial advisers.



Pheroze Jagose, Chapman Tripp, Wellington

Pheroze is a partner in Chapman Tripp's national litigation & dispute resolution group. His general commercial litigation practice includes substantial experience in competition, company and securities law trials and appeals (including on quasi-criminal proceedings for penalties). He also represents corporate clients in administrative and departmental prosecutions.



Aaron Lloyd, Minter Ellison Rudd Watts, Auckland

Aaron is a partner at Minter Ellison Rudd Watts. He specialises in employment law, white collar crime (defence and advisory work), and commercial litigation. Aaron's white collar practice includes representing clients in government investigations and before the courts, and advising commercial clients on a range of business crime matters, including foreign corruption, cartels, fraud, anti-money laundering and countering terrorist financing. Aaron was part of the international defence team in the *USDOJ v Stolt Nielsen* criminal cartel case, and he has appeared as counsel on a number of local white collar cases (including jury trials and in AML/CFT matters). Aaron is a member of the NZLS Law Reform Committee, and a former adjunct lecturer at the University of Auckland.



Annelies McClure, Overseas Investment Office, Wellington

Annelies is manager of the OIO. She was formerly the chief executive officer and secretary and manager applications, of the Overseas Investment Commission. Before joining the Commission, Annelies was a senior solicitor with Chapman Tripp Sheffield Young's Wellington office for 14 years, and practised in the field of general commercial law.



Matthew Mallett, Russell McVeagh, Wellington

Matthew is a partner in the corporate advisory group of Russell McVeagh. Matthew undertakes a wide variety of corporate and commercial work, specialising in mergers and acquisitions. He has considerable experience in cross-border acquisitions, disposals, joint ventures and strategic alliances and regularly works closely with the Overseas Investment Office on both sensitive land and significant business asset applications.

PRESENTERS



Liam Mason, Securities Commission, Wellington

Liam heads the Securities Commission's team of in-house lawyers, which deals with applications from practitioners for securities law exemptions and authorisations and provides legal support to the enforcement team and other staff at the Commission. Liam has had a lead role in the Commission's work on securities law reforms. He has been with the Securities Commission since 1997. Liam has an LLM from Victoria University of Wellington and an LLB and a BA in classical studies from the University of Otago.



Andy Nicholls, Chapman Tripp, Wellington

Andy is a partner in Chapman Tripp's national competition law group. He has experience advising clients across all sectors of the economy on the challenges, opportunities and pitfalls of competition law. Andy was the principal lawyer at the MED advising on the major reforms to the Commerce Act in 2001. Andy co-presented the NZLS seminar Competition Law for Non-specialists in 2009, and has taught competition law at Victoria University's faculty of law.



Simon Vannini, Simpson Grierson, Auckland

Simon is a partner in Simpson Grierson's corporate/commercial group. Simon provides advice on the structuring, formation and management of investment funds, and has advised on venture capital and private equity transactions, including leveraged buyouts and management buyouts. Simon also assists clients with the choice of appropriate business structures for establishing and modifying businesses.

CONTENTS

In session order

Contract law update	1
<i>David Goddard QC</i>	
Securities Act update	21
<i>Liam Mason</i>	
Financial service providers and financial advisers regime: The dawn of a new age for the financial services industry	43
<i>David Ireland</i>	
The AML & CFT Act – Combating money launderers and terrorists <i>Aaron Lloyd</i>	133
The changing role of the Reserve Bank	57
<i>Toby Fiennes</i>	
Business structures update	65
<i>Barney Cumberland and Simon Vannini</i>	
The criminalisation of commercial law	103
<i>Pheroze Jagose and Andy Nicholls</i>	
Overseas Investment Act	125
<i>Annelies McClure and Matthew Mallett</i>	

CONTENTS

Alphabetical by author/presenter

Author		Title	Page
Cumberland	Barney	Business structures update	65
Fiennes	Toby	The changing role of the Reserve Bank	57
Goddard QC	David	Contract law update	1
Ireland	David	Financial service providers and financial advisers regime: The dawn of a new age for the financial services industry	43
Jagose	Pheroze	The criminalisation of commercial law	103
Lloyd	Aaron	The AML & CFT Act – Combating money launderers and terrorists	133
McClure	Annelies	Overseas Investment Act	125
Mallett	Matthew	Overseas Investment Act	125
Mason	Liam	Securities Act update	21
Nicholls	Andy	The criminalisation of commercial law	103
Vannini	Simon	Business structures update	65