



Manage AML Risk in Banking Context Part II -Regulation vs Risk Culture

Early Bird Discount
1 week before the application deadline

21 February 2020

ECF CPD	HKIB CPD	SFC CPT
3 Hours	3 Hours	3 Hours

Programme Objectives

- Maintaining compliance in the face of frequent rule changes
- Managing risk instead of avoiding risk: Putting a stop to “de-risking”
- Proper due diligence vs. being too invasive: Walking the fine line of KYC on-boarding procedures
- Potential commercial value vs. potential downsides – choosing appropriate business relationships
- Being vigilant in preparation for high-profile terrorist attacks

Programme Outline

How to make Anti-Money Laundering Risk well managed in banking context?

- Importance of operational risk management
- Three lines of defence for operational risk management that can apply to AML
- Process of money laundering
- Outline of 4AML
- Some key findings from Thomson Reuters Personal Liability Report Q3 2015
- Some regional regulatory authorities' response to prevention of ML & CFT
- Risk culture : Anti-Money Laundering and Counter-Terrorist Financing Policy, Procedures & Systems

Target Audience

- Bank executives who wish to understand the key concepts in operational risk management and AML / CFT
- Compliance and risk management practitioners who wish to consolidate their knowledge on AML and compliance regulations, especially AAMLPS.

Speaker

The speaker is currently the Principal Consultant in a consultancy firm and a trainer of HKIB. Prior to being the Executive Director of a well-known Chinese bank, the speaker has worked in the field of private wealth management, capital market and treasury for years. The speaker has a postgraduate and a bachelor degree, together with four professional qualifications: Msc in Financial Management awarded by University of London, BA (Hons) awarded by University of Hong Kong, Financial Risk Manager (FRM), Certified Management Accountant (CMA), Certified Private Wealth Professional (CPWP) and Certified Anti-Money Laundering Specialist (CAMS).

Programme Details

Language : Cantonese (supplemented with English materials)
 Date : 21 February 2020 (Fri)
 Time : 7:00pm - 10:00pm
 Duration : 3 hours
 Venue : 3/F Guangdong Investment Tower, 148 Connaught Road Central (Sheung Wan MTR Station Exit C)

Fee	Early Bird	Regular Price
Individual Member	HKD900	HKD990
Staff of Corporate Member	HKD1,080	HKD1,190
Non-member	HKD1,200	HKD1,320

Enrolment : By fax at 2682 0218 or in person to our Institute
 Application Email : application.form@hkib.org
 Enquiries : (852) 2153 7800 / (852) 2190 7060
 Application Deadline : 14 February 2020 (Fri)
 Enquiry Email : programme@hkib.org

Registration Form

Manage AML Risk in Banking Context Part II -Regulation vs Risk Culture (HD000000P200203)

Full Name : Mr / Ms _____ (In English as on ID Card)
 Full Name : _____ (In Chinese)
 Membership No : _____
 Organization : _____
 Department : _____
 Position : _____
 E-mail : _____
 Mobile / Phone No : _____
(Confirmation will be sent via e-mail one week before programme commences)
 Mailing Address : _____

Payment Method : A cheque / e-Cheque* made payable to “The Hong Kong Institute of Bankers” (Cheque no. _____)
* For e-Cheque, please state the programme code under ‘remarks’ and email together with the completed enrolment form to programme@hkib.org
 Credit Card : VISA Master Amount : HKD _____
 Cardholder’s Name : _____ Signature : _____
 Card No. : _____ Expiry Date : _____
(mm/yy)

How did you know about this programme?

- Website HR Department E-News Others (Please specify) _____
 Banking Today Friends / Colleagues HKIB Counter

Terms and Conditions

- All fees paid are non-refundable and non-transferrable.
- Participants who have settled payments will receive course confirmation by e-mail within 7 days prior to the programme date.
- All payments must be settled before programme commencement.
- Priority of enrolment will be given on a ‘first-come-first-serve’ basis. HKIB Member will have priority to register if there is limited seat remained for the programme.
- HKIB would issue the “Certificate of Attendance” to participants who have complied with the “HKIB Attendance Policy”. The Certificate will be mailed to the corresponding address within 10 working days after completion of the programme.
- We reserve the right to reject an enrolment at any time.
- We reserve the right to cancel, modify and/or postpone the programme due to unforeseen circumstances.
- The information given and personal data collected will be used for the purpose of administration and communication by the Institute.
- For the Typhoon or Rainstorm arrangement, please refer to the confirmation e-mail or HKIB’s website (www.hkib.org).



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