



Manage AML Risk in Financial Industry – Part IV Sanction, Compliance Trend, Global & Regional AML Pertinent Rule & Recent Cases

13 December 2019

Early Bird Discount
1 week before the application deadline

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

Overview

This is the part 4 of a series of Anti-Money Laundering (AML) topics. We will focus on 2019 and ahead sanctions framework; Compliance Trend, Global & Regional AML Pertinent Rules & Recent Cases.

- Manage AML Risk in Banking Context Part I - Fourth Anti-Money Laundering Directive
- Manage AML Risk in Banking Context Part II -Regulation vs Risk Culture
- Manage AML Risk in Banking Context Part III - OFAC, Compliance Trend & Regional AML Laws

Programme Outline

- Recent 2019 US sanctions
- Money Laundering Definition
- OFAC Compliance Framework Elements
 - Risk Assessment
 - Internal Controls
 - Management Commitment
 - Testing and Auditing
 - Being framed: a good things?
- International AML Compliance Cases Analyses

Target Audience

AAMLPs, CPWPs and practitioners who wish to enhance their knowledge on the AML/CFT and any participants who are interested.

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 : English
 Date : 13 December 2019 (Fri)
 Time : 6:30pm - 9:30pm
 Duration : 3 hours
 Venue : 3/F Guangdong Investment Tower, 148 Connaught Road Central (Sheung Wan MTR Station Exit C)

Fee	Early Bird	Regular Price
HKIB Individual Member	HKD900	HKD990
Staff of Corporate Member	HKD1,080	HKD1,188
Non-member	HKD1,200	HKD1,320

Enrolment : By fax at (852) 2682 0218 or in person to our Institute
 Application Email : application.form@hkib.org
 Enquiries : (852) 2153 7800 / (852) 2190 7060
 Application Deadline : 6 December 2019 (Fri)
 Enquiry Email : programme@hkib.org

Registration Form

Manage AML Risk in Financial Industry – Part IV Sanction, Compliance Trend, Global & Regional AML Pertinent Rule...(HD00000P191212)

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

Full Name: _____ (In Chinese)
 Organisation: _____
 Position: _____
 Mobile / Phone No: _____

Mailing Address: _____
(Please complete the below address box if you want to collect the programme certificate)

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: HK\$ _____
 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) _____
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Terms and Conditions

1. All fees paid are non-refundable and non-transferrable.
2. Participants who have settled payments will receive course confirmation by e-mail within 7 days prior to the programme date.
3. All payments must be settled before programme commencement.
4. Priority of enrolment will be given on a 'first-come-first-serve' basis. HKIB Member will have priority in registration for those programmes with limited seats.
5. 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.
6. We reserve the right to reject an enrolment at any time.
7. We reserve the right to cancel, modify and/or postpone the programme due to unforeseen circumstances.
8. The information given and personal data collected will be used for the purpose of administration and communication by the Institute.
9. For the Typhoon or Rainstorm arrangement, please refer to the confirmation e-mail or HKIB's website (www.hkib.org).



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