Programme No.: HD000000P190802

From Global to Local - Top 10 Regulatory & Enforcement Trends

6 & 7 August 2019

ECF CPD	HKIB CPD	SFC CPT
6 Hours	6 Hours	6 Hours

Objectives

Upon completion of the programme, the participants will be able to embrace the top 10 regulatory and enforcement trends from global to local.

- Embracing compliance with its frequent rule changes
- Managing risk instead of avoiding risk: Putting a stop to "de-risking"
- Walking the fine line of KYC on-boarding procedures
  – the proper due diligence in the context of invasive:
- Selecting suitable business relationships in face of new enforcement cases – the potential downsides of commercial value
- Being vigilant in preparation for regulatory changes

Programme Outline

- Importance of increased focus on individuals and gatekeepers in criminal investigations and enforcement actions
- In-depth global cooperation, including Swiss, Singapore & Hong Kong that will apply to AML
- Money laundering: the continuing focus on terrorist financing and anti-money laundering - how HK treats China's SOE financial institutions?
- On-going anti-bribery and corruption enforcement particularly in banking and financial sector where HK is focus. Anti-bribery and corruption remains a top priority for enforcement
- The increasing importance of effective corporate compliance programs
- Continuing reliance on Whistle-Blowers and Qui Tam Relators where whistle-blower programs continue to be a source of tips that have resulted in enhanced enforcement activity
- Use of trade sanctions as a weapon to enforce foreign policy objectives will be persisted.
- Enforcement of cyber security regulations on the rise
- Continuing focus on crime, fraud, waste and abuse
- Risk culture: the renewed focus on accounting, fraud and disclosure enforcement actions

Target Audience

- Bank Executives who wish to understand the regulatory & enforcement trends
- Compliance and risk management practitioners who wish to consolidate their knowledge on AML and compliance regulations

Speaker

The speaker is currently a consultant for a financial risk consultancy company and was an Executive Director at a well-known Chinese bank. Since 2003, the speaker has been working in the private wealth management field in various banks. Before that, he has worked in capital market and treasury for 12 years. Besides, the speaker has the professional qualifications including Msc in Financial Management by University of London and BA (Hons) by University of Hong Kong. He is also a Financial Risk Manager (FRM), Certified Management Accountant (CMA) and Certified Private Wealth Professional (CPWP).

Programme Details

Language	:	Cantonese (supplemented with English materials)
Date	:	6 & 7 August 2019 (Tue) & (Wed)
Time	:	7:00pm – 10:00pm
Duration	:	6 hours
Venue	:	3/F Guangdong Investment Tower, 148 Connaught Road Central (Sheung Wan MTR Station Exit C)
Fee	:	HKD1,800 (HKIB Individual Member) HKD2,160 (Staff of HKIB Corporate member) HKD2,400 (Non-member)
Enrolment	:	By fax at (852) 2682 0218 or in person to our Institute
Enquiries	:	(852) 2190 7060 or (852) 2190 7800
Email	:	programme@hkib.org

Registration Form

From Global to Local - Top 10 Regulatory & Enforcement Trends (HD000000P190802)

Full Name : Mr / Ms _____ (In English as on ID Card) Full Name : _____ (In Chinese)

Membership No : _____ Organisation : _____

Department : _____ Position : _____

E-mail : _____ (Confirmation will be sent via e-mail one week before programme commences) Mobile / Phone No : _____

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) _____

☐ Friends / Colleagues ☐ Banking Today ☐ HKIB Counter

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).

Please visit HKIB website for more public programmes

● Address : 3/F Guangdong Investment Tower, 148 Connaught Road Central, Hong Kong ● Tel : (852) 2153 7800 ● Fax : (852) 2544 9946 ● Email : hkib@hkib.org