



# Alarming 2019 AML Trend-Enforcement by the Regulators with Recent Enforcement Cases in HK

17 October 2019



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

## Background

In recent years, financial industry in Hong Kong has experienced various new regulatory & enforcement changes. Standard of the candidates whether being of frontline, compliance, risk management, coaching, management, etc. shall be enhanced. With discussions on the topics of Consumer-Due-Diligence Programs, virtual payment companies, Digital Currencies, virtual banks and other Fintech developments, practitioners can be on the alert against International AML Enforcement and expectation by the regulators. This program will include most recent enforcement cases in Hong Kong and overseas.

## Programme Outline

- Summary on international AML & CDD trend
- The EU's enactment and implementation of the Fourth/ Fifth and Sixth AML Directives
- New CDD Requirements on Financial Institutions in the United States imposed by FinCEN
- New guidance involving Virtual Asset/ Currencies released by FATF
- Hong Kong Monetary Authority flags blockchain money-laundering risk
- Collaboration between SFC and China Securities Regulatory Commission ("CSRC")
- Case studies in Hong Kong and overseas

## Target Audience

Banking practitioners who wish to enhance their knowledge on the new regulatory & enforcement changes. Other participants who are interested for the captioned subject.

## Speaker

The speaker is currently regional head of Financial Crime Compliance of Natixis, corporate investment banking arm of the 2nd largest banking group, BPCE. The trainer is a senior management with over 15 years' of experience in Compliance and Risk management focusing in Financial Crime including AML, Sanctions, Anti-bribery & Corruption, Fraud and Governance. He previously also covers area of general compliance including physical, information security, crisis management and data privacy. The speaker is an experienced leader in both public bodies and top tier global banks with legal qualifications, reputable market practitioner, speaker and lecturer for both public and academic.

## Programme Details

Language	: Cantonese (supplemented with English materials)
Date	: 17 October 2019 (Thu)
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	: HKD900 (HKIB Individual Member) HKD1,080 (Staff of Corporate Member) HKD1,200 (Non-member)
Enrollment	: 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	: 10 October 2019 (Thu)
Enquiry Email	: programme@hkib.org

## Registration Form

Alarming 2019 AML Trend-Enforcement by the Regulators with Recent Enforcement Cases in HK (HD000000P191010)

Full Name : Mr / Ms _____ <small>(In English as on ID Card)</small>	Full Name : _____ <small>(In Chinese)</small>
Membership No : _____	Organisation : _____
Department : _____	Position : _____
E-mail : _____ <small>(Confirmation will be sent via e-mail one week before programme commences)</small>	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) \_\_\_\_\_  
 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 in registration for those programmes with limited seats.
- 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](http://www.hkib.org)).



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