



# Alarming 2017 AML Enforcement Expected by the Regulators with Recent Enforcement Cases in HK

19 January 2019



| ECF CPD | HKIB CPD | SFC CPT |
|---------|----------|---------|
| 3 Hours | 3 Hours  | 3 Hours |

## Background

From 2016 to 2018, 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, Gaming Entities, Prepaid Cards, Digital Currencies and High-Risk Nested Accounts, practitioners can be on the alert against International AML Enforcement In 2017 expected by the regulators.

This program will include most recent enforcement cases in Hong Kong, USA & India.

## Programme Outline

- Summary on international AML & CDD trend
- New guidance involving CDD on correspondent accounts released by FATF
- The EU's enactment of the Fourth and Fifth AML Directives
- New CDD Requirements on Financial Institutions in the United States imposed by FinCEN
- Cross-border cooperation by governments on AML issues
- Hong Kong Monetary Authority flags blockchain money-laundering risk
- Collaboration between SFC and China Securities Regulatory Commission ("CSRC")
- Case studies in Hong Kong, USA and India

## 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).

## 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.

## Programme Details

Language : Cantonese (supplemented with English materials)  
 Date : 19 January 2019 (Saturday)  
 Time : 14:00 - 17:00  
 Duration : 3 hours  
 Venue : 3/F Guangdong Investment Tower,  
 148 Connaught Road Central, Sheung Wan  
 (Sheung Wan MTR Station Exit C)  
 Fee : HKD900 (HKIB Individual Member)  
 HKD1,080 (Staff of Corporate Member)  
 HKD1,200 (Non-member)  
 Enrolment : By fax at (852) 2682 0218 or in person to our Institute  
 Enquiries : (852) 2190 7056  
 Email : [programme@hkib.org](mailto:programme@hkib.org)

## Registration Form

### Alarming 2017 AML Enforcement Expected by the Regulators with Recent Enforcement Cases in HK (HD000000P190106)

|   |  |
|---|--|
| Full Name : Mr / Ms _____<br><small>(In English as on ID Card)</small>                    | Full Name : _____<br><small>(In Chinese)</small> |
| Membership No : _____   | Organization : _____                             |
| Department : _____  | Position : _____                                 |
| E-mail : _____  | Mobile / Phone No : _____                        |
| <small>(Confirmation will be sent via e-mail one week before programme commences)</small> |  |
| 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](mailto: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](http://www.hkib.org)).



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