



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

[Virtual Classroom] 24 March 2020

**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 2020 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 2020 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 : Cantonese (supplemented with English materials)  
 Date : 24 March 2020 (Tue)  
 Time : 7:00pm - 10:00pm  
 Duration : 3 hours  
 Delivery Mode: : **Virtual Classroom via Zoom**

Fee :	Early Bird	Regular Price
HKIB Individual Member	HKD900	HKD990
Staff of Corporate Member	HKD1,080	HKD1,190
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  
 Application Deadline : 17 March 2020 (Tue)  
 Enquiries : (852) 2153 7800 / (852) 2190 7060  
 Enquiry Email : programme@hkib.org

## Registration Form

Manage AML Risk in Financial Industry – Part IV Sanction, Compliance Trend, Global & Regional AML Pertinent Rule & Recent Cases (HD000000P200306)

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: _____ <small>(Please complete the below address box if you want to collect the programme certificate)</small>	

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: \_\_\_\_\_

## How did you know about this programme?

- Website  HR Department  E-News  Others (Please specify) \_\_\_\_\_  
 Banking Today  Friends / Colleagues  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).



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