



Internal Audit in Financial Institutions

Early Bird Discount

1 week before the application deadline

14 & 21 December 2019

HKIB CPD	SFC CPT
9 Hours	9 Hours

Objectives

By the end of program, the participant will be able to:

- Understand the basic principles and the concepts of conducting an internal audit in financial institutions
- Understand the integrated internal control framework
- Understand the relevant laws and guidelines governing the financial institutions and the internal audit function
- Familiarize with the current internal auditing techniques and the standards of IIA

Programme Outline

- Overview of the rules and guidelines of HKMA
- Risk assessment of financial institutions
 - Types of risk
 - Role of risk management and its philosophy
 - Ways to control/eliminate risk
- Internal audit function in financial institutions
 - Scope nature and objective
 - Relationship between internal audit and external audit
 - The profession of internal auditing
- Audit process and audit techniques
 - Planning and Survey, Resources allocation, Reporting and Monitoring
 - Interviewing, Documentation, Sampling and Confirmation
- Common bank fraud cases
- "Red Flags"
- Common Control Measures

Target Audience

Banking staff with less than 5 years of experience in internal audit. External auditors, accountants, consultants and other professionals who want to enhance their job competency or anyone who are interested in this subject are also welcome to join.

Speaker

The speaker has about 25 years of experience in trade finance and internal audit department. He currently works with one of the major local banks as a Senior Audit Manager. Being the Associate of the Hong Kong Institute of Bankers, a Certified Internal Auditor and a Certified Information Systems Auditor, the speaker has substantial training experience in Internal Audit, Accounting, Banking Practice and Commercial Banking.

Programme Details

Language : Cantonese (supplemented with English materials)
 Date : 14 & 21 December 2019 (Sat)
 Time : 14 Dec : 2:00pm – 5:00pm
 21 Dec : 10:00am – 1:00pm & 2:00pm – 5:00pm
 Duration : 9 hours
 Venue : 3/F Guangdong Investment Tower, 148 Connaught Road Central (Sheung Wan MTR Station Exit C)

Fee	Early Bird	Regular Price
Individual Member	HKD2,700	HKD2,970
Staff of Corporate member	HKD3,240	HKD3,560
Non-member	HKD3,600	HKD3,960

Enrolment : By fax at 2682 0218 or submit to our Institute in person
 Application Email : application.form@hkib.org
 Enquiries : (852) 2153 7800 / (852) 2190 7060
 Application Deadline : 7 December 2019 (Sat)
 Enquiry Email : programme@hkib.org

Registration Form

Internal Audit in Financial Institutions (HD000000P191204)

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 : _____ (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) _____
- 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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