



How to Conduct Financial Fraud Investigation

21, 28 September & 5 October 2019



HKIB CPD	SFC CPT
9 Hours	9 Hours

Programme Objectives

Instances of corporate fraud and misconduct remain a constant threat to company stakeholders. Fraud risk management becomes more important for a corporate to maintain a strong corporate governance framework.

This course is the follow up course to the "Introduction to Financial fraud" and will focus on the design of investigation plan of financial fraud examination. Upon completion of this course, students should be able to implement processes to prevent frauds to occur and detect the financial fraud in a financial institution in an early stage.

Programme Outline

- Background of Fraud Investigation
- Fraud Investigation Framework
- Fraud Examination Methodology
- Planning and Conducting a Formal Investigation
- Fraud Examination Checklist
- Analyzing Documents to Detect Fraud
- Interview Theory and Application
- Source of Information to be Investigated
- Data Analysis & Reporting
- Writing of Fraud Examination Report
- Implementing Fraud Prevention Program
- Fraud Risk Assessment
- Fraud Risk Management

Target Audience

Risk management officers, legal executives, fraud investigation officers, compliance officers, internal auditors, external auditors, bankers, insurance underwriters, business development officers and investors.

Speaker

The speaker has over 15 years of cross border Merger & Acquisition, corporate finance, listing advisory, private equity investment, real estate & distress asset acquisition and management experience in China and HK. He is currently working as a senior investment director in a private equity fund house (owned by a European investment bank) to provide investment and asset management services to sovereign funds in Europe. He held Master of International Financial Law degree, Postgraduate Diploma in Professional Accountancy; Bachelor of Business Administration (financial engineering). He is also a CFA, FRM, CAIA, Chartered Valuation Surveyor (MRICS), licensed China Corporate Legal Counsel, chartered China economist (real estate economics), China certified banker (corporate credit) and China fund management practicing certificate holder. The speaker is a seasonal trainer in various universities and professional associations to provide training on topics related to law, compliance, investment & finance. He also served as trainer in CFA exam preparation program.

Programme Details

Language	:	Cantonese (supplemented with English materials)
Date	:	21, 28 September & 5 October 2019 (Sat)
Time	:	2:00pm – 5:00pm
Duration	:	9 hours
Venue	:	3/F Guangdong Investment Tower, 148 Connaught Road Central (Sheung Wan MTR Station Exit C)
Fee	:	HKD2,700 (HKIB Individual Member) HKD3,240 (Staff of Corporate Member) HKD3,600 (Non-member)
Enrollment	:	By fax at 2682 0218 or Submit to our Institute in person
Application Email	:	application.form@hkib.org
Enquiries	:	(852) 2190 7060 or (852) 2153 7800
Application Deadline	:	14 September 2019 (Sat)
Enquiry Email	:	programme@hkib.org

Registration Form

How to Conduct Financial Fraud Investigation (HD000000P190904)

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 : _____
(mm/yy)

How did you know about this programme?

- Website HR Department E-News Others (Please specify) _____
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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.



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