



From Global to Local - Top 10 Regulatory & Enforcement Trends

[Virtual Classroom] 22 & 29 April 2020

Early Bird Discount
1 week before the
application deadline

ECF CPD	HKIB CPD	SFC CPT
6 Hours	6 Hours	6 Hours

Objectives

Upon completion of the programme, the participants will be able to embrace the top 10 regulatory and enforcement trends from global to local.

- Maintaining appropriate compliance in the face of frequent rule changes
- Managing risk instead of avoiding risk: Putting a stop to "de-risking"
- Proper due diligence vs. being too invasive: e.g. Walking the fine line of KYC on-boarding procedures
- Potential commercial value vs. potential downsides – choosing appropriate business relationships in face of new enforcement cases
- Being vigilant in preparation for regulatory changes, elsewhere in the world

Programme Outline

1. Importance of Increased Focus on Corporate Inability-to-Pay Claims and Enforcement Actions
2. Global Enforcement Action Upon Anti-bribery AML Charge that can apply to Corruption-based AML
3. Asia Response To Money laundering- how Singapore treats AML threats?
4. On-going Anti-Bribery and Corruption Enforcement particularly in banking where HK is focus. Anti-bribery and corruption will remain a top priority for enforcement in 2019 and ahead
5. The Increasing Importance of Effective Corporate
6. Compliance Programs
7. Continuing Reliance on Whistle-Blowers and Qui Tam Relators where whistle-blower programs continue to be a source of tips that have resulted in enhanced enforcement activity
8. Use of Trade Sanctions as a Weapon to Enforce Foreign Policy Objectives shall persist.
9. Enforcement of Cyber Regulations on the rise
10. Continuing EU Focus on Government Officials, Corruption and Abuse
11. Risk Culture Upon Global Collaboration and Enforcement Actions

Target Audience

- Bank and finance executives who wish to understand the regulatory & enforcement trends
- Compliance and risk management practitioners who wish to consolidate their knowledge on AML and compliance regulations

Speaker

The speaker is currently a consultant for a financial risk consultancy company and was an Executive Director at a well-known Chinese bank. Since 2003, the speaker has been working in the private wealth management field in various banks. Before that, he has worked in capital market and treasury for 12 years. Besides, the speaker has the professional qualifications including Msc in Financial Management by University of London and BA (Hons) by University of Hong Kong. He is also a Financial Risk Manager (FRM), Certified Management Accountant (CMA) and Certified Private Wealth Professional (CPWP).

Programme Details

Language	: Cantonese (supplemented with English materials)
Date	: 22 April 2020 (Wed) & 29 April 2020 (Wed)
Time	: 7:00pm – 10:00pm
Duration	: 6 hours
Delivery Mode	: Virtual Classroom via Zoom

Fee :	Early Bird	Regular Price
Individual Member	HKD 1,800	HKD 1,980
Staff of Corporate Member	HKD 2,160	HKD 2,380
Non-Member	HKD 2,400	HKD 2,640

Enrolment	: By email or in person to our Institute
Application email	: application.form@hkib.org
Application deadline	: 15 April 2020 (Wed)
Enquiries	: (852) 2190 7060 or (852) 2190 7800
Enquiry email	: programme@hkib.org

Registration Form

From Global to Local - Top 10 Regulatory & Enforcement Trends (HD000000P200304)

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 : _____	Mobile No : _____
Mailing Address : _____	HKID No : _____

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?

- | | | | |
|---|--|---------------------------------------|--|
| <input type="checkbox"/> Website | <input type="checkbox"/> HR Department | <input type="checkbox"/> E-News | <input type="checkbox"/> Others (Please specify) _____ |
| <input type="checkbox"/> Friends / Colleagues | <input type="checkbox"/> Banking Today | <input type="checkbox"/> 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 at least 5 working 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 e-Certificate will be sent to your email within 15 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).



← Please visit HKIB website for more public programmes