



# Workshop on Key AML and Fraud Risk Controls on Private Banking

16 October 2019

HKIB CPD	SFC CPT
3 Hours	3 Hours

## Programme Objectives

After completion of the workshop, the participants will have a good understanding of key AML and fraud risk controls applicable to private banking.

## Programme Outline

- What are the key controls / areas for attention for private banking to manage its money laundering and terrorism financing risks, in particular the following:
  - Customer On-Boarding / Acceptance
  - Ongoing Monitoring
  - Use of Financial Intermediaries
  - Suspicious Transaction Reporting
  - Wire Transfer
- What are the key controls for private banking to manage its fraud risk, in particular following:
  - Enhanced Authentication of Customer Instruction
  - Hold Mail Services
  - Inactive/ Dormant Accounts
  - Customer Static Data
- Group discussion to share practices in the interpretation of the above control areas

## Target Audience

Bank Staff/Executives from Compliance and Legal Department, Internal Audit/Control and Risk Management Department; and any members who are interested in this topic are also welcome to join.

## Speaker

The speaker has more than 20 years of experience working in the financial services industry and professional legal and accounting firms and involved in various functions such as risk, credit, accounting, legal and compliance of several corporate, commercial and investment banks. He was previously the head of credit control of a reputable corporate and commercial bank in Hong Kong. Currently, he is the regional legal counsel of a global corporate and investment bank. He is a qualified lawyer in Hong Kong and England, a CPA in Hong Kong and England, an associate member of HKIB and chartered banker of the Institute of Bankers in Scotland. He has substantial experience in delivering seminars and training in universities and professional institutes.

## Programme Details

Language	:	English
Date	:	16 October 2019 (Wed)
Time	:	7:00pm – 10:00pm
Duration	:	3 hours
Venue	:	3/F Guangdong Investment Tower, 148 Connaught Road Central (Sheung Wan MTR Station Exit C)
Fee	:	HKD1,200 (HKIB Individual Member) HKD1,400 (Staff of HKIB Corporate member) HKD1,600 (Non-member)
Enrollment	:	By fax at 2682 0218 or in person to our institute
Application Email	:	application.form@hkib.org
Enquiries	:	(852) 2153 7800 / (852) 2190 7060
Application Deadline	:	9 October 2019 (Wed)
Enquiry Email	:	programme@hkib.org

## Registration Form

Workshop on Key AML and Fraud Risk Controls on Private Banking (HD000000P191014)

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) \_\_\_\_\_  
 Friends / Colleagues                                       Banking Today                                       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 in registration for those programmes with limited seats.
- 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.



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