



KYC refresher-Best practices and practical examples

in adopting the most updated HKMA AMLO Guidance and HKAB FAQ

[Virtual Classroom] 23 June 2020

Early Bird Discount
1 week before the
application deadline

ECF CPD	HKIB CPD	SFC CPT
3 Hours	3 Hours	3 Hours

Objective

Financial institutions are expected to adopt a risk-based approach (RBA) in the implementation of AML/CFT controls including customer onboarding to identify, assess and understand the risk they are exposed and take appropriate measures commensurate with those risks in order to mitigate them effectively. Best practices and practical examples will be shared in view of the latest HKMA AMLO Guidance and HKAB FAQ on KYC.

After the completion of the programme, participants will be able to:

- Develop an understanding on the expectation from the latest AMLO and relevant HKMA AMLO Guidance the topic on customer onboarding
- Getting awareness of recent regulatory actions related to failure to conduct proper CDD
- Have a practical understanding over the best practices in client onboarding suggested by HKAB FAQ
- Develop and adopt a RBA Client Onboarding Policy to effectively manage AML/CTF Risk whilst refrain from adopting practices that would result in financial exclusion

Programme Outline

- Refresher on the purpose and regulatory expectation over CDD/KYC based on latest HKMA AMLO Guidance.
- Studies on recent regulatory actions over failure in Customer Due Diligence
- Best Practices on HKAB FAQ on CDD in Action - Elaborating the HKAB FAQ Paper on KYC Best Practices with practical examples and case studies
- Discussion on selected CDD onboarding topics - SME Clients and remote onboarding

Target Audience

The course is designed to provide a KYC training and refresher for professional in Front Office/ KYC Support function/Compliance or senior management working in the financial industry to have a practical understanding the purpose and expectation over the topic of client onboarding.

Speaker

The speaker of this course has a total of over 20 years of professional experience in Financial Crime Compliance. He is currently Regional Head of Financial Crime Compliance in a major European Investment Bank. He has been holding senior roles in AML/FCC within different US/European based major banks with extensive experience in dealing with US/European and local regulators.

Programme Details

Language : Cantonese (supplemented with English materials)
 Date : 23 June 2020 (Tue)
 Time : 7:00pm - 10:00pm
 Duration : 3 hours
 Delivery Mode : **Virtual Classroom** via Zoom

Fee :	Early Bird	Regular Price
Individual Member	HKD 900	HKD 990
Staff of Corporate Member	HKD 1,080	HKD 1,190
Non-member	HKD 1,200	HKD 1,320

Enrolment : By email or in person to our Institute
 Application Email : application.form@hkb.org
 Application Deadline : 16 June 2020 (Tue)
 Enquiries : (852) 2153 7800 / (852) 2190 7060
 Enquiry Email : programme@hkb.org

Registration Form

KYC refresher-Best practices and practical examples in adopting the most updated HKMA AMLO Guidance and HKAB FAQ (HD000000P200604)

Full Name : Mr / Ms _____ Full Name : _____
(In English as on ID Card) (In Chinese)

Membership No : _____ Organization : _____

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@hkb.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

- All fees paid are non-refundable and non-transferrable.
- Participants who have settled payments will receive course confirmation by e-mail at least 5 working 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 e-Certificate will be sent to your email within 15 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.
- For the Typhoon or Rainstorm arrangement, please refer to the confirmation e-mail or HKIB's website (www.hkb.org).



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