



Workshop on Key AML Control/ Risk Assessment on Trade Finance Activity

12 October 2019

HKIB CPD	SFC CPT
3 Hours	3 Hours



Objectives

After completion of the workshop, the participants will have a good understanding of key AML controls and sound practices on trade finance activity.

Programme Outline

- Why trade finance activity is getting more important for AML scrutiny and risk monitoring?
- What is the risk assessment of trade finance business?
- What is due diligence required for trade finance business? What additional information is required for trade finance transactions?
- What are the different types of trade finance transactions and additional information that banks are encouraged to obtain at customer inception stage or at the transaction stage?
- What additional information to be obtained for trade finance transactions with higher financial crime risk?
- What controls are expected for invoice financing and dual-use goods?
- What are the sanctions controls applicable to trade finance transactions?
- What are the specific trade-based money laundering controls?
- What are the common red flags for trade finance transactions?
- Group discussion sharing common market practices

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	:	12 October 2019 (Sat)
Time	:	2:00pm – 5:00pm
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	:	5 October 2019 (Sat)
Enquiry Email	:	programme@hkib.org

Registration Form

Workshop on Key AML Control/ Risk Assessment on Trade Finance Activity (HD000000P191013)

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?

- | | | | |
|---|--|---------------------------------------|--|
| <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 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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