



Manage AML Risk in Banking Context Part III - OFAC, Compliance Trend & Regional AML Laws

25 July 2019



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

Programme Objectives

- Maintaining 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: Walking the fine line of KYC on-boarding procedures
- Potential commercial value vs. potential downsides – choosing appropriate business relationships
- Being vigilant in preparation for high-profile terrorist attacks

Programme Outline

- Compliance requirement for financial institutions
- Compliance implementation in financial institutions
- OFAC compliance program requirements
- HK & Regional AML regulations

Speaker

The speaker has worked as Executive Director of a well-known Chinese bank. He has been working in private wealth management field in various banks since 2003. Before that, he was working in capital market and treasury for 12 years. Besides, he has the professional qualification of 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).

Target Audience

- Bank Executives who wish to understand the key concepts in and AML / CFT
- Compliance and risk management practitioners who wish to consolidate their knowledge on AML and compliance regulations

Programme Details

Language : Cantonese (supplemented with English materials)
 Date : 25 July 2019 (Thu)
 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 : HKD900 (HKIB Individual Member)
 HKD1,080 (Staff of Corporate Member)
 HKD1,200 (Non-member)
 Enrollment : By fax at 2682 0218 or Submit to our Institute in person
 Enquiries : (852) 2153 7800 or (852) 2190 7060
 Email : programme@hkib.org

Registration Form

Manage AML Risk in Banking Context Part III - OFAC, Compliance Trend & Regional AML Laws (HD000000P190709)

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 provide a mailing address if you want to collect the programme certificate)</small>	
Payment Method : <input type="checkbox"/> 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	
<input type="checkbox"/> Credit Card : <input type="checkbox"/> VISA <input type="checkbox"/> Master	Amount : HK\$ _____
Cardholder’s Name : _____	Signature : _____
Card No. : _____	Expiry Date : _____ <small>(mm/yy)</small>

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 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.
- 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