



# Manage AML Risk Part II - Regulation vs Risk Culture

11 September 2019



ECF/AML 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

- Some US & Regional RAs’ Response to Prevention of ML & CTF
- The Ways Financial Institutions around the Globe are in Face of Regulators
- Top 10 FCPA enforcements actions of all time;
- Current 2019 FCPA Issues
- Some regional regulatory authorities’ response to prevention of ML & CTF
- Risk Culture: Anti-Money Laundering and Counter Terrorist Financing Policy, Procedures & Systems

## Speaker

The speaker is currently the Principal Consultant in a consultancy firm and a trainer of HKIB. Prior to being the Executive Director of a well-known Chinese bank, the speaker has worked in the field of private wealth management, capital market and treasury for years. The speaker has a postgraduate and a bachelor degree, together with four professional qualifications: Msc in Financial Management awarded by University of London, BA (Hons) awarded by University of Hong Kong, Financial Risk Manager (FRM), Certified Management Accountant (CMA), Certified Private Wealth Professional (CPWP) and Certified Anti-Money Laundering Specialist (CAMS).

## Target Audience

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

## Programme Details

Language	: English
Date	: 11 September 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	: HKD900 (HKIB Individual Member) HKD1,080 (Staff of Corporate Member) HKD1,200 (Non-member)
Enrolment	: By fax at 2682 0218 or in person to our institute
Application Email	: application.form@hkib.org
Enquiries	: (852) 2153 7800 or (852) 2190 7060
Application Deadline	: 4 September 2019 (Wed)
Enquiry Email	: programme@hkib.org

## Registration Form

Manage AML Risk Part II - Regulation vs Risk Culture (HD000000P190914)

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. _____) <small>* For e-Cheque, please state the programme code under ‘remarks’ and email together with the completed enrolment form to programme@hkib.org</small>
<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?

<input type="checkbox"/> Website	<input type="checkbox"/> HR Department	<input type="checkbox"/> E-News	<input type="checkbox"/> Others (Please specify) _____
<input type="checkbox"/> Banking Today	<input type="checkbox"/> Friends / Colleagues	<input type="checkbox"/> 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).



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