Programme No.: HD000000P190817

AML in FinTech Industries

31 August 2019

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

Overview

"Fintech" is an amalgam of the terms, "finance" and "technology". It refers to innovation in the financial industry. By leveraging technology, it allows businesses to become much more efficient. However, at the same time, with the ever-changing regulatory regime and tightening anti-money laundering ("AML") requirements, how can a Fintech company survive without breaching any relevant rules and regulations? This is the topic that we are going to explore in this lesson.

Objective

This is an elementary-to-intermediate course which provides an overview of Hong Kong and Asia Pacific region's AML regulatory frameworks of the Fintech industry.

Programme Outline

- Concepts of Money Laundering and Terrorist Financing
- Overview of the relevant AML ordinances, rules and guidelines
- Case studies (Hong Kong, Regional and International)

Target Audience

This course is mainly targeted to Individuals or professionals who will be or are involved in the AML area/process of the Fintech industry or those who are interested in this topic.

Speaker

The trainer is currently the Chief Operating Officer of a leading Fintech company and has over 15 years of experience in compliance, anti-money laundering and risk management. Prior to that, the trainer led different regional and local middle-to-back office functions in global financial institutions, e.g. Ant Financial, RBC Wealth Management, Royal Bank of Scotland, HSBC and BNP Paribas. The trainer started his career in Morgan Stanley and then moved to PricewaterhouseCoopers before joining the SFC as a regulator. The trainer is a ABP, AHKIB, MHKSI, TMA member and Chartered Banker of CIBS. The trainer graduated from the HKUST with first class honor and obtained law degrees from the CUHK and Tsinghua University. The trainer is also the holder of Master of Laws (LLM), Juris Master and Bachelor of Business.

Programme Details

Language	:	Cantonese (supplemented with English materials)
Date	:	31 August 2019 (Sat)
Time	:	9:00am - 12:00pm
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 (852) 2682 0218 or in person to our Institute
Enquiries	:	(852) 2190 7056 / (852) 2153 7800
Email	:	programme@hkib.org

Registration Form

AML in FinTech Industries (HD000000P190817)

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

Full Name : _____ (In Chinese)

Membership No : _____

Organisation : _____

Department : _____

Position : _____

E-mail : _____ (Confirmation will be sent via e-mail one week before programme commences)

Mobile / Phone No : _____

Mailing Address : _____

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 : HKD _____

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

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.
9. For the Typhoon or Rainstorm arrangement, please refer to the confirmation e-mail or HKIB's website (www.hkib.org).

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