



Practical Understanding of the Anti-Money Laundering (AML) and Counter-Financing of Terrorism (CFT)

10 September 2019



| ECF CPD | HKIB CPD | SFC CPT |
|---------|----------|---------|
| 3 Hours | 3 Hours | 3 Hours |

Objectives

Anti-Money Laundering (AML) and Counter-Financing of Terrorism (CFT) are hot topics in recent years. Not only because banks and corporations are penalized and charged heavily for the contraventions, they also change the regulatory and recruitment regimes in a global scale. The primary objective of this course is to provide you an introductory to intermediate level of AML and CFT knowledge.

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

- Understand the applicable regulatory requirements on AML and CFT;
- Identify the warning signs of suspicious transactions; and
- Know the expectations from the authorities/regulators and consequences of non-compliance

Programme Outline

- Concepts of Money Laundering and Terrorist Financing
- Overview of the AMLO, relevant rules and guidelines
- Politically Exposed Persons (PEPs)
- Know Your Client (KYC)
- Customer Due Diligence (CDD)
- Risk based approach
- Indicators of suspicious activities commonly encountered
- Suspicious Transaction Reporting and Joint Financial Intelligence Unit
- Key elements of an effective AML Program
- Case study (Hong Kong, Regional and International)

Target Audience

- New entrants of AML/CFT field
- Banking practitioners who wish to enhance their knowledge on the AML and CFT
- Other participants who are interested for the captioned subject

Speaker

The speaker is currently regional head of Financial Crime Compliance of Natixis, corporate investment banking arm of the 2nd largest banking group, BPCE. The trainer is a senior management with over 15 years' of experience in Compliance and Risk management focusing in Financial Crime including AML, Sanctions, Anti-bribery & Corruption, Fraud and Governance. He previously also covers area of general compliance including physical, information security, crisis management and data privacy. The speaker is an experienced leader in both public bodies and top tier global banks with legal qualifications, reputable market practitioner, speaker and lecturer for both public and academic.

Programme Details

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| Language | : | Cantonese (supplemented with English materials) |
| Date | : | 10 September 2019 (Tue) |
| 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 (852) 2682 0218 or in person to our Institute |
| Application Email | : | application.form@hkib.org |
| Enquiries | : | (852) 2153 7800 / (852) 2190 7060 |
| Application Deadline | : | 3 September 2019 (Tue) |
| Enquiry Email | : | programme@hkib.org |

Registration Form

Practical Understanding of the Anti-Money Laundering (AML) and Counter-Financing of Terrorism (CFT) (HD000000P190916)

| | |
|---|--|
| 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 : _____ | |

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 : _____

How did you know about this programme?

- Website HR Department E-News Others (Please specify) _____
 Friends / Colleagues Banking Today 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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