



Workshop on Transaction Screening, Transaction Monitoring and Suspicious Transaction Reporting under AML Requirements

26 October 2019

Early Bird Discount
2 weeks before the
application deadline

HKIB CPD	SFC CPT
3 Hours	3 Hours

Objectives

This workshop will outline recent guidance issued by the HKMA on sound industry practices for transaction screening, transaction monitoring and suspicious transaction reporting. There will be group discussion for participants to share current industry practices on subject matter.

Target Audience

For banking practitioners only.

Programme Details

Language	:	English												
Date	:	26 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	:	<table border="1"> <thead> <tr> <th></th> <th>Early Bird</th> <th>Regular Price</th> </tr> </thead> <tbody> <tr> <td>HKIB Individual Member</td> <td>HKD1,200</td> <td>HKD1,320</td> </tr> <tr> <td>Staff of Corporate Member</td> <td>HKD1,400</td> <td>HKD1,540</td> </tr> <tr> <td>Non-member</td> <td>HKD1,600</td> <td>HKD1,760</td> </tr> </tbody> </table>		Early Bird	Regular Price	HKIB Individual Member	HKD1,200	HKD1,320	Staff of Corporate Member	HKD1,400	HKD1,540	Non-member	HKD1,600	HKD1,760
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HKIB Individual Member	HKD1,200	HKD1,320												
Staff of Corporate Member	HKD1,400	HKD1,540												
Non-member	HKD1,600	HKD1,760												
Enrolment	:	By fax at 2682 0218 or submit to our Institute in person												
Application Email	:	application.form@hkib.org												
Enquiries	:	(852) 2153 7800 / (852) 2190												
Application Deadline	:	7060 19 October 2019 (Sat)												
Enquiry Email	:	programme@hkib.org												

Programme Outline

- What are the recommended transaction screening procedures by the HKMA?
- How to handle transactions with potential name matches or involving sanctioned jurisdictions?
- What is the recommended transaction monitoring system by the HKMA?
- What are exception report handling procedures?
- What are the expected requirements on MIS report for detecting suspicious transactions?
- What is the expected quality of suspicious transaction report by JFIU?
- Group discussion and sharing industry standards

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.

Registration Form

Workshop on Transaction Screening, Transaction Monitoring and Suspicious Transaction Reporting under AML Requirements (HD000000P191015)

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 : <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"/> 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.
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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