



# AML/CFT in Private Banking

16 September 2019



ECF AML/CFT CPD	HKIB CPD	SFC CPT	PWMA OPT
3 Hours	3 Hours	3 Hours	3 Hours

## Objectives

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

- Enhance the knowledge of AML/CFT.
- Apply the international standards on AML/CFT .
- Identify and report the suspicious activities.

## Programme Outline

- AML Regulations vs. STR
  - Money Laundering and Terrorist Financing
  - Oversight of the AMLO, relevant rules and guidelines
  - Indicators of suspicious activities commonly encountered
  - Suspicious Transaction Reporting and Joint Financial Intelligence Unit Recent regulatory enforcement actions
- KYC, CDD, POA
  - Risk Based Approach (RBA)
  - Know Your Client (KYC) and Customer Due Diligence (CDD)
  - Politically Exposed Persons (PEP)
  - Key elements of an effective AML Program
  - Case studies

## Target Audience

AAMLPS, CPWPs and practitioners from private banking department who wish to enhance their knowledge on the AML/CFT and any participants who are interested.

## 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).

## Programme Details

Language	:	Cantonese (supplemented with English materials)
Date	:	16 September 2019 (Mon)
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	:	HK\$900 (HKIB Individual Member) HK\$1,080 (Staff of Corporate Member) HK\$1,200 (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	:	9 September 2019 (Mon)
Enquiry Email	:	programme@hkib.org

## Registration Form

AML/CFT in Private Banking (HD000000P190910)

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 :  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](mailto:programme@hkib.org)

Credit Card :  VISA  Master      Amount : HK\$ \_\_\_\_\_

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) \_\_\_\_\_  
 Banking Today                       Friends / Colleagues                       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](http://www.hkib.org)).



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