



香港銀行學會  
The Hong Kong Institute of Bankers

Unveiling  
**a New Chapter**  
in Talent Development  
開啓人才培訓  
**新篇章**



Annual Report 2016





# Enhancing the Banking Profession

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# 香港銀行學會的使命、目標和架構

## Mission, Objectives and Structure of HKIB

### 使命

香港銀行學會秉承精益求精的理念，因應內地與香港瞬息萬變的銀行金融業發展，致力為從業員提供優質專業培訓課程。

### 目標

香港銀行學會成立的宗旨包括：

- 積極開展學術研究和訊息交流，促進香港銀行業的發展和創新，鞏固香港作為國際金融中心的地位。
- 完善培訓課程，使銀行從業人員通過進修，不斷提高服務水平，成為銀行界之優秀專業人士，並獲得認可的專業資格。
- 維護銀行界的權益。

### 架構

香港銀行學會於 1963 年創立。在本地銀行和金融機構的大力支持下，學會於 1995 年正式發展成為獨立非牟利組織。學會的架構由議會及理事會組成，其成員為香港銀行及金融業的代表和領袖，理事會轄下另設有多個專責委員會。各專責委員會就發展方針及策略，提供方向及指引予秘書處，秘書處主責執行日常會務。

### 議會

議會負責制訂香港銀行學會的中期和長遠發展路向，並就學會的事務向理事會提供意見。

### 理事會

理事會負責監管和統籌學會的日常運作，包括培訓、頒授資格，及與香港、中國內地和海外組織聯繫等。

### Mission

To continue to strive for excellence and to provide quality education for professional practice in response to the growing needs of the banking and financial industries in Hong Kong and the Mainland.

### Objectives

The Institute is a professional organisation whose members represent a cross-section of the banking community. In very broad terms, the objectives of the Institutes are as follows:

- To facilitate the consideration of matters of interest to bankers;
- To make available training opportunities for members to acquire knowledge in relation to their banking professions;
- To further the interest of banking.

### Structure

Set up in 1963 and becoming an independent organisation in 1995 through the support of local banks and financial institutions, HKIB is a non-profit-making organisation made up of a Council and an Executive Committee, both represented by seasoned professionals and leaders of the banking and financial community in Hong Kong. Reporting to the Executive Committee is the Secretariat, which is responsible for the day-to-day operations of the Institute upon advice and guidance on development strategies and policy matters given by various subcommittees.

### The Council

The role of the Council is to set the medium to long-term direction of the Institute and to advise the Executive Committee on the development of the Institute.

### The Executive Committee

The Executive Committee is responsible for overseeing the management of the Institute, including provision of training, awarding of qualifications, and the collaborations of the Institute with organisations in Hong Kong, Mainland China and overseas.

# 議會 Council (截至 2017 年 5 月 31 日 As at 31 May 2017)



**會長 President**  
**王冬勝先生**  
 香港上海滙豐銀行有限公司  
 副主席兼行政總裁  
**Mr. Peter T S Wong, JP FHKIB**  
 Deputy Chairman and Chief Executive  
 The Hongkong and Shanghai Banking Corporation Limited



**榮譽會長 Honorary President**  
**陳德霖先生**  
 香港金融管理局  
 行政總裁  
**Mr. Norman T L Chan, GBS JP FHKIB**  
 Chief Executive  
 Hong Kong Monetary Authority

## 副會長 Vice Presidents



**鄺達禮先生**  
 證券及期貨事務監察委員會  
 行政總裁  
**Mr. Ashley Alder, FHKIB**  
 Chief Executive Officer  
 Securities and Futures  
 Commission



**陳林龍博士**  
 中國光大銀行  
 香港分行行長  
**Dr. Mike Chen**  
 Chief Executive Officer  
 China Everbright Bank Company Limited  
 Hong Kong Branch



**方紅光先生**  
 南洋商業銀行有限公司  
 副董事長兼行政總裁  
**Mr. Fang Hongguang, FHKIB**  
 Vice Chairman & Chief Executive  
 Nanyang Commercial Bank Limited



**馮鈺斌博士**  
 華僑永亨銀行有限公司  
 董事長  
**Dr. Patrick Y B Fung, JP FHKIB**  
 Chairman  
 OCBC Wing Hang Bank Limited



**高明女士**  
 中國工商銀行(亞洲)有限公司  
 主席兼執行董事  
**Ms. Gao Ming**  
 Chairman & Executive Director  
 Industrial and Commercial  
 Bank of China (Asia) Limited



**楊惠儀女士**  
 渣打銀行(香港)有限公司  
 執行董事兼行政總裁  
**Ms. Mary Huen**  
 Executive Director & Chief Executive Officer  
 Standard Chartered Bank  
 (Hong Kong) Limited



**郭珮芳女士**  
 中國建設銀行(亞洲)股份有限公司  
 常務副行長兼執行董事  
**Ms. Miranda P F Kwok, FHKIB**  
 President & Executive Director  
 China Construction Bank (Asia)  
 Corporation Limited



**劉惠民先生**  
 創興銀行有限公司  
 執行董事兼副董事總經理  
**Mr. Felton Lau**  
 Executive Director and  
 Deputy Managing Director  
 Chong Hing Bank Limited



**李永鴻先生**  
 富邦銀行(香港)有限公司  
 行政總裁兼董事總經理  
**Mr. Raymond W H Lee**  
 Chief Executive Officer and  
 Managing Director  
 Fubon Bank (Hong Kong) Limited



**李慧敏女士**  
 恒生銀行有限公司  
 副董事長兼行政總裁  
**Ms. Rose W M Lee, FHKIB**  
 Vice-Chairman and  
 Chief Executive  
 Hang Seng Bank Limited



**李慶宜先生**  
 上海商業銀行有限公司  
 董事長  
**Mr. Stephen C Y Lee**  
 Chairman  
 Shanghai Commercial Bank Limited



**李國寶博士**  
 東亞銀行有限公司  
 主席兼行政總裁  
**Dr. The Hon David K P Li,**  
 GBM GBS JP FHKIB  
 Chairman & Chief Executive  
 The Bank of East Asia Limited



**李民橋先生**  
 東亞銀行有限公司  
 副行政總裁  
**Mr. Adrian M K Li**  
 Deputy Chief Executive  
 The Bank of East Asia Limited



**李志成先生**  
 中國農業銀行  
 香港分行行長  
**Mr. Li Zhicheng**  
 Chief Executive Officer  
 Agricultural Bank of China Limited  
 Hong Kong Branch



**盧韋柏先生**  
 花旗集團  
 香港及澳門區行長  
**Mr. Weber Lo**  
 Citi Country Officer and  
 Chief Executive Officer  
 Hong Kong and Macau Citibank, N.A.



**龐華毅先生**  
 星展銀行(香港)有限公司  
 行政總裁  
**Mr. Sebastian Paredes, FHKIB**  
 Chief Executive Officer  
 DBS Bank (Hong Kong) Limited



**壽福鋼先生**  
 交通銀行股份有限公司  
 香港分行  
 行政總裁  
**Mr. Shou Fugang**  
 Chief Executive  
 Bank of Communications Company Limited  
 Hong Kong Branch



**王守業先生**  
 大新銀行  
 董事長  
**Mr. David S Y Wong,**  
 OBE JP FHKIB  
 Chairman  
 Dah Sing Bank Limited



**岳毅先生**  
 中國銀行(香港)有限公司  
 副董事長兼總裁  
**Mr. Yue Yi**  
 Vice Chairman and  
 Chief Executive  
 Bank of China (Kong Kong) Limited



**張小衛先生**  
 中信銀行(國際)有限公司  
 行長兼行政總裁  
**Mr. Zhang Xiaowei**  
 President and Chief Executive Officer  
 China CITIC Bank  
 International Limited



**朱琦先生**  
 永隆銀行  
 常務董事兼行政總裁  
**Mr. Zhu Qi, FHKIB**  
 Executive Director and  
 Chief Executive  
 Wing Lung Bank Limited

以英文姓氏排序  
 In alphabetical order by last name

# 理事會 Executive Committee (截至 2017 年 5 月 31 日 As at 31 May 2017)



主席  
Chairman  
馮鈺斌博士  
華僑永亨銀行有限公司  
董事長  
Dr. Patrick Y B Fung, JP FHKIB  
Chairman  
OCBC Wing Hang Bank Limited



副主席  
Deputy Chairman  
阮國恒先生  
香港金融管理局  
副總裁  
Mr. Arthur KH Yuen, JP FHKIB  
Deputy Chief Executive  
Hong Kong Monetary Authority



榮譽秘書  
Honorary Secretary  
郭錫志先生  
上海商業銀行  
常務董事兼行政總裁  
Mr. David S C Kwok, FHKIB  
Managing Director and Chief Executive  
Shanghai Commercial Bank Limited



榮譽司庫  
Honorary Treasurer  
徐振文先生  
恒生銀行有限公司  
環球銀行業務總監  
Mr. Thomas C M Tsui, AHKIB  
Head of Global Banking  
Hang Seng Bank Limited



陳慶耀先生  
香港上海滙豐銀行有限公司  
滙豐工商金融  
中小企業主管  
Mr. Daniel Chan  
Head of Business Banking  
HSBC Commercial Banking  
The Hongkong and Shanghai  
Banking Corporation Limited



陳景宏先生  
香港金融管理局  
銀行監理部  
助理總裁  
Mr. Raymond Chan  
Executive Director  
Banking Supervision Department  
Hong Kong Monetary Authority



陳文先生  
中國銀行(香港)有限公司  
機構業務部  
總經理  
Mr. Stephen M Chan, AHKIB  
General Manager  
Institutional Business Department  
Bank of China  
(Hong Kong) Limited



鄭文宏先生  
交通銀行股份有限公司  
香港分行  
副行政總裁  
Mr. Raymond M W Cheng  
Deputy Chief Executive  
Bank of Communications  
Company Limited  
Hong Kong Branch



鄭綺青女士  
星展銀行(香港)有限公司  
人力資源  
董事總經理  
Ms. Sharon Cheng  
Managing Director &  
Head of Human Resources  
DBS Bank (Hong Kong) Limited



鐘麗娟女士  
渣打銀行(香港)有限公司  
渣打學院主管  
Ms. Marianne Chung  
Head of Learning Academy  
Standard Chartered Bank  
(Hong Kong) Limited



葉冠東先生  
中國工商銀行(亞洲)有限公司  
執行董事  
副行政總裁兼風險總監  
Mr. Patrick Ip  
Executive Director  
Deputy Chief Executive and  
Chief Risk Officer  
Industrial and Commercial  
Bank of China (Asia) Limited



梁建文先生  
中信銀行(國際)有限公司  
資訊科技及營運總監  
Mr. Michael K M Leung  
Chief Information and  
Operations Officer  
China CITIC Bank  
International Limited



馬陳志先生  
中國建設銀行(亞洲)  
股份有限公司  
副行長兼首席財務官  
Mr. Ma Chan Chi  
Deputy Chief Executive and  
Chief Financial Officer  
China Construction Bank  
(Asia) Corporation Limited



梅月嫦女士  
南洋商業銀行有限公司  
副總經理  
Ms. Wendy Y S Mui  
Deputy General Manager  
Nanyang Commercial Bank  
Limited



唐漢城先生  
東亞銀行有限公司  
副行政總裁兼營運總監  
Mr. Tong Hon Shing,  
FHKIB  
Deputy Chief Executive and  
Chief Operating Officer  
The Bank of East Asia Limited



黃漢興先生  
大新銀行  
副董事長  
Mr. Derek H H Wong,  
FHKIB  
Vice Chairman  
Dah Sing Bank Limited



黃綺麗女士  
花旗銀行  
人力資源部高級副總裁  
Ms. Fiona Wong  
Head of Human Resources  
Global Consumer Banking Hong Kong  
Citibank (Hong Kong) Limited

## 主席獻辭 Chairman's Message



我謹代表香港銀行學會報告學會於過往一年在多個關鍵項目實現長足的發展。

我首先感謝所有學會會員、議會和理事會成員、香港金融管理局（金管局），以及所有曾與學會一起工作的人士，全賴你們的支持和認同，學會在銀行人才開發及專業認證方面，不斷作出重要貢獻，尤其於強化銀行專業框架及推動銀行業持續發展方面的成就。

2016年我們收穫豐富，學會付出的努力得到了成果，並成為鞏固未來發展的基石。令我們最鼓舞的是學會發佈推出「銀行專業會士」（Certified Banker，「CB」）資格。「銀行專業會士」建基於香港銀行學會會士（Associate of The Hong Kong Institute of Bankers，「AHKIB」），其課程內容銜接金管局的「銀行專業資歷架構（Enhanced Competency Framework，「ECF」）的技能範疇。從課程設計至專業稱銜的定位，「銀行專業會士」與銀行和從業員的需要，以及社會發展步調一致，因而得到金管局及各界的支持。「銀行專業會士」由三個累進課程組成，其與資歷架構（「QF」）掛鈎，由高等文憑、專業文憑和深造文憑循序漸進，以反映持有人的不同經驗及能力水平。三個課程均通過香港學術及職業資歷評審局（HKCAAVQ）的評審，並獲資歷架構認可。「銀行專業會士」深造文憑是首個也是唯一以《能力標準說明》為本的銀行業專業資格，並在香港取得資歷架構第六級別。其級別與碩士學位相同。「銀行專業會士」提供一個明確和公認的專業基準，有利於提高銀行及從業員的水平和成就。在2017年以至往後，學會會更加專注於發展「銀行專業會士」，讓更多從業員成為「銀行專業會士」持有人和「認證人員」。「銀行專業會士」進一步提升銀行從業員的專業地位，預期大眾可憑銀行「認證人員」的相關人數而了解銀行的專業水平。

此外，學會持續提供更多「銀行專業資歷架構」培訓，全力支持金管局促進從業員的專業發展，

It is my pleasure to present this report that summarises yet another year of growth of The Hong Kong Institute of Bankers.

First of all, I would like to express my gratitude to all Members, Council Members, Executive Committee Members, the Hong Kong Monetary Authority (HKMA) and all those who have worked with HKIB for their support and sharing of vision to continuously enhance the professional regime of the banking industry for its sustainable progress through talent development and certification.

2016 was a busy year in which we consolidated the cornerstones for future development. The limelight was on the official announcement of the launch of the Certified Banker (CB) qualification, an enhancement from Associate of The Hong Kong Institute of Bankers (AHKIB™). CB has a curriculum incorporating major elements of the Enhanced Competency Framework (ECF) introduced by the HKMA and it stands out as having been driven from within the industry, with the support of many stakeholders, who include the HKMA. The CB qualification contains three progressive QF levels, that is, Advanced Diploma, Professional Diploma and Postgraduate Diploma, all assured by the Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ) and recognised under the Qualifications Framework (QF). Postgraduate Diploma for Certified Banker is the first and only Specification of Competency Standards (SCS)-based banking qualification which is accredited at QF Level 6 in Hong Kong. This is at the same level as a Master's degree. CB provides a clear and well-recognised common benchmark that will benefit both institutions and banking practitioners. In 2017 and beyond, the Institute will be focusing on developing the CB programme and increasing the number of CB holders and the Certified Individuals. CB represents a significant step towards bolstering "banking as a profession". Eventually, the number of "Certified Individuals" at banks will serve as a benchmark indicating how well-trained and qualified their staff are.

Concurrently, HKIB strengthened its support to the HKMA by providing a widened portfolio of ECF programmes. This can support capacity building and talent development, which is conducive to maintaining the advantages of Hong Kong as one of the world's strongest and most robust international financial centre. In December 2016, the Institute launched an ECF programme on Anti-Money Laundering (AML) and Counter-Financing of Terrorism (CFT), whose first class is scheduled to commence in March 2017. ECF elements are being integrated into the CB programme, and the details will be announced in due course. HKIB will also introduce AML/CFT grandfathering,



藉此維持香港作為國際金融中心的競爭力。2016年12月，學會宣佈推出關於打擊洗錢及恐怖分子資金籌集的課程，並於2017年3月舉行首班培訓。「銀行專業會士」課程將納入更多的「銀行專業資歷架構」元素，相關細節將稍後公佈。與此同時，學會將根據「銀行專業資歷架構」，就打擊洗錢及恐怖分子資金籌集課題，推出豁免、培訓、考試和認證的安排，協助金管局推動「銀行專業資歷架構」是學會的首要任務之一。

面對數碼轉型世代，學會在金融科技（FinTech）和網絡安全等新領域的貢獻和支持顯著增加。學會獲委任為2016「香港資訊及通訊科技獎」新增設之「最佳金融科技獎」的首個籌辦機構。2016年5月18日，學會負責協辦及舉行「網絡安全高峰會」，而在8月及9月，我們分別舉辦了網絡安全研討會和「網絡安全方案2016」研討會。

學會的“Pro5”五年計劃在2016年正式啟動，當中的主要亮點是優化個人會籍架構，這亦是學會於2015及2016年的重點工作之一。新個人會籍架構將加強從業員的專業地位和會員服務。

可以肯定的是，香港銀行學會將繼續以會員和業界的需要為優先，學會現擁有更佳的發展條件，必定可以為會員和業界創造更高的價值。我真誠期待你們繼續支持學會的成就，再創高峰。

**馮鈺斌博士, JP FHKIB**  
理事會主席及議會副會長

training, examination and certification in accordance with the ECF. Facilitating the implementation of the ECF is one of the Institute's priorities.

In this age of digital transformation, our contribution and support in new areas including financial technology (FinTech) and cybersecurity apparently increased. I am pleased to report that the Institute was appointed as the leading organiser of the "Best FinTech Award" under the Hong Kong ICT Awards. Moreover, we were one of the organisers of the Cyber Security Summit held in 18 May 2016. Then in August and September, we held a cybersecurity seminar and a "Cybersecurity Solutions Day" respectively.

2016 saw the commencement of HKIB's Pro5 Plan. A focal point is Individual Membership revamp. Throughout the year, we were busily engaged in the revamp work of the Individual Membership structure. The new structure aims to enhance the professional status of banking practitioners at all levels and bring more benefits to Individual Members.

I assure you HKIB will stay relevant to your needs. The Institute is well set for continued success in the years ahead. On the journey, your support remains more important than ever.

**Dr. Patrick Fung, JP FHKIB**  
Chairman, Executive Committee and Vice President, Council

## 榮譽秘書報告 Honorary Secretary's Report



香港銀行學會誠摯感謝議會和理事會各成員，在其領導支持下，學會擁有前沿的行業知識並緊密連繫業界專業網絡，從而於瞬息萬變的銀行業環境中，保持步調一致，以及迅速回應行業及從業員不斷變化的需求，更在銀行人才培訓及發展中擔當引領角色。

學會榮譽顧問在發展策略上提供寶貴的專家意見，我們向他們致以衷心感謝。2016年期間，議會和理事會的成員架構有所變動。議會方面，榮智權先生辭任副會長，並由上海商業銀行董事長李慶言先生接任。理事會方面，香港金融管理局（金管局）銀行監理部助理總裁陳景宏先生接替金管局助理總裁（貨幣管理）鄭發先生出任理事會成員。

我們萬分感謝鄭發先生和榮智權先生對學會一向以來的貢獻，榮智權先生亦會繼續擔任學會名譽顧問副會長。我們期待他們繼續支持學會的工作。

與此同時，我們非常感謝各榮譽會員，包括榮譽顧問會長、榮譽顧問副會長及榮譽顧問，在他們的積極推動下，學會與業界、政府、監管機構，以及相關界別建立了夥伴合作關係。

議會和理事會將繼續成就學會行穩致遠，取得進一步長足發展。

**郭錫志先生, FHKIB**  
榮譽秘書

I would like to thank the Council and the Executive Committee for leading the Institute to excel and achieve new heights of success amid rapid developments in the banking landscape. Backed by their superior leadership, HKIB can access forefront knowledge and promising industry networks that enable it to lead changes in the industry and driving progress in banking talent development and the industry.

Special thanks are given to our Honorary Advisors for their expert advice and generous support. There have been changes in the compositions of the Council and the Executive Committee since the last report. In the Council, Mr. Lincoln Yung has been succeeded by Mr. Stephen Lee, Chairman, Shanghai Commercial Bank. Mr. Raymond Chan, Executive Director, Banking Supervision, Hong Kong Monetary Authority (HKMA) has come on board, succeeding Mr. Henry Cheng, Executive Director, Monetary Management, HKMA.

The Institute extends its heartfelt thanks to Mr. Henry Cheng and Mr. Lincoln Yung, who are serving as Honorary Advisory Vice Presidents. We look forward to their continued support.

We must also thank our Honorary Members, including our Honorary Advisory Presidents, Honorary Advisory Vice Presidents and Honorary Advisors for connecting HKIB with the relevant working partners, as well as governmental and regulatory bodies.

It is for certain that the Council and the Executive Committee will continue to bring synergy to HKIB to make it stronger and more dynamic.

**Mr. David Kwok, FHKIB**  
Honorary Secretary

# 行政總裁報告

## Chief Executive Officer's Report



香港銀行學會經過一直以來的辛勤耕耘，於2016年取得更豐碩的收穫及成果，在多方面的發展均堅實地建立起相關的里程碑。學會作為銀行家培訓及認證中心的地位亦進一步提升。

學會在此衷心感謝會員多年來的支持，以及議會和理事會成員的指導和意見。我亦謹代表學會向秘書處的同事致謝，在他們的努力下，各項目和措施得以落實執行。

承接以往的成功，學會在2016年續辦一系列的旗艦行業活動和獎項，例如「2016年香港銀行家峰會」、「2016年兩岸四地銀行業財富管理論壇」、第十屆「傑出財富管理師大獎及第八屆「全國傑出財富管理師評選」等，出席人士從中獲得業界前沿資訊和發展機遇。同時，這些活動透過嘉許傑出銀行從業員和分享最佳實踐經驗，促進行業基準的提升，而學會將繼續優化銀行人才開發與培訓，促進業界開通進步發展之路。

培訓方面，我們在2016年舉辦超過240場培訓活動，不論是數量或覆蓋範圍，均成績斐然。

此外，我們專注於強化「香港銀行學會」的品牌認知度，相關的工作包括利用傳統和數字媒體的渠道，令更多人認識香港銀行學會，例如：開展線上和線下品牌推廣活動、建立領英（LinkedIn）專頁、以至增加在網上及各大社交媒體平台的曝光率，吸引年青一輩參與學會的活動。

我們同步重新設計學會的網站。擁有全新面貌、功能全面升級的學會網站於2017年初上線，其將提供更佳的使用者體驗和移動設備版本。經革新的學會網站有利於學會推動新形象，更可成為一個網上學習資源及交流平台。另外，學會已設立一個網上綜合「專業資歷認證名冊」，方便僱主和僱員查閱從業員的培訓記錄和資格。學會還將推出更多網上功能，以配合會員數目的增長及不斷改進其服務。

2016 has been a highly dynamic and fruitful year for The Hong Kong Institute of Bankers with a number of significant milestone developments. The position of the Institute as a bankers' training and certification hub has been further elevated.

We are thankful to our Members who have supported our work throughout the years; at the same time, the Council and the Executive Committee have rendered invaluable guidance and advice. I also give my warm thanks to my colleagues at the Secretariat for their hard work and dedication to the Institute's success.

Following previous successes, HKIB continued to live up to our role as a thought leader and industry benchmark setter through organising an array of flagship industry events and awards, including the 2016 HKIB Annual Banking Conference, the 2016 Cross Strait Four Regions Wealth Management Summit, the 10th HKIB Outstanding Financial Management Planner Awards, and the 8th China Outstanding Financial Management Planner. These activities connect practitioners to people and information they should know as aspiring banking professionals.

On the training front, we pride ourselves in the number and breadth of programmes, events and activities conducted in 2016, at a total of more than 240 sessions.

Great importance has been attached to brand rejuvenation and promotion over the last year. We have been improving our brand awareness through both traditional and digital media, such as developing a new online and offline marketing campaign. We have set up our LinkedIn page and are exploring a wider presence on other social media platforms to develop a stronger social community to keep the young generation engaged.

As a synchronous effort, we are investing in and strengthening the Institute's infrastructure. The redesigned website, set to go live in early 2017, will provide a better user experience and mobile-friendly features. We are also building a comprehensive online Register of Certified Individuals to help both employers and employees keep track of individuals' training and credentials. More online features and digital offerings will also be rolled out to cope with our membership growth and service enhancement. The website enhancement project aims not only to help HKIB build a new image but also eventually provide an online resource centre for learners as well as a digital networking space for practitioners.

展望未來，學會將積極推廣包括「銀行專業會士」（Certified Banker，「CB」）和「專業財富管理師」（Certified Financial Management Planner，「CFMP™」）等學會專業資格至香港、澳門、內地及其他地區，並將與銀行培訓和人力資源負責人探討合作機會，把學會的課程引入銀行的培訓架構。

除了上述事項外，香港銀行學會全力支持香港金融管理局（金管局）推行「銀行專業學歷架構」；為「銀行專業會士」和「專業財富管理師」設立全面課程發展結構；於2018年重整及推出新「銀行專業會士」（第一階段）課程；和更新「銀行專業會士」（第二階段）課題「銀行訊息系統管理」及澳門「專業財富管理師」的考試範圍等都是可預見的重要工作。

學會亦將增加認可機構董事發展課程，推出新的金融科技和網絡保安課程。為配合金管局的「網絡防衛計劃」，學會亦已推出一個「專業發展課程」（Professional Development Programme，「PDP」），並將加強與專業機構的合作關係，令學會的培訓更適時、更適用。

以穩健的優勢為基礎，2016年，香港銀行學會順利地開啓了銀行人才發展新篇章。面向未來，學會充滿信心及信念，將實現更多突破。我們期待你的持續支持！

**梁嘉麗女士**  
行政總裁

Moving forward, I would like to highlight a few strategic priorities for the coming year. First and foremost, the Institute will actively promote its professional qualification programmes, that is, Certified Banker (CB) and Certified Financial Management Planner (CFMP™), in Hong Kong and other regions covering Macau and Mainland China, in parallel, we will engage the heads of training and human resources at banks to explore collaborative opportunities that will leverage HKIB's training infrastructure.

Furthermore, we will continue to support the Hong Kong Monetary Authority (HKMA)'s initiatives on Enhanced Competency Framework (ECF) for Banking Practitioners. Other upcoming endeavours include setting up holistic programme development structures for CB and CFMP™; developing a restructured CB (Stage I) curriculum, which is expected to be rolled out in 2018; and revamp of the CB (Stage II) subject "Management of Information System in Banking" and the Macau-oriented CFMP syllabus, among others.

With regard to training, the Director Development Programme series will be enhanced. The Institute will also launch a Professional Development Programme (PDP) series under the "Cybersecurity Fortification Initiative" of the HKMA, while new programmes on financial technology and cybersecurity will be developed.

We will, at the same time, deepen the relationships with our partners and professional institutions to ensure our training programmes stay relevant and practical to our stakeholders and Members.

2016 has unveiled a new chapter in banking talent development built upon the Institute's strong foundation. Exciting advancements are on the horizon and we look forward to your continued support.

**Ms. Carrie Leung**  
Chief Executive Officer

# 新銀行專業框架，持續追求卓越

## New banking professionalism framework for sustained excellence

香港銀行學會與銀行業齊步發展，學會的教育和培訓服務一直以來緊貼銀行從業員的需求。學會在2016年致力推進兩項前瞻性關鍵舉措，分別是發展「銀行專業會士」資格和優化個人會籍架構。學會的持續發展基建及成就，在於其及時應對行業需求迅速轉變，且能提供高效及專業的發展機會，提升銀行從業員的知識、技能和資歷水平，增強他們的競爭力。

### 「銀行專業會士」資格正式發佈

「銀行專業會士」（Certified Banker，簡稱旗「CB」）是香港銀行學會的一個全新專業資格認證，旨在提升銀行從業人員的專業水平及技能，以應對快速轉變的銀行業環境，並為個人及僱主提供一個獲監管機構及機構認可的通用資歷基準。學會在2016年「香港銀行家峰會」上，正式宣佈於2017年推出「銀行專業會士」。

### 「銀行專業會士」- 銀行從業員的專業資歷基準

#### 融入「優化專業能力架構」元素

「銀行專業會士」課程涵蓋通用和專業課題，及融入了香港金融管理局的銀行專業資歷架構（ECF for Banking Practitioners）的能力定義。「銀行專業會士」全面優化了「香港銀行學會會士」（「AHKIB」）資歷。

#### 通過 HKCAAVQ 評審及 QF 認可

「銀行專業會士」是一個三級制課程，與資歷架構（「QF」）掛鈎的包括高等文憑、專業文憑和深造文憑，反映持有人的不同經驗及能力水平。三個課程均通過香港學術及職業資歷評審局（HKCAAVQ）的評審，並獲資歷架構認可。「銀行專業會士」深造文憑是首個也是唯一以《能力標準說明》為本的銀行業專業資格，並在香港取得資歷架構第六級別。其級別與碩士學位相同。「銀行專業會士」於香港及其他地區均獲業界認可，學會將繼續將資格引入至更多地區，為其爭取更廣泛的國際認可。

#### 香港及澳門「銀行專業會士」說明會

學會在2016年11月和12月分別於香港和澳門舉行了三場「銀行專業會士」說明會，提供關於「銀行專業會士」的實用資料，由「香港銀行學會會士」過渡至「銀行專業會士」的安

HKIB grows with the banking industry and with the needs of banking practitioners. In 2016, the Institute was highly engaged in the development of two key forward-looking initiatives—the Certified Banker (CB) qualification and the restructuring of Individual Membership. This highlights the Institute's timely response to the rapidly changing banking environment and competence to provide effective professional development opportunities that equip practitioners with relevant knowledge, skills and credentials.

### Launch of Certified Banker Officially Announced

Certified Banker (CB) is the new professional qualification developed and run by HKIB to help banking practitioners at all levels raise their professional standards with skills relevant for the fast-changing banking environment. It also provides a common qualification benchmark recognised by regulators and leading authorised institutions for individuals and employers. Its launch was grandly announced at the Annual Banking Conference 2016.

### Certified Banker—the New Benchmark for Banking Profession

#### Integration of ECF elements

The programmes of Certified Banker (CB) cover both generic and specialist topics, and integrate elements of the Hong Kong Monetary Authority's Enhanced Competency Framework (ECF) for Banking Practitioners. It is an enhancement of the Associate of The Hong Kong Institute of Bankers (AHKIB) qualification.

#### HKCAAVQ-accredited and QF-recongised

CB contains three programmes in progressive QF Levels, namely, Advanced Diploma, Professional Diploma and Postgraduate Diploma, reflecting the different levels of experience and skills of its holder. Candidates are recommended to begin with the Advanced Diploma Programme for CB (QF Level 4). All three programmes have been quality assured by the Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ) and are recognised under the Qualifications Framework (QF). Postgraduate Diploma for Certified Banker is the first and only Specification of Competency Standards (SCS)-based banking qualification which is accredited at QF Level 6 in Hong Kong. This is at the same level as a Master's degree. CB is also industry-recognised in regions outside Hong Kong and it is set to achieve even wider global recognition in the years ahead.

#### Information sessions in Hong Kong and Macau

The Institute organised a total of three information sessions in 2016, respectively in November and December in Hong Kong and Macau, to provide a practical introduction to CB, transition arrangements for those enrolled in AHKIB and information of the new HKIB Individual Membership structure, along with insights of the Institute on talent development and future directions.

排，及新個人會籍架構的介紹，亦分享了學會對人才培訓及未來發展的願景及計劃。

### 新個人會籍架構

優化個人會籍架構是學會在 2016 年的重點工作之一。新個人會籍架構旨在加強學會個人會員的認受性和會員服務，相關的章程細則於 2016 年度週年大會上審議通過。新個人會籍架構定於 2017 年 1 月正式生效。

新個人會籍架構下，會員類別由原有的 4 個增加至 6 個，即學生會員、普通會員、專業會員、榮譽會員、榮譽資深會士及資深銀行專業會士。新個人會籍架構為「銀行專業會士」（CB）、「專業財富管理師」（CFMP™）及為現行架構下的「香港銀行學會會士」（AHKIB™）和「銀行業資歷認證」（ABP™）持有人特設專業會員會籍，突顯持有人的專業地位與能力，其同時承諾遵守職業道德守則。

### New Membership Structure

The Institute was engaged in the work of revamping its Individual Membership structure throughout 2016. The aims are to enhance the recognition and membership benefits of HKIB's Individual Members. The related By-laws of the Institute were approved at its Annual General Meeting 2016 and the scheduled launch of the new Individual Membership structure is in January 2017.

Accordingly, the original four-class structure will be upgraded to a new six-class structure that comprises Student Member; Ordinary Member; Professional Member; Honorary Member; Honorary Fellow; and Fellow Certified Banker (CB) (Fellow CB) in 2017. The new Individual Membership structure features an outstanding advancement that holders of HKIB professional qualifications, that is, CB, Certified Financial Management Planner (CFMP™), as well as Associate of The Hong Kong Institute of Bankers (AHKIB™) and Accredited Banking Practitioner (ABP™) under the current structure, are distinctively recognised into the new class of Professional Members, highlighting the professional status and capability of the qualification holders, who are also committed to abiding by a professional code of ethics.

## 支持和促進監管發展 Supporting and facilitating regulatory development

金融監管制度不斷地完善，以應快速變化的新世代銀行體系。香港銀行學會全力支持監管機構，藉著提供相關培訓，以提高監管措施的透明度，加強監管機構與業界的溝通，達致監管政策更有效及全面地實施。培訓發展能力充份反映學會的優勢，包括豐富的知識資本、廣深的行業網絡及優秀的執行能力，而培訓亦隨著監管環境和行業需求的改變而持續更新演化。

### 反洗錢培訓

香港致力打擊洗錢及恐怖分子資金籌集活動，履行作為主要金融中心的責任，確保在國際間的良好聲譽。香港銀行學會提供相關培訓，提高認可機構就反洗錢及反恐融資的合法合規水平，支持香港金融管理局（金管局）的相關監督工作。於2016年，學會舉辦的14次反洗錢及反恐融資培訓，約有450位從業員參與，包括：

- 私人銀行打擊洗錢和欺詐風險控制研討會
- 風險管理：銀行打擊洗錢及恐怖分子資金籌集
- 全球監管趨勢 – 美國 / 英國反洗錢經驗
- 銀行反洗錢風險管理第一部份—第四部反洗錢指令
- 銀行反洗錢風險管理第三部份 – 美國外資管理部、合規趨勢和區域反洗錢法
- 年度反洗錢合規更新，打擊逃稅指引
- 銀行實務更新：加強監控？
- 反洗錢與打擊逃稅
- 香港和新加坡打擊逃稅法規更新
- 銀行實務更新：應對洗錢風險 – 香港銀行公會《打擊以貿易進行洗錢活動指引文件》
- 貿易融資反洗錢監控/ 風險評估研討會
- 反洗錢和反恐怖主義融資實務知識
- 貿易融資洗錢活動趨勢
- 反洗錢法規下交易篩選、交易監控和可疑交易報告研討會

### 「提升資產財富管理業人才培訓先導計劃」指定課程提供機構

香港銀行學會是「提升資產財富管理業人才培訓先導計劃」的認可課程提供機構之一。此計劃之課程由香港特區政府提供經費，目的是協助資產財富管理行業解決人才短缺問題，從而促進業界持續發展。因此，當銀行從業員修畢由香港銀行學會提供的選定課程，便可申請學費資助。

The financial regulatory regime is becoming more robust to cope with the fast-changing modern banking system. HKIB has been reliably supporting regulators in policy acceptance and implementation through events that promote transparency, and regulator-industry communications. The events, leveraging HKIB's knowledge capital, industry network and dynamic operational capability, evolve with the regulatory environment and industry needs to achieve desired outcomes.

### Anti-money Laundering Training

Hong Kong assures the integrity of its status as a major financial center by maintaining an effective anti-money laundering (AML) and counter-financing of terrorism regime. HKIB offers relevant training to support the Hong Kong Monetary Authority (HKMA) to supervise Authorised Institutes (AIs)' compliance with anti-money laundering and counter-terrorist financing standards. In 2016, approximately 13 such training events for 450 participants were held, as follows:

- Workshop on Key AML and Fraud Risk Controls on Private Banking
- AML / CFT in Banking Context from Risk Management Perspective
- Global Regulatory Trend – Focus on US / UK Anti Money Laundering Models
- Manage AML Risk in Banking Context Part I - Fourth Anti-Money Laundering Directive
- Manage AML Risk in Banking Context Part III - OFAC, Compliance Trend & Regional AML Laws
- Annual AML Compliance Update with Emphasis on New Guidelines on Tax Evasion
- Banking Insights - Practical Update: Tightening Controls?
- Tax Evasion of AML
- Tax Evasion Requirement Update in Hong Kong and Singapore
- Banking Insights – Practical Update: Addressing Money Laundering Risk - HKAB Guidance Paper on Combating Trade-based Money Laundering
- Workshop on Key AML Controls /Risk Assessment on Trade Finance Activity
- Practical Understanding of the Anti-Money Laundering (AML) and Counter-Terrorist Financing (CFT)
- Trends of Money Laundering Activities in Trade Finance
- Workshop on Transaction Screening, Transaction Monitoring and Suspicious Transaction Reporting under AML Requirements

### Programme Provider of Pilot Programme to Enhance Talent Training for the Asset and Wealth Management Sector

The Institute was appointed as one of the training providers for the Pilot Programme to Enhance Talent Training for the Asset and Wealth Management Sector (WAM Pilot Programme). The WAM Pilot Programme is funded by the Hong Kong SAR Government to facilitate the sustainable development of the asset and wealth management sector. Accordingly, fees of relevant courses offered

## 主管人員培訓課程

香港銀行學會於 2016 年分別於 9 月和 12 月舉辦共兩次認可機構主管人員培訓活動。培訓以「主管人員一重要需知事項」作為講題。學會十分榮幸邀得主管人員，合規專業人員及律師為活動主講。

## 認可機構董事培訓課程

香港銀行學會的認可機構董事培訓課程旨在支持香港金融管理局（金管局）實行有效的銀行監管。課程內容涵蓋業界關注的事項以至最新的監管政策及措施，例如「客戶盡職審查」、風險管理和其他合規事宜，以助參加者有效執行對銀行的監督工作。2016 年期間，學會為逾 200 位參加者舉行共 5 次認可機構董事培訓課程，包括：

- 監管機構角度—開戶、客戶盡職審查措施的資料收集與普及金融（講者：金管局助理總裁（法規及打擊清洗黑錢）戴敏娜小姐）
- 信用風險監管要求的趨勢及更新（講者：畢馬威會計師事務所代表彭富強先生和孟旭先生）
- 自動交換財務帳戶資料—在香港實施的情況與合規要求（講者：羅兵咸永道代表吳冠豪先生和屈肇珊女士）
- 董事會關注要點之網絡安全風險管理及區塊鏈（講者：德勤代表郭儀雅女士和李卓偉先生）
- 香港金融機構決議制度（講者：安永金融服務風險管理合夥人與安永大洋洲 IFSR9 領袖 Damien Jones 先生及金融風險管理合夥人蘇國彥先生）

## 與監管機構對話

香港銀行學會自 2011 年推出「與監管機構對話」起，其得到業界高度評價。截至 2016 年底，「與監管機構對話」錄得參加人數超過 500 人次。學會獲香港金融管理局（金管局）指定作為「與監管機構對話」的主辦機構，活動建立一個有效的溝通平台，讓業界與監管機構直接交流，獲取關於銀行監管例如合規基準的第一手最新資訊，促進合規措施的落實執行。2016 年期間，學會舉辦共 4 次「與監管機構對話」活動，包括：

- 網絡安全工作（講者：金管局金融基建部的代表林嘉聲先生與彭旭輝先生）
- 風險承擔限額（講者：金管局政策研究與發展部主管石沛恆博士）
- 金管局對銷售非投資相連長期保險產品的監管標準（講者：金管局銀行操守部主管李夢蘭女士）
- 投訴監察（講者：金管局銀行監理二處主管劉寶運先生）

by HKIB are reimbursable, with a view to attract new talent and enhance competency of banking practitioners.

## EO Training

HKIB held two training sessions for Executive Officer (EO) of Authorised Institutions (AIs), in September and December respectively. The event titled "Executive Officer (EO)—Key Things You Should Know". The Institute was honoured to have Executive Officers, compliance professionals and solicitors as speakers, who shared their insights on the regulatory framework, roles and responsibilities and implications relevant to EOs, and regulatory trends.

## Training for AI Directors

HKIB's training for Authorised Institutes (AI) directors, or Director Development Programmes, is part of its efforts to support the Hong Kong Monetary Authority (HKMA) in implementing effective banking supervision. The Director Development Programmes offered by HKIB are synchronised with regulatory expectations and market needs, covering in-demand subjects such as "know your customer" (KYC), risk management and other compliance issues. In 2016, the Institute held 5 sessions of Director Development Programmes with a total enrolment of over 200, and the following sets out the topics covered and their respective speakers:

- Regulator's Perspective—Account Opening, KYC Information Collection and Financial Inclusion (speaker: Ms. Meena Datwani, Executive Director (Enforcement and AML), HKMA)
- Trends and Updates on Credit Risk Regulations and Requirements: Impact on Banking and Finance Sector of Hong Kong and China (speakers: Mr. Wilson Pang and Mr. Michael Monteforte, KPMG)
- Automatic Exchange of Financial Account Information—Implementation and Its Compliance in Hong Kong (speakers: Mr. Gary Ng and Ms. Suzanne Wat, PricewaterhouseCoopers)
- Board Level Essentials on Cybersecurity Risk Management and Blockchain (speakers: Ms. Eva Kwok and Mr. Thomas Lee, Deloitte)
- Resolution Regime for Financial Institutions in Hong Kong (speakers: Ernst & Young, Sky So, Partner, Financial Services Risk Management and Damien Jones, Oceania IFRS 9 Leader, Financial Services)

## Regulators Dialogue

Since rolled out in 2011, HKIB's Regulators Dialogue has been overwhelmingly well received in the industry. The training series had recorded an enrolment of over 500 as at the end of 2016. It is designated by the Hong Kong Monetary Authority (HKMA) to serve as a communication platform between regulators and the banking industry, where participants can get updates on regulatory issues and interact with regulators directly. Regulators Dialogue can effectively facilitate compliance as it enables stakeholders to gain a precise understanding of information and standards from regulators first-hand. In 2016, HKIB organised 4 Regulators Dialogue events, as follows:

- New Cyber Security Work (speakers: Mr. Josiah Lam and Mr. Wilson Pang, Financial Infrastructure Department, HKMA)
- Exposure Limits (speaker: Dr. Martin Sprenger, Head of Policy Research and Development, HKMA)
- HKMA's Regulatory Standards on Selling of Non-Investment-Linked Long Term Insurance (NLTI) Products (speaker: Ms. Alice Lee, Division Head, Banking Conduct, HKMA)
- Complaints Watch (speaker: Mr. Steve Lau, Division Head, Enforcement, HKMA)



# 從業員認證培訓平台

## Banker certification and training platform

香港銀行學會以促進銀行從業員的持續專業發展為己任，提供多元化的培訓課程。其課程涵蓋不同水平，並隨行業需要不斷演進，為銀行從業員提供適時的知識和技能，同時提高他們的專業素養及道德價值觀。香港銀行學會的培訓，可計入持續專業發展時數，並獲監管機構的認證支持、廣泛行業認受性，以及給予客戶信心等優點。

### 專業資格課程和考試

#### 銀行專業資歷架構課程

香港銀行學會在香港金融管理局（金管局）制定和籌備實施銀行專業資歷架構（Enhanced Competency Framework，「ECF」）for banking practitioners的過程中擔當主要夥伴的角色，提供全力支持。銀行專業資歷架構於2016年涵蓋的專業工作領域，包括打擊洗錢及恐怖分子資金籌集和網絡安全。至於其他工作領域，例如：信貸風險管理、零售財富管理、風險管理及合規與及財資管理等將由香港金融管理局容後公佈。

#### 模擬網絡攻擊專業認證

香港銀行學會與香港金融管理局（金管局）及香港應用科技研究院（ASTRI）合作，推出本地化認證計劃「模擬網絡攻擊專業認證」（Certified Cyber Attack Simulation Professional，「CCASP」）及為網絡安全專業人員而設的培訓計劃。CCASP亦獲得Council of Registered Ethical Security Testers (CREST) International的支持。此外，CCASP屬於金管局於2016年5月發佈的「網絡防衛計劃」的一部份。「網絡防衛計劃」列出香港銀行網絡安全從業員必需具備的能力。2016年12月，香港銀行學會與CREST及ASIRI合辦「網絡安全評估員培訓課程」，協助參加者準備CREST Registered Tester (CRT)、CREST Certified Tester App/Inf (CCT)、CCT Application Certification Examination (CCT ACE)及CCT Infrastructure Certification Examination (CCT ICE)的實習試。

#### 「專業財富管理師」

香港銀行學會在2005年推出「專業財富管理師」（Certified Financial Management Planner，「CFMP™」）資格，資格獲香港、澳門及中國內地的銀行及金融機構廣泛認可，成為專為財富管理人員而設的專業資格課程。「專業財富管理師」課程分為香港、澳門及中國內地版，為三地從業員不同的專業發展需要而度身訂造。截至2016年底，課程錄得共超過23,000人次報考，CFMP™資格持有人的總數約為1,900人。2016年12月，「銀行業資歷認證」（Accredited

Facilitating the professional development of bankers is at the core of HKIB's mission. The Institute's training encompasses diverse programmes and events at all levels. The programmes and events evolve with industry needs to equip practitioners with sought-after knowledge and skills, at the same time, uplift practitioners' professionalism and ethical values. Accreditation and certification, CPD (continuing professional development) recognition, regulator support, industry acceptance, and public confidence are the edges of HKIB training. For the streams of credit risk management; retail wealth management; risk Management and compliance as well as treasury management, HKMA will be announced at the later stage.

### Professional Qualification Programmes and Examinations

#### Enhanced Competency Framework programmes

HKIB offers full support in preparing the Enhanced Competency Framework (ECF) for Banking Practitioners launched by the Hong Kong Monetary Authority (HKMA). HKIB has been a core working partner in the initiative. The HKMA's ECF programmes cover the streams of anti-money laundering and counter-terrorist financing; and cybersecurity in 2016. For the streams of credit risk management; retail wealth management; risk Management and compliance as well as treasury management, HKMA will be announced at the later stage.

#### Certified Cyber Attack Simulation Professional

HKIB has been working with the Hong Kong Monetary Authority (HKMA) and Hong Kong Applied Science and Technology Research Institute (ASTRI) to develop a localised certification scheme—Certified Cyber Attack Simulation Professional (CCASP) and training programme for cybersecurity professionals. CCASP is also supported by the Council of Registered Ethical Security Testers (CREST) International. The endeavour is under the Cybersecurity Fortification Initiative (CFI) announced by the HKMA in May 2016. The CFI sets out the common core competencies required of cybersecurity practitioners in the Hong Kong banking industry. In December 2016, HKIB co-introduced a "Pilot Training Programme for Cybersecurity Exam Assessors" with CREST and ASTRI. The programme prepared participants for the practical examinations of CREST Registered Tester (CRT), CREST Certified Tester App/Inf (CCT), CCT Application Certification Examination (CCT ACE) and CCT Infrastructure Certification Examination (CCT ICE). It underscores the relevance of HKIB training to emerging industry needs and practice.

#### Certified Financial Management Planner™

Certified Financial Management Planner™ (CFMP™) is a highly reputable professional wealth management qualification in Hong Kong, Macau and Mainland China launched in 2005. The three versions of CFMP™ are respectively tailored to the specific professional development needs of practitioners in Hong Kong, Macau and Mainland China. As at the end of 2016, there had been more than 23,000 examination enrolments and the number of CFMP holders totaled about 1,900. In December 2016, an Accredited Banking Practitioner (ABP™) and CFMP™ Graduation Ceremony for Macau participants was held at the Monetary Authority of Macau.

Banking Practitioner, 「ABP™」) 及 CFMP™ 假澳門金融管理局舉行畢業典禮。

「專業財富管理師」的業界認受性與日俱增，友邦、中國銀行（香港）、花旗銀行、星展銀行、滙豐銀行、恒生銀行、南洋商業銀行（香港）、永隆銀行、中國銀行（澳門）、中國工商銀行（中國）、重慶銀行、東亞銀行（中國）及南洋商業銀行（中國）等已將「專業財富管理師」納入認可課程。

### 銀行業專業人員職業資格考試

香港銀行學會與中國銀行業協會攜手建立的資格互認機制在 2006 年啟動，機制在 10 年間經過多次增潤。根據相關的安排，持有 CFMP™（香港課程）第一階段文憑或以上之學會會員，只需在「銀行業專業人員職業資格（Qualification Certificate of Banking Professional, QCBP）之「銀行業法律法規與綜合能力科考試中取得合格，便可申請獲得由中國銀行業協會頒發的「個人理財證書」。QCBP 得到中國人力資源與社會保障部認可，內地銀行業和客戶對 QCBP 有高度信心。合資格並持有 CFMP™（香港課程）第一階段（理財策劃高等文憑）或以上的學會會員可優先報考由學會在香港舉辦的「銀行業法律法規與綜合能力」考試。

香港銀行學會是香港地區唯一授權舉辦 QCBP 「銀行業法律法規與綜合能力」考試的機構，在 2016 年，學會舉行兩次考試，中國銀行業協會代表親臨學會監督考試，以確定考試的規格及程式符合國家考試標準。QCBP 「銀行業法律法規與綜合能力」考試在 2016 年上半年於內地超過 230 個城市舉行。

### 非資格頒授課程和活動

#### 認可機構董事發展課程

香港金融管理局（金管局）認為銀行獨立非執行董事在監管公司治理及風險方面能發揮關鍵作用。有見及此，香港銀行學會積極提供認可機構董事發展培訓，以下列出 2016 舉行的相關研討會的主題：

- 信用風險監管要求的趨勢及更新
- 自動交換財務帳戶信息（AEOI）：香港合規與實施
- 監管機構角度：開戶、客戶盡職審查程序的資料收集與普及金融
- 《國際財務報告準則第 9 號》實施和最新貸款規管法的影響
- 董事會關注要點之網絡安全風險管理及區塊鏈

#### 銀行業新動態—實務更新

香港銀行學會自 2015 年推出「銀行業新動態—實務更新」培訓系列，內容主要關於銀行道德操守與合規，2016 年內覆蓋了下列主題：

- 加強監管？—逃稅與反洗錢
- 《競爭條例》的實施：對銀行業的影響
- 應對洗錢風險—香港銀行公會《打擊以貿易進行洗錢活動指引文件》
- 《合約（第三者權利）條例》的影響

The list of banks and financial institutions in Hong Kong, Macau and Mainland China that recognise CFMP™ as the professional qualification programme for wealth management executives is ever growing, and it includes AIA, Bank of China (HK), Citibank, DBS, HSBC, Hang Seng Bank, Nanyang Commercial Bank (HK), Wing Lung Bank, Bank of China (Macau), ICBC (Macau), ABN AMRO (China), Bank of Chongqing, Bank of East Asia (China), and Nanyang Commercial Bank (China).

### Qualification Certificate of Banking Professional

According to the mutual recognition of qualification arrangement between HKIB and the China Banking Association (CBA) that dates back to 2009 and has since gone through several stages of enrichment, holders of Certified Financial Management Planner™ (CFMP™) Stage 1 (Advanced Diploma) or above can be awarded the CBA's Qualification Certificate of Banking Professional (QCBP)—“Personal Wealth Management Certificate” by passing the QCBP “Banking Laws and Regulations and Comprehensive Competence” examination. QCBP is recognised by the Chinese Ministry of Human Resources and Social Security. It is highly valued by the Mainland's banking industry and customers. Eligible holders of CFMP™ (Hong Kong) Stage 1 (Advanced Diploma) or above are entitled to priority enrolment for the QCBP examination held in Hong Kong by HKIB.

HKIB is the sole authorised organiser of “Banking Laws and Regulations and Comprehensive Competence” Examination in Hong Kong. In 2016, HKIB held two sittings of QCBP “Banking Laws and Regulations and Comprehensive Competence” examination, which were supervised by delegates from the CBA to assure all specifications and procedures complied with national examination standards. The examination was held in over 230 Mainland cities in the first half of 2016.

### Non-qualification Programmes and Events

#### Directors Development Programme

Citing the Hong Kong Monetary Authority (HKMA), Independent Non-Executive Directors (INEDs) in the banking industry play a key role in overseeing corporate governance and risk exposure of banks. HKIB provides related Directors Development Programmes to support the HKMA's expectation. The following thematic seminars were organised in 2016:

- Trends and Updates on Credit Risk Regulations and Requirements: Impact on Banking and Finance Sector of HK and China
- Automatic Exchange of Financial Account Information (AEOI): Implementation and its Compliance in Hong Kong
- Regulator's Perspective: Account Opening and KYC Information Collection
- Impact of IFRS 9 Implementation and the Latest Regulatory Treatment of Loan Provisions
- Board Level Essentials on Cybersecurity Risk Management and Blockchain

#### Banking Insights

The series “Banking Insights” was introduced in 2015. The series focuses on banking ethics and compliance to help cultivate an ethical banking environment in Hong Kong. In 2016, the Institute held the following “Banking Insights” events:

- Tightening Controls? Tax Evasion of AML
- Implementation of the Competition Ordinance Impact on the Banking Industry
- Addressing Money Laundering Risk—HKAB Guidance Paper on Combating Trade-based Money Laundering
- Implications of Contracts (Rights of Third Parties) Ordinance

- 銷售非投資相連長期保險產品
- 迴避風險與普及金融
- 強積金回顧與「核心基金」介紹

#### 美國《海外帳戶稅收合規法案》培訓課程

香港銀行擁有全球化的客戶群，因此其操作必須配合美國《海外帳戶稅收合規法案》(FATCA)。2016年9月，香港銀行學會與佛羅里達國際銀行家協會合辦首個FATCA培訓課程。課程由佛羅里達國際銀行家協會的代表主講，他們與從業員分享FATCA的發展概況，以至盡職審查合規、辨別、彙報美國帳戶等要求。與會者也從中了解美國稅局「全球中介人識別碼(GIIN)」網上註冊平台的相關知識及預扣稅申請事宜。

#### 與專員對話

「與專員對話」免費講座在2015年出台，讓從業員了解與銀行業務相關的合規事宜。香港銀行學會在2016年舉辦多次「與專員對話」免費講座，並邀得競爭事務委員會、投資者教育中心、個人資料私隱專員公署、平等機會委員會及警務處的代表擔任主講。

#### 中高管午餐會

香港銀行學會的「中高管午餐會」由銀行領導和相關專家主講，從管理角度剖析當前業界關注的議題。在2016年舉行「中高管午餐會」涵蓋以下主題：

- 提升香港銀行網絡安全水平
- 網絡與技術知識：互聯網金融與相關風險
- 風險管理：《巴塞爾協議III》的進一步發展——風險加權資產
- 香港銀行業及金融服務業概覽（第一及二部份）
- 銀行從業人員應有的網絡知識：電子支付和市場趨勢

#### 免費講座

學會的免費講座供會員和非會員參與，目的在於加深和更新參與者的專業知識。2016年，學會的免費講座的主題圍繞：

- 《支付系統及儲值支付工具條例》
- 《合約（第三者權利）條例》
- 銀行業可持續業務發展

#### 全新網上學習系列

學會提供一個全面的網上學習平台，支持會員完成持續專業發展(CPD)計劃。此網上學習平台提供逾500個課程，納入為51個學習庫，學習時數共約700小時。課程內容由淺入深，涵蓋基礎概念以至較複雜的課題。平台更提供一系列輔助工具，例如計算機、政策檔、範本、監管資訊和進度追蹤功能。

- Selling of Non-Linked Long Term Insurance (“NLTI”) Products
- De-risking and Financial Inclusion
- MPF Review with the Introduction of “Core Fund”

#### FATCA Workshop

Compliance with the U.S. Foreign Account Tax Compliance Act (FATCA) is crucial for Hong Kong banks, which have a significant international clientele. The first training programme co-organised by HKIB and the Florida International Bankers Association (FIBA) on FATCA was held in September 2016. The key speakers included representatives from the FIBA, who shared insights into FATCA's development, the related due diligence requirements and identification and reporting of U.S. accounts. The participants also learned about GIIN registration and withholding tax application.

#### Commissioners Dialogue

“Commissioners Dialogue”, a free seminar series rolled out in 2015, keeps practitioners abreast of compliance issues relevant to banking practice. Invited by HKIB, officials from the Competition Commission, Investor Education Centre, Office of the Privacy Commissioner for Personal Data, Equal Opportunities Commission and Police Force respectively delivered “Commissioners Dialogue” sessions to HKIB Members and banking practitioners in 2016.

#### Management Luncheon

HKIB's “Management Luncheon” Series features banking leaders and experts who speak on well-timed issues from the managerial perspective. The Institute delivered the following in 2016:

- Raising the Cybersecurity Level of Banks in Hong Kong
- Cyber and Technology Knowledge: Development of Internet Finance and its Emerging Risks
- Risk Management: Basel III Further Development – Risk Weighted Assets
- An Overview of Hong Kong Banking and Financial Services Sector (Part I & II)
- Cyber Knowledge for Banking Practitioners: Digital Payment and Market Trend

#### Free Seminars

The Institute's free seminars are open to both Members and non-Members. These free seminars deepen and update participants' professional knowledge. Those held in 2016 were titled respectively:

- Payment Systems and Stored Value Facilities Ordinance Insights from HKMA SPM and PDPO
- Contracts (Rights of Third Parties) Ordinance
- Exploring the Best Sustainable Business Models for Banking

#### New eLearning Series

The Institute rolled out a comprehensive and dedicated eLearning platform to support the continuous professional development (CPD) of HKIB Members. The platform consists of over 500 courses, organised into 51 course libraries and spanning about 700 hours. The courses cover diverse banking topics from the basic to advanced concepts. In addition, the platform comes with job aids, including calculators, policy documents, templates, regulatory information and progress tracking features.

# 大型業界活動與獎項促進交流， 推進專業水平

## Industry events and awards to connect, strengthen and refresh

香港銀行學會舉辦內容多元化、與時俱進的大型業界活動和會議，以增強從業員之間的相互交流。此外，學會邀請行內精英分享真知灼見，讓與會者掌握有關香港以至區內行業的動向、重要事項之議題及趨勢的最新訊息。

### 《香港銀行家峰會 2016》：建構新能力，把握新機遇

由香港銀行學會主辦的《香港銀行家峰會 2016》於 9 月 20 日假香港會議展覽中心舉行，獲超過 700 位來自 160 間香港及內地銀行和金融機構的業界人士參與。峰會歷時一天，探討銀行業如何把握技術創新帶來的革新機遇、通過創新產品服務以提升效率、開拓有增長潛力的嶄新業務及發揮擁有豐厚金融人才儲備的優勢，從而提升競爭力。學會邀請到逾 50 位在行業享負盛名的嘉賓積極參與，作為講者和論壇嘉賓。我們亦非常榮幸香港金融管理局總裁陳德霖先生應邀出席作為主題演講嘉賓，並帶領各大銀行代表一同為銀行業新專業資格「銀行專業會士」主持發佈儀式。此外，香港金融管理局副總裁阮國恒先生談及趨時的監管概況。香港銀行學會行政總裁梁嘉麗女士首先為峰會揭開序幕，其後由華僑永亨銀行董事長、香港銀行學會理事會主席兼議會副會長馮鈺斌博士歡迎嘉賓及與會者出席峰會。

上午會議的亮點包括多位嘉賓的精彩演講，以及就著「建構新能力」及「把握新機遇」進行了兩場「高管對話」討論。與會者在自助午餐中和同業交流過後，選擇參與其中一場分流會議。三場會議均由專家主持，焦點分別包括銀行業務、金融技術創新、以及合規、營運及風險管理。

峰會提供大量機會讓銀行業界與持份者交流、交換及分享其真知灼見。

### 助業界洞悉金融科技生態環境，實現持續發展

過去 10 年金融科技應用愈見廣泛、深入地與銀行業務融合。香港銀行學會緊貼市場需要，在 2016 年，學會舉辦了一連串金融科技相關行業和持續專業發展活動，協助銀行和銀行從業員了解金融科技的當前生態環境及發展趨勢。

HKIB's industry events and conferences are a great way for banking professionals to connect with peers and explore the latest knowledge, new priorities and emerging trends in the local as well as regional banking industry. Importantly, the participants can be enlightened by top-level expertise and perspectives of eminent speakers and guests. The events and conferences advance with times and rapid changes in the banking landscape, showcasing diverse, up-to-the-minute themes and information.

### HKIB Annual Banking Conference 2016: Building Capacity to Capture Emerging Opportunities

The HKIB Annual Banking Conference 2016 was held on 20 September 2016 at the Hong Kong Convention and Exhibition Centre. The full day conference attracted over 700 participants from more than 160 banks, financial services institutions and organisations from Hong Kong and Mainland China. Themed "Building Capacity to Capture Emerging Opportunities", the conference explored ways for Hong Kong to bolster capacity in terms of resources, infrastructure and talent in order to fully benefit from the opportunities driven by technological development, regional investment and macroeconomic trends. Over 50 renowned speakers and panelists with strong credentials in the industry participated in the conference. HKIB was honoured to have Mr. Norman Chan, Chief Executive of the Hong Kong Monetary Authority (HKMA) as the opening keynote speaker. Mr. Chan, together with the representatives of HKIB Council Members, officiated the Certified Banker Launching Announcement. Mr. Arthur Yuen, Deputy Chief Executive of the HKMA and Deputy Chairman of the HKIB Executive Committee also gave a regulatory keynote. The conference was opened by Ms. Carrie Leung, CEO of HKIB. Dr. Patrick Fung, Chairman of OCBC Wing Hang Bank Limited, Chairman of the HKIB Executive Committee and Vice President of the HKIB Council, gave his warm welcome to the participants.

The morning session was marked by insightful speeches and two CEO panel discussions on "Building Capacity for Sustainable Growth" and "Identifying and Capturing Emerging Opportunities". After the networking lunch buffet, the participants attended one of the three streams hosted by experts, which focused on banking business, financial technology (FinTech) innovation, and risk management and compliance, respectively.

The conference was an effective platform for exchanging professional ideas with abundant networking opportunities.

### Backing the Industry to Prosper in Fintech Ecosystem

The most apparent paradigm shift that has taken place in banking in the past decade is largely the ever-deeper integration of technology. Staying relevant to industry needs, HKIB proactively organises industry and continuous professional development events to help banks and banking professionals stay abreast of

**香港資訊及通訊科技獎 2016：最佳金融科技獎**  
香港銀行學會獲委任為「香港資訊及通訊科技獎」於 2016 年新增設的「最佳金融科技獎」之籌辦機構。「香港資訊及通訊科技獎」於 2006 年設立，由政府資訊科技總監辦公室策動，旨在表揚及推廣本地優秀的資訊及通訊科技發明和應用。「最佳金融科技獎」包括「銀行與保險」、「資本市場」及「新興解決方案」3 個比賽組別，吸引多個來自銀行、金融業及資訊科技界的公司參與，參賽作品富創意，展現甚高水平。頒獎典禮於 2016 年 4 月 11 日假香港會議展覽中心舉行。

### **2016 年網絡安全高峰會**

香港銀行學會為 2016 年「網絡安全高峰會」的協辦機構之一。高峰會於 2016 年 5 月 18 日假香港科學園舉行，演講者包括執法機構和公、私營界別的網絡安全專家、行業領導，吸引來自 14 個國家、超過 500 名業內人士出席。會上，香港金融管理局宣佈推出「網絡防衛計劃」，而香港金融管理局總裁陳德霖先生就該計劃發表演說，指出其涵蓋三大重點：網絡防衛評估框架、專業培訓計劃及網絡風險資訊共用平台。此外，金管局與學會合作，於 2016 年底安排推出首批為網絡安全從業人員而設的證書課程。

### **香港銀行學會研討會：網絡安全方案 2016**

香港銀行學會於 2016 年 9 月 21 日假香港會議展覽中心舉辦「網絡安全方案 2016」研討會，邀得近 20 位業界傑出人士到場演講，其中學會非常榮幸邀請到香港金融管理局高級助理總裁李達志先生擔任主題演講嘉賓。研討會吸引來自 80 家銀行金融機構監管機構及交易所，包括內地及澳門，合共 170 名與會者。與會者藉此次活動與業內網絡安全專家共同探討及發掘於面對新科技對日常網絡安全的衝擊下，業界如何建立合規的網絡安全架構。

### **網絡安全研討會：應對金管局有關網絡安全風險管理的法規**

香港銀行學會於 2016 年 8 月 5 日舉辦名為「應對香港金融管理局有關網絡安全風險管理的法規」的免費研討會。此講座獲惠普企業贊助，並由多位來自惠普企業及其他機構的演講嘉賓講解網絡風險管理轉移、自動化的重要性、數碼化下的網絡使用安全及資料保護的統一化等。研討會吸引超過 140 位銀行從業員參與。

### **2016 年兩岸四地銀行業財富管理論壇**

香港銀行學會聯同中國銀行業協會及金融時報合辦「2016 兩岸四地銀行業財富管理論壇」，活動於 2016 年 5 月 20 日假廣州白雲國際會

current and emerging developments in the financial technology (FinTech), and 2016 was a promising year in this respect.

### **Hong Kong ICT Awards 2016: Best FinTech Award**

HKIB was appointed Leading Organiser of the new Best FinTech Award of the Hong Kong ICT Awards. The Hong Kong ICT Awards 2016 was steered by the Office of the Government Chief Information Officer and established in 2006 to recognise and promote local information and communications technology (ICT) inventions and applications. The Best FinTech Award 2016 was composed of the three streams namely Banking and Insurance, Capital Market and Emerging Solutions. It received high-quality and innovative applications from the banking and financial sector and the ICT industry. The award presentation ceremony was held at the Hong Kong Convention and Exhibition Centre on 11 April 2016.

### **Cyber Security Summit 2016**

HKIB was one of the organisers of the Cyber Security Summit held from 16 to 18 May 2016 at the Hong Kong Science Park. The summit featured presentations by experts and industry leaders from law enforcement agencies and public and private sectors in cybersecurity. It drew over 500 participants from 14 countries. At the event, the Hong Kong Monetary Authority (HKMA) announced the launch of a Cybersecurity Fortification Initiative (CFI). Mr. Norman Chan, Chief Executive of the HKMA gave a keynote speech on the CFI, which consists of three pillars: a Cyber Resilience Assessment Framework; a Professional Development Programme; and a Cyber Intelligence Sharing Platform. The HKMA worked with HKIB to provide the first certification courses for cybersecurity practitioners at the end of 2016.

### **HKIB Cybersecurity Solutions Day 2016**

The Institute organised a "Cybersecurity Solutions Day" on 21 September 2016 at the Hong Kong Convention and Exhibition Centre. Almost 20 speakers and panelists with strong credentials in the industry participated in the event. Mr. Howard Lee, Senior Executive Director of Hong Kong Monetary Authority was the opening keynote speaker. The seminar attracted over 170 participants from more than 80 banks, financial institutions, regulatory bodies and stock exchanges. It allowed delegates to discover new technologies to help with day-to-day cybersecurity challenges and building frameworks towards regulatory compliance through direct networking with industry experts, solution providers and practitioners.

### **Cyber Security Seminar: Addressing the HKMA's Requirements for Cyber Security Risk Management**

The Institute organised a free cybersecurity seminar titled "Addressing the HKMA's Requirements for Cyber Security Risk Management" on 5 August 2016. Guest speakers from Hewlett Packard Enterprise (HPE) and other institutions provided insights on the transformation of cyber risk management, the importance of automation, network access security for the digital workplace and standardisation of data protection. The seminar attracted more than 140 participants.

### **Cross Strait Four Regions Wealth Management Summit 2016**

HKIB, the China Banking Association and Financial Times jointly organised the Cross Strait Four Regions Wealth Management Summit 2016 on 20 May 2016 at Guangzhou Baiyun International

議中心舉行。論壇以「供給側結構性改革與財富管理轉型發展」為題，逾 150 位業內人士出席。主辦單位邀得多間銀行、金融及監管機構的領導擔任嘉賓講者，包括香港金融管理局副總裁阮國恒先生。大會安排兩場圓桌座談會，其主題分別是「資產管理之轉型升級」及「私人銀行之創新發展」。「兩岸四地銀行業財富管理論壇」搭建兩岸四地銀行金融業的交流平台，以及探討和促進區內銀行財富管理市場的發展。

#### **全國傑出財富管理師評選**

「2016 兩岸四地銀行業財富管理論壇」同場舉行「第七屆全國傑出財富管理師評選」活動頒獎晚宴，以及由主辦 3 方領導主禮的「第八屆全國傑出財富管理師評選」活動啟動儀式。

#### **香港銀行學會傑出財富管理師大獎 第九屆香港銀行學會傑出財富管理師大獎**

「香港銀行學會傑出財富管理師大獎」是業界一個極具代表性的專業獎項，目的是提供一個高水平的平台，嘉許業界精英，同時分享最佳實踐經驗，亦提高大眾對財務規劃的認識。「第九屆香港銀行學會傑出財富管理師大獎」於 2015 年 8 月啟動，學會與《指標》及《CTgoodjobs》攜手舉辦這項盛事。為精益求精，比賽採用更嚴謹的評選方法及標準。大會在原有的 3 輪評選上加入新一輪「最佳務實財富管理師論壇暨同業投票」的評選，除了 12 位資深專業評判外，幾百名同業亦投票評分，為參加者帶來更高難度的挑戰。頒獎典禮暨晚宴在 2016 年 1 月 8 日假香港麗酒店舉行。

#### **第十屆香港銀行學會傑出財富管理師大獎**

學會於 2016 年 6 月 7 日為「第十屆香港銀行學會傑出財富管理師大獎」揭開序幕，讓香港和澳門銀行及金融界的財富管理人員參與。活動繼續由學會、《指標》及《CTgoodjobs》攜手舉辦，其 3 輪評選在 2016 年底結束，而頒獎典禮暨晚宴於 2017 年 1 月初舉行。

Convention Center. Titled “Supply-side Structural Reforms and Wealth Management Restructuring and Development”, the event was attended by over 150 industry executives. The guest speaker list included top management from banks and financial institutions as well as regulators, for example, Mr. Arthur Yuen, Deputy Chief Executive of the Hong Kong Monetary Authority. Two roundtable forums were organised at the summit, with the themes “Restructuring and Upgrade of Asset Management” and “Innovation and Development of Private Banking” respectively. It was an attempt to build an exchange platform between the banking and financial industries in Hong Kong, Mainland China, Macau and Taiwan, and facilitate the development of the wealth management market in the cross-strait four regions.

#### **China Outstanding Financial Management Planner Awards**

The Cross Strait Four Regions Wealth Management Summit 2016 also saw the holding of the 7<sup>th</sup> Outstanding Financial Management Planner (OFMP) Awards presentation dinner and the kick-off ceremony of the 8<sup>th</sup> China OFMP Award.

#### **HKIB Outstanding Financial Management Planner Awards**

##### **The 9<sup>th</sup> HKIB Outstanding Financial Management Planner Awards**

The HKIB Outstanding Financial Management Planner (OFMP) Awards is valued by the industry as an endeavour to promote best practice and raise public awareness of the significance of financial planning via recognising practitioners’ professionalism. The 9<sup>th</sup> HKIB OFMP Awards raised its curtain in August 2015. This time, HKIB embarked on a joint effort with Benchmark Magazine and CTgoodjobs to organise the Awards. “Peer Voting—Best Practice Wealth Advisory Forum”, in which 12 veteran judges and hundreds of peers cast their votes for the winner, was added to the original three assessment criteria to strive for even more excellence. The OFMP Awards Gala Dinner was held at Conrad Hong Kong on 8 January 2016.

##### **The 10<sup>th</sup> HKIB Outstanding Financial Management Planner Awards**

HKIB launched the 10<sup>th</sup> HKIB OFMP Awards on 7 June 2016. The contest is open to all financial planning practitioners in the Hong Kong and Macau banking and financial sectors. It is again co-organised by HKIB, Benchmark Magazine and CTgoodjobs. All three rounds of the event were completed by the end of 2016 and its presentation ceremony is scheduled to be held in early 2017.

# 國際銀行人才發展重要夥伴

## A valued partner for international banking talent development

香港銀行學會與各地區不同的相關機構建立夥伴聯盟關係，旨在共享夥伴之間的合作優勢、協同效應及透過合作共贏取得額外資源與知識，帶給會員和業界更多裨益。學會憑藉逾半個世紀作為銀行人才搖籃的堅實基礎，為國際銀行人才發展作出實質的貢獻。

### 更廣泛、深入的戰略協作

香港銀行學會在 2016 年繼續深化與合作夥伴的戰略協作，以維持及促進學會的進一步發展。

#### 澳門管理專業協會

香港銀行學會與澳門管理專業協會在 2015 年就「香港銀行學會會士 (AHKIB™)」課程上的合作簽署諒解備忘錄。2016 年，兩間機構在澳門首度合作開辦 AHKIB™ 課程，為澳門從業員及當地有志投身銀行業的人士提供專業培訓，並提高他們的專業資歷，為開展成功事業打好基礎。

#### 香港電腦學會

2015 年，香港銀行學會與香港電腦學會簽署諒解備忘錄，以研究雙方在專業培訓和發展方面合作的可能性。2016 年，香港銀行學會夥拍香港電腦學會推出金融科技課程系列。

#### 美國佛羅里達國際銀行家協會

香港銀行學會與美國佛羅里達國際銀行家協會於 2015 年簽署的諒解備忘錄在 2016 年落實執行，首次攜手合辦「美國《海外帳戶稅收合規法案》(FATCA)」培訓課程。美國佛羅里達國際銀行家協會是知名的合規反洗錢培訓機構，其課程內容覆蓋美國及世界各地的法規及要求。

#### Council of Registered Ethical Security Testers (CREST) International

香港銀行學會與 Council of Registered Ethical Security Testers (CREST) International 於 2016 年 5 月 18 日簽署諒解備忘錄，以支持學會及香港應用科技研究院合作推出本地化認證計劃「模擬網絡攻擊專業認證」(Certified Cyber Attack Simulation Professional, 「CCASP」)。

#### 亞太銀行學會協會大會

香港銀行學會以會員身份出席於 2016 年 9 月舉行、由亞太銀行學會協會主辦的「亞太銀行

Alliances with comparable organisations give HKIB a collaborative advantage to tap on extra resources and knowledge to deliver more benefits to HKIB Members and the industry. Concurrently, HKIB, riding on its solid foundation of more than half a century being a banking talent developer, is a strong partner who brings synergy and competitive edge to these alliances.

### Wider and Deeper Strategic Collaboration

One of the many accomplishments of HKIB in 2016 was the formation of stronger strategic collaboration with peers and relevant organisations. These inter-organisational relationships sustain and facilitate the Institute's further development.

#### Macau Management Association

By a memorandum of understanding (MoU) signed between HKIB and the Macau Management Association (MMA), the two organisations co-launched AHKIB™ in Macau in 2016. The AHKIB™ programme not only equips banking practitioners in Macau with readily applicable professional banking knowledge but also raises their professional profiles.

#### Hong Kong Computer Society

In 2015, HKIB entered into an MoU with the Hong Kong Computer Society (HKCS) to look into the possibility of cooperation in professional training and development. In 2016, HKIB partnered with HKCS to conduct Fintech Series training for Banking Practitioners.

#### Florida International Bankers Association

An MoU was signed between HKIB and Florida International Bankers Association (FIBA) in 2015, by which the two parties would jointly deliver US Foreign Account Tax Compliance Act (FATCA) training for banking practitioners in Hong Kong. In 2016, a corresponding FATCA workshop was held. FIBA is one of the top providers of education and anti-money laundering (AML) training in regard to global and U.S. AML compliance issues.

#### Council of Registered Ethical Security Testers (CREST) International

HKIB signed an MOU with Council of Registered Ethical Security Testers (CREST) International in 18 May 2016, support HKIB and Hong Kong Applied Science and Technology Research Institute (ASTRI) to develop a localised certification scheme - Certified Cyber Attack Simulation Professional (CCASP).

#### Asian-Pacific Association of Banking Institutes Conference

HKIB attended the Asian-Pacific Association of Banking Institutes Conference in September 2016. The conference was organised by the Asian-Pacific Association of Banking Institutes (APABI), of which HKIB is one of its members. The APABI brings together specialist training institutes in Asia Pacific to explore talent

學會協會大會」(Asian-Pacific Association of Banking Institutes Conference)。亞太銀行學會的活動平台讓亞太地區專業培訓機構聚首一堂，一起探討人才發展的議題，旨在為銀行、金融機構拓闊和深化人力資源，以應對快速的經營環境變遷，促進銀行以及金融機構實現機構目標。

會上，香港銀行學會分享有關香港銀行及金融人才發展的最新資訊和專業觀點，以及簡介學會全新銀行業專業資格認證「銀行專業會士」(Certified Banker)。

### 越南銀行業高級行政人員交流計劃

2016年8月17日至18日，香港銀行學會為一眾越南銀行家舉辦一個為期兩天的高級行政人員交流計劃，主題為「零售銀行及數碼銀行在人力資源管理上的最佳實踐」。越南銀行家參觀東亞銀行創新中心、星展銀行(香港)、數碼港及香港銀行學會。透過與高級管理層的交流及討論，他們對香港零售銀行及數碼銀行的最新發展趨勢及金融科技人才發展的挑戰有更深入的了解。

### 海外銀行到訪：釜山銀行

韓國釜山銀行於2016年7月、10月和12月派代表團到訪香港銀行學會。學會熱切接待代表團，並向他們簡介香港銀行體系，當前經濟環境及網絡安全的最新發展。

### 韓國銀行協會及人力資源管理代表到訪

2016年10月28日，韓國銀行協會帶領二十多名參與該協會主辦之「韓國金融業人力資源領導計劃」的銀行代表到訪香港銀行學會。學會安排簡介環節，解構香港銀行及金融體系。此外，學會人員與韓國的銀行代表共同交流探討人力資源管理的最新趨勢、人才發展的挑戰及機遇。

development issues with a view to equip banks and financial institutions with the human capital capacity necessary to respond to rapid changes in the banking and financial sector and achieve their organisational goals. In 2016, HKIB was invited to the APABI Conference. HKIB shared views and findings on the talent development landscape in Hong Kong's banking and financial services industry, along with highlights of the new HKIB professional qualification Certified Banker.

### Vietnamese Senior Executive Exchange Programme

HKIB organised a two-day senior executive exchange programme themed "The Best Practices of Human Resource Management in Retail Banking and Digital Banking" for a group of Vietnamese bankers on 17 and 18 August 2016. The Vietnamese bankers visited HKIB as well as the Bank of East Asia's Innovation Centre, DBS Bank (Hong Kong) and Cyberport. Exchange sessions were held between them and senior executives from the local institutions, at which the latest trends in retail banking and digital banking in Hong Kong and the challenges in talent development for the financial technology sector were explored.

### Visits by BNK Busan Bank

HKIB was visited by over 20 representatives from BNK Busan Bank of Korea in July, October and December 2016. HKIB warmly received the delegates and shared a presentation on the banking system and the economic environment in Hong Kong, and the latest developments in cybersecurity.

### Visit by Korean Financial HR Leadership Programme of Korean Banking Institute

Over 20 delegates of the Korean Financial HR Leadership Programme of the Korean Banking Institute visited HKIB on 28 October 2016. HKIB gave an overview of Hong Kong's banking and financial system for the delegates. Representatives from the two parties also exchanged ideas on human resources training and development.





## 建立更強年輕人才庫 Empowering a young talent pipeline

銀行業的持續發展有賴具潛質的年輕人加入，成為新一代銀行家，為行業注入新思維、新動力。香港銀行學會通過不同的專業講座及交流活動，包括為大專院校學生提供獲得學會專業資格的機會，讓學生成為學會的學生會員及活動大使，以及舉辦職業講座和展覽等讓大眾參加，積極協助業界吸納千禧世代及有意轉職的人士。

### 職業講座

在 2016 年，香港銀行學會於香港樹仁大學；香港理工大學職業博覽；南華早報 Classified Post 職業論壇；香港專業教育學院（IVE）柴灣、黃克競及沙田分校；以及香港浸會大學聯合國際學院（UIC）舉行職業講座，向學生簡介銀行業的入職要求和晉升機會，學會的代表亦與學生分享相關經驗和見解。這些職業講座有助吸引具備合適能力和資格的畢業生成為銀行業一份子。

### 海外學生到訪學會

逾 60 位北京師範大學—香港浸會大學聯合國際學院暑期課程學生於 2016 年 7 月 13 日到訪香港銀行學會，學會舉辦題為「銀行業—邁向專業的未來」的講座，讓學生對銀行業務的運作及香港銀行業的最新進展有進一步的了解，協助他們規劃投身銀行業的職業發展路向。

The banking industry needs new generations of bankers to prosper in tomorrow's world. HKIB helps banks to reach out to millennials and those considering a career change. The Institute lines up tertiary institutions to provide collaborative opportunities for students to acquire HKIB professional qualifications. Students can also connect with the industry while in school by becoming an HKIB Student Member, joining HKIB's events as ambassadors, or attending talks and Conferences, Seminars and Networking Events organised by HKIB.

### Career Talks

In 2016, HKIB held career talks at Hong Kong Shue Yan University, PolyU Career Fair, SCMP Classified Post Career Forums, Chai Wan, Haking Wong and Shatin campuses of the Hong Kong Institute of Vocational Education (IVE), and United International College (UIC). The talks engaged young and aspiring individuals, introducing them to the career opportunities and insights, and entry requirements of the banking industry; via the talks, HKIB helped attract young graduates of the right calibre and qualifications to join the industry.

### Visits from Overseas Students

Over 60 students of summer course programmes at United International College, Beijing Normal University and Hong Kong Baptist University visited HKIB on 13 July 2016. They were treated to a talk titled "Banking—Your Professional Future". The students enjoyed the talk, which helped them plan for a banking career.

# 活動花絮 Features of Activities

## 認證 Be Qualified

### 新專業資格認證 — 「銀行專業會士」正式宣布推出

### Official Announcement of the Launch of Certified Banker (CB) – A New Benchmark for Banking Professionals

香港銀行學會榮譽會長兼香港金融管理局總裁陳德霖 (中)、香港銀行學會理事會主席及議會副會長兼華僑永亨銀行有限公司董事長馮鈺斌博士 (左六) 和香港銀行學會行政總裁梁嘉麗 (左一) 與其他議會成員於銀行專業會士 (CB) 啟動儀式上留影。

Mr. Norman Chan, Honorary President, Council, HKIB and Chief Executive, Hong Kong Monetary Authority (Middle), Dr. Patrick Fung, Chairman, OCBC Wing Hang Bank Limited and Chairman, Executive Committee and Vice President, Council, HKIB (6<sup>th</sup> from left) and Ms. Carrie Leung, CEO of HKIB (1<sup>st</sup> from left) with other HKIB Council Members at the Certified Banker Launching Ceremony.



#### 全新銀行專業資格 — 「銀行專業會士」 (CB) 及新個人會籍架構說明會

Information Session: "New Banking Qualification – Certified Banker (CB) and New Individual Membership Structure"

香港銀行學會行政總裁梁嘉麗於信息說明會上，向會員分享學會的最新發展。

Ms. Carrie Leung, CEO of HKIB, shared HKIB's new initiatives with members at the Information Session.

### 會員周年大會

### Annual General Meeting

周年大會通過主席及財務報告，以及經修訂的章程細則。

The Chairman's Report and Financial Report, as well as the amended By-laws were adopted at the Annual General Meeting.



於 2015 年完成學會專業資格的會員於周年大會上與議會及理事會成員合照留念。The awardees completed HKIB Professional Qualification in 2015 posed for photo with the Council and Executive Committee members.

### 第十屆香港銀行學會「傑出財富管理師大獎」頒獎典禮

### The 10th HKIB Outstanding Financial Management Planner Awards Presentation



香港銀行學會理事會成員與來自政府監管機構、銀行及金融界別的专业評審舉杯，向所有得獎者及晚宴參加者祝賀。

Members of the HKIB Council and Executive Committee as well as judges from both government supervising organisations and the banking and financial industry proposed a toast to all the winners and participants.

財經事務及庫務局局長陳家強教授 (右二) 與各組大獎得獎者合照。

Prof. KC Chan, Secretary for Financial Services and the Treasury, HKSAR (2nd from right) with Grand Award winners.



**「2016年兩岸四地銀行業財富管理論壇」暨「全國傑出財富管理師」評選頒獎及啟動儀式**  
**Cross Strait Four Regions Wealth Management Summit 2016 and China Outstanding Financial Management Planner Awards prize presentation cum kick-off ceremony**



◀ 圓桌座談會的主題為「資產管理之轉型升級」。Roundtable forum with the theme "Restructuring and Upgrade of Asset Management".

▶ 第七屆「全國傑出財富管理師」評選活動頒獎典禮，金獎得獎者與主辦三方領導合照。Gold award winners took group photo with the management of three organisers at the 7<sup>th</sup> China Outstanding Financial Management Planner Awards prize presentation.



◀ 從左至右：金融時報社趙學鋒領導、中國銀行業協會楊再平專職副會長及香港銀行學會行政總裁梁嘉麗進行第八屆評選啟動儀式。(From left to right) Mr. Zhao Xuefeng, Deputy General Editor of Financial News, Mr. Yang Zaiping, Executive Vice President of CBA and Ms. Carrie Leung, CEO of HKIB jointly announced the launch of the 8<sup>th</sup> China Outstanding Financial Management Planner Awards.

**2016年澳門「銀行業資歷認證 (ABP™) 及「專業財富管理師 (CFMP™)」畢業典禮**  
**Accredited Banking Practitioner (ABP™) & Certified Financial Management Planner (CFMP™) Graduation Ceremony 2016**



「銀行業資歷認證」畢業生與澳門金融管理局行政委員會委員潘志輝合照。ABP™ graduates took a photo with Mr. António Félix Pontes, Executive Director of AMCM to capture the glorious moment.



「專業財富管理師」畢業生與香港金融管理局助理總裁（銀行監理）兼香港銀行學會專業標準及考試委員會主席陳宏合照。CFMP™ graduates took a photo with Mr. Raymond Chan, Executive Director - Banking Supervision of HKMA and Chairman of the Professional Standards Examination Board of HKIB to capture the glorious moment.

**2016 香港資訊及通訊科技獎：最佳金融科技獎**  
**Hong Kong ICT Awards 2016: Best FinTech Award**

▶ 得獎者與主禮嘉賓包括：前財政司司長曾俊華（前排中間）、創新及科技局局長楊偉雄（前排左二）、最終評審委員會主席黃玉山教授（前排右二）、創新及科技局常任秘書長卓永興（前排左一）及政府資訊科技總監楊德斌工程師（前排右一）、學會議會及理事會成員、評審委員會主席及首席評審員留影。Award winners with officiating guests, including Mr. John C Tsang, Ex - Financial Secretary (middle of front row), Mr. Nicholas Yang, Secretary for Innovation and Technology (2nd from left in front row), Prof. Wong Yuk-shan, Chairman of Grand Judging Panel (2nd from right in front row), Mr. Cheuk Wing-hing, Permanent Secretary for Innovation and Technology (1st from left in front row) and Mr. Ir Allen Yeung, Government Chief Information Officer (1<sup>st</sup> from right in front row), members of the HKIB Council and Executive Committee, Chief Judge and Chief Assessor.



◀ 得獎者與頒獎嘉賓香港銀行學會榮譽顧問會長 John Strickland（前排左七）及前香港金融管理局助理總裁（金融基建）李建英（前排右八）、學會議會及理事會成員、評審員留影。Award winners with members of the HKIB Council and Executive Committee, judges and assessors, and award presenters Mr. John Strickland, Honorary Advisory President, HKIB (7th from left in front row) and Mr. Esmond Lee, Ex - Executive Director (Financial Infrastructure Department), HKMA (8<sup>th</sup> from right in front row).

## 2016 網絡安全高峰會 Cyber Security Summit 2016

香港金融管理局行政總裁陳德霖先生於網絡安全高峰會上發言。  
Mr. Norman Chan, Chief Executive of the HKMA spoke at the Cyber Security Summit.



香港金融管理局行政總裁陳德霖先生、香港銀行學會總裁梁嘉麗女士、香港應用科技研究院行政總裁湯復基先生與出席高峰會之講者及嘉賓留影。  
Mr. Norman Chan, Chief Executive of the HKMA, Ms. Carrie Leung, CEO of HKIB, Mr. Frank Tong, CEO of ASTRI, speakers and guests at the Summit.

## 網絡安全研討會 - 「應對香港金融管理局有關網絡安全風險管理的要求」 Cyber Security Seminar: "Addressing the HKMA's requirements for Cyber Security Risk Management"



研討會設專題討論小組，就「如何利用測試進行網絡安全評估」作出討論。  
Panel Discussion on "How to Leverage Application Testing for Cyber Security Assessments".

## 香港銀行學會研討會：「網絡安全方案 2016」 HKIB Cybersecurity Solutions Day 2016



香港金融管理局高級助理總裁李達志先生擔任主題演講嘉賓。  
Mr. Howard Lee, Senior Executive Director of HKMA gave his opening keynote speech.

## 網絡安全評估員培訓課程 A Pilot Training Programme for Cybersecurity Exam Assessors



香港銀行學會、香港應用科技研究院及香港金融管理局代表與參加者合照。  
Photos of representatives from HKIB, ASTRI, HKMA and participants.

## 金融科技午餐座談會系列 - 銀行從業員的網絡知識： 電子支付服務及市場趨勢 FinTech Luncheon Series - Cyber Knowledge for Banking Practitioners: Digital Payment and Market Trends



左起：香港電腦學會湯浩然先生與講者陳伯強先生及香港銀行學會專業發展及會員事務總經理楊偉雄博士合照。  
(From left) Mr. Leo Tong of HKCS with the speaker, Mr. Andy Chen and Dr. WH Yeung, General Manager, Professional Competence Development & Membership of HKIB.

**「提升資產財富管理業人才培訓先導計劃」  
啟動禮暨行業推廣  
WAM Pilot Programme Launching  
Ceremony-cum-Industry Promotion**



香港銀行學會行政總裁梁嘉麗女士（左）及學會專業發展及會員事務總經理楊偉雄博士（右）向財經事務及庫務局局長陳家強教授（中）講述學會最新銀行專業會士課程。  
Ms. Carrie Leung, CEO of HKIB (left), and Dr. WH Yeung, General Manager of Professional Competence Development & Membership of HKIB (right), introduce the new Certified Banker programme to Prof. KC Chan, Secretary for Financial Services and the Treasury, HKSAR (centre).

**美國《海外賬戶稅收合規法案》(FATCA) 培訓課程  
FATCA Workshop & Training**



香港銀行學會管理層與講者，歐華律師事務所的 Mr. Michael A Silva (中) 及 Mr. Ryan J. Coyle 留影。  
HKIB Management team with the speakers, Mr. Michael A Silva (centre) and Mr. Ryan J. Coyle from DLA Piper (second left).

**海外銀行拜訪：釜山銀行  
Overseas bank visit - BNK Busan Bank**



香港銀行學會行政總裁梁嘉麗女士（前中）及學會專業發展及會員事務總經理楊偉雄博士（前排右三）與韓國釜山銀行代表團留影。  
Ms. Carrie Leung, CEO of HKIB (front middle) and Dr. WH Yeung, General Manager of Professional Competence Development and Membership of HKIB (3<sup>rd</sup> from right of front row) met with BNK Busan Bank representatives.

**海外學生拜訪：  
北京師範大學 - 香港浸會大學聯合國際學院  
Overseas student visit - United International College,  
Beijing Normal University, Hong Kong Baptist University**



香港銀行學會專業發展及會員事務總經理楊偉雄博士為學生作分享。  
Dr. WH Yeung, General Manager of Professional Competence Development and Membership of HKIB shared with the students on the latest development of the banking sector.

**越南銀行業高級行政人員交流計劃  
Vietnamese Senior Executive Exchange Programme**

越南銀行家參觀了東亞銀行創新中心、星展銀行（香港）有限公司、數碼港及香港銀行學會。  
The Vietnamese bankers visited The Bank of East Asia's Innovation Centre, DBS Bank (Hong Kong) Limited, Cyberport and HKIB.



## 信息和教育 Be Informed and Educated

### 中國銀行業協會銀行業專業人員職業資格 (QCBP) 「銀行業法律法規與綜合能力」考試 Qualification Certificate of Banking Professional (QCBP) of China Banking Association (CBA) “Banking Laws and Regulations and Comprehensive Competence” Examination



中國銀行業協會專職副會長潘光偉先生（中）參觀香港銀行學會及考場。  
Mr. Pan Guangwei, Executive Vice-President of CBA (middle), visited HKIB and the examination venue.

### 韓國銀行協會及人力資源管理代表拜訪 Korean Banking Institute and HR Leadership Visit



韓國銀行協會代表和韓國金融機構人力資源領導計劃代表到訪香港銀行學會。  
Korean Banking Institute and representatives of Korean Financial HR Leadership Programme visited HKIB.

### 認可機構董事持續培訓課程 Directors Training for AI Directors

#### 信用風險監管要求的趨勢及更新 Trends and updates on credit risk regulations and requirements

從左至右：至畢馬威會計師事務所總監孟旭先生，香港銀行學會行政總裁梁嘉麗女士，畢馬威會計師事務所合夥人彭富強先生與香港銀行學會專業發展及會員事務總經理楊偉雄博士留影。

(From left to right) Mr. Michael Monteforte, Director of KPMG, Ms. Carrie Leung, CEO of HKIB, Mr. Wilson Pang, Partner of KPMG and Dr. WH Yeung, General Manager, Professional Competence Development and Membership, HKIB, at the event.



### 認可機構董事持續發展課程 The Continuing Development Programme Series for AI Directors

#### 自動交換財務帳戶資料 - 在香港實施的情況與合規要求 Automatic Exchange of Financial Account Information - Implementation and its Compliance in Hong Kong

香港銀行學會行政總裁梁嘉麗女士向兩位演講嘉賓 - 吳冠豪先生和屈肇珊女士致送紀念品。

Ms. Carrie Leung, CEO of HKIB presented souvenir to the two speakers Mr. Gary Ng and Ms. Suzanne Wat of PwC.



#### 監管機構角度 - 開戶、客戶盡職審查程序的資料收集與普及金融 Regulator's Perspective: Account Opening, KYC Information Collection and Financial Inclusion

香港金融管理局助理總裁（法規及打擊清洗黑錢）戴敏娜女士（中）、郭雅仕女士（左）和劉寶運先生（右）分享監管者的角度。

Ms. Meena Datwani, Executive Director (Enforcement and AML) of HKMA (middle), Ms. Sarah Kwok (left) and Mr. Steve Lau (right) from HKMA shared on "Regulator's Perspective".



### 認可機構董事發展課程 Directors Development Programme

#### 董事會關注要點之网络安全風險管理及區塊鏈 Board Level Essentials on Cybersecurity Risk Management & Blockchain

香港銀行學會行政總裁梁嘉麗女士與德勤郭儀雅女士（左）和李卓偉先生（右）合照。  
Ms. Carrie Leung, CEO of HKIB with Ms. Eva Kwok (left) and Mr. Thomas Lee (right) of Deloitte.



#### 實施國際財務報告準則第 9 條之影響及最新貸款撥備監管 Impact of IFRS 9 Implementation & the Latest Regulatory Treatment of Loan Provisions

安永金融服務風險管理合夥人與安永大洋洲 IFRS9 領袖 Mr. Damien Jones 及金融風險管理合夥人蘇國彥先生留影。

Our two special guest speakers from Ernst & Young, Mr. Damien Jones, Oceania IFRS 9 Leader, Financial Services and Mr. Sky So, Partner, Financial Services Risk Management gave insight on the Direct Development Programme.

**中高管午餐會系列**  
**Management Luncheon Series**



**提升香港銀行網絡安全水平**  
**Raising the Cybersecurity Level of Banks in Hong Kong**

後排左起：思科系統（香港）有限公司銷售總經理何偉國先生、香港銀行學會理事會會員梁建文先生、香港銀行學會行政總裁梁嘉麗女士及學會專業發展及會員事務總經理楊偉雄博士。  
前排左起：思科系統（香港）有限公司安全顧問總監 Mr. Mark Goudie、品誠梅森律師事務所合夥人 Mr. Paul Haswel、思科系統（香港）有限公司企業及金融服務部銷售總監羅榮遜先生和系統工程主管伍偉強先生。  
(Back row from left) Mr. Argon Ho, General Manager of Commercial Sales, CISCO; Mr. Michael Leung, HKIB Executive Committee Member; Ms. Carrie Leung, CEO, HKIB; and Dr. WH Yeung, General Manager, Professional Competence Development and Membership, HKIB.  
Front row from left: Mr. Mark Goudie, Security Principal and Consulting Director, CISCO; Mr. Paul Haswell, Partner, Pinsent Masons; Mr. Billy Law, Head of Enterprise and Financial Services, CISCO; and Mr. Garrick Ng, Head of Systems Engineering, CISCO.

**免費講座**  
**Free Seminars**

**銀行業可持續業務發展**  
**Exploring the Best Sustainable Business Models for Banking**

香港銀行學會專業發展及會員事務總經理楊偉雄博士（右）向講者，精確環球諮詢集團可持續發展總監葉榮鏗先生致送紀念品。  
Dr. WH Yeung (right), General Manager of Professional Competence Development and Membership of HKIB, presented a souvenir to Mr. Angus Yip, Director of Sustainability of CSG Group.



**「與監管機構對話」系列**  
**Regulators Dialogue**



**網絡安全工作**  
**New Cybersecurity Work**

香港銀行學會行政總裁梁嘉麗女士（右二）和學會專業發展及會員事務總經理楊偉雄博士（左一）與香港金融管理局金融基建部的講者林嘉聲先生（左二）與彭旭輝先生（右一）合影。  
Ms. Carrie Leung, CEO of HKIB (2<sup>nd</sup> from right), Dr. WH Yeung (1<sup>st</sup> from left), General Manager, Professional Competence Development and Membership at HKIB, with Mr. Josiah Lam (2<sup>nd</sup> from left), and Mr. Wilson Pang of HKMA Financial Infrastructure Department (1<sup>st</sup> from right) at the “Regulators Dialogue: New Cybersecurity Work”.

**與監管機構對話：香港金融管理局對銷售非投資相連長期保險產品的監管標準**  
**HKMA's Regulatory Standards on Selling of Non-Investment-Linked Long Term Insurance Products**

香港金融管理局銀行操守部主管李夢蘭女士向業界講解監管標準。  
Ms. Alice Lee, Division Head of Banking Conduct Department from HKMA explained the regulatory standards and shared her supervisory observations.



**投訴監察**  
**Complaints Watch**

香港銀行學會行政總裁梁嘉麗女士與講者香港金融管理局銀行監理二處的主管劉寶蓮先生合影。  
Ms. Carrie Leung, CEO of HKIB the speaker, Mr. Steve Lau, Division Head, Enforcement Department of HKMA at the “Regulators Dialogue”.



**風險承擔限額**  
**Exposure Limits**

香港金融管理局政策研究及發展主管石沛恒博士為是次講座的演講嘉賓。  
Dr. Martin Sprenger, Head of Policy Research and Development from HKMA was our guest speaker.

## 「與法定機構專員對話」系列 Commissioners Dialogue



### 競爭條例法規

#### Compliance with the Competition Ordinance

香港銀行學會專業發展及會員事務總經理楊偉雄博士（左）向講者競爭事務委員會行政總裁韋樂思女士致送紀念品。Dr. WH Yeung (left), General Manager, Professional Competence Development and Membership of the HKIB presented a souvenir to Ms. Rose Webb, Chief Executive Officer of Competition Commission (Hong Kong).

### 銀行及金融界如何參與及受惠於香港金融理財知識和能力策略 How the banking and finance sector can participate in and benefit from the Hong Kong Strategy for Financial Literacy (HKSFL)

香港銀行學會行政總裁梁嘉麗女士（右五）和講者投資者教育中心總經理李博衛先生（右六）及其他參會者合照。Ms. Carrie Leung, CEO of the HKIB (5<sup>th</sup> from right) with Mr. David Kneebone, General Manager of Investor Education Centre (6<sup>th</sup> from right) and other attendees.



### 銀行業界妥善處理客戶個人資料指引

#### Sharing of the Guidance on the Proper Handling of Customers' Personal Data for the Banking Industry

香港銀行學會行政總裁梁嘉麗女士（右三）及其團隊與香港個人資料私隱專員公署個人資料私隱專員黃繼兒先生（右四）及高級個人資料主任羅美琪女士（右二）合照。Ms. Carrie Leung, CEO of HKIB (3<sup>rd</sup> from right) and her team with Mr. Stephen Wong, Privacy Commissioner for Personal Data (4<sup>th</sup> from right) and Ms. Maggie Lo, Senior Personal Data Officer (2<sup>nd</sup> from right).

### 銀行機構與客戶：避免歧視及公平對待少數族裔講座 Treating Customers from Minority Groups Fairly and Without Discrimination in the Banking Sector

香港銀行學會專業發展及會員事務總經理楊偉雄博士（右）向講者平機會高級平等機會主任（少數族裔事務組）何永強先生致送紀念品。Dr. WH Yeung (right), General Manager of Professional Competence Development and Membership of HKIB, presented a souvenir to Mr. Raymond Ho, Senior Equal Opportunities Officer (Ethnic Minorities Unit) at the Equal Opportunities Commission



### 網絡安全和科技罪案

#### Cybersecurity and Technology Crime

香港銀行學會專業發展及會員事務總經理楊偉雄博士（左）向香港警務處網絡安全及科技罪案調查科（網罪科）網絡安全組協作隊黃迪奇先生高級偵緝督察致送紀念品。Dr. WH Yeung (left), General Manager, Professional Competence Development and Membership of HKIB presented a souvenir to Mr. Dicky Wong, Detective Senior Inspector of Police Collaboration Team, Cyber Security Division, Cyber Security and Technology Crime Bureau, Hong Kong Police Force.



**認可機構主管人員培訓課程  
Executive Officer (EO) Training**



**主管人員 - 重要須知事項  
Executive Officer (EO) - Key Things You Should Know**  
主持人及兩位講者，百達銀行資深主管人員麥勤創先生（左）及肯尼狄律師行合夥人任建峰先生（右）合照。  
Photos of facilitator and two speakers, EO, Mr. Richard Mak of Pictet Wealth Management (left) and Mr. Kelvin Yam, Partner of Kennedys Law LLP (right).



**主管人員 (EO) - 重要須知事項 (二)  
Executive Officer (EO) - Key Things You Should Know**  
講者與參加者在講座中積極交流及討論。  
Speakers and participants shared their ideas and discussed proactively throughout the seminar.

**澳門的會員及培訓服務  
Membership and Training Services in Macau**



**CFMP™ 持續進修課程「銀行專業操守講座」在澳門舉行  
CFMP™ CPD programme in Macau "Banking Professional Ethics"**  
澳門公開課程「銀行專業操守講座」。  
Public Programme in Macau: Banking Professional Ethics.

**「反洗錢及反恐怖主義融資研討會」在澳門舉行  
In-house program in Macau: Anti - Money Laundering and Anti - Terrorism Financing Seminar**



香港銀行家峰會 2016 - 「建構新能力 把握新機遇」  
 HKIB Annual Banking Conference 2016: "Building Capacity to Capture Emerging Opportunities"



香港金融管理局行政總裁陳德霖先生於《香港銀行家峰會 2016》上發言。  
 Mr. Norman Chan, Chief Executive of the Hong Kong Monetary Authority delivered a speech at the HKIB Annual Banking Conference 2016.

香港金融管理局副總裁阮國恆先生於《香港銀行家峰會 2016》上就「最新的風控監管現況」議題發言。  
 Mr. Arthur Yuen, Deputy Chief Executive of the Hong Kong Monetary Authority delivered a speech titled "Regulatory Update on Risk Management" at the HKIB Annual Banking Conference 2016.



高管對話 - 建構新能力  
**CEO Panel Discussion: Building Capacity for Sustainable Growth**

左起：主持人與各講者—法國巴黎銀行大中華區負責人暨香港分行行政總裁楊伯豪先生、前渣打銀行（香港）有限公司行政總裁陳秀梅女士及花旗集團香港及澳門區行長盧韋柏先生在論壇上分享意見。  
 (from left) The facilitator and Mr. Paul Yang, Head of Greater China & Chief Executive Officer Hong Kong, BNP Paribas, Ms. May Tan, Ex - Chief Executive Officer, Standard Chartered Bank (Hong Kong) Limited and Mr. Weber Lo, Citi Country Officer & Chief Executive Officer, Hong Kong and Macau.

高管對話 - 把握新機遇  
**CEO Panel Discussion: Identifying and Capturing Emerging Opportunities**

左起：永隆銀行有限公司行政總裁朱琦先生、中銀香港首席經濟學家甄志寰女士、香港交易及結算所有限公司首席中國經濟學家巴曙松教授。  
 (from left) Mr. Zhu Qi, Chief Executive Officer, Wing Lung Bank Limited, Ms. E Zhihuan, Chief Economist, Bank of China (Hong Kong) Limited and Prof. Ba Shusong, Chief China Economist, Hong Kong Exchanges and Clearing Limited (HKEX).



逾 700 位金融銀行從業員參與峰會。  
 A full house of over 700 participants at the Conference.

香港銀行學會行政總裁梁嘉麗女士（左一）、香港金融管理局總裁陳德霖先生（中）、香港銀行學會理事會主席兼議會副會長馮鈺斌博士（右四）與其他議會議員在峰會留影。  
 Ms. Carrie Leung, CEO of HKIB (1st from left), Mr. Norman Chan, Chief Executive of the Hong Kong Monetary Authority (middle), Dr. Patrick Fung, Chairman of OCBC Wing Hang Bank Limited, Chairman of the HKIB Executive Committee and Vice President of the HKIB Council (4th from right) with other Council Members at the Conference.



**2016 致謝暨交流酒會**  
**Annual Appreciation and Networking Cocktail Reception 2016**



議會及理事會成員於酒會上向蒞臨賓客祝酒。  
 Members of the Council, Executive Committee and CEO of HKIB proposed a toast to the participants at the Appreciation and Networking Cocktail 2016.

**2016 香港銀行學會年度議會午宴**  
**HKIB Annual Council Luncheon 2016**

議會、理事會成員及香港銀行學會行政總裁於 2016 香港銀行學會年度議會午宴上留影。  
 Members of the Council, Executive Committee and CEO of HKIB at the Annual Council Luncheon 2016.



**「歡聚一堂 - 歡迎新會員」**  
**Happy Gathering "Welcoming New Members"**



活動為剛獲得專業資格的新會員、企業會員、導師和本會同事建立輕鬆的社交平台。  
 A networking platform for new qualification holders, corporate members, trainers and Secretariat staff.

**「歡聚一堂 — 法國·波爾多品酒晚宴」**  
**Happy Gathering – "Moulin Haut Laroque Dinner"**

香港銀行學會行政總裁梁嘉麗女士(左四)和 Moulin Haut Laroque 酒莊莊主 Thomas Hervé(中)參加者合照。  
 Ms. Carrie Leung, CEO of HKIB (fourth from left) with Mr. Thomas Hervé, the owner of Moulin Haut Laroque (centre) and other participants.



# 附錄一 Appendix I

## 學會委員會 Institute's Committees

(截至 2017 年 5 月 31 日 as at 31 May 2017)

<b>行政及財務委員會</b>	<b>Administration &amp; Finance Committee</b>
<b>主席：郭錫志先生，上海商業銀行</b>	<b>Chairman: Mr. David S C KWOK, FHKIB, Shanghai Commercial Bank Limited</b>
陳文先生，中國銀行（香港）有限公司	Mr. Stephen CHAN, AHKIB, Bank of China (Hong Kong) Limited
鄭文宏先生，交通銀行香港分行	Mr. Raymond M W CHENG, Bank of Communications Co, Ltd Hong Kong Branch
唐漢城先生，東亞銀行有限公司	Mr. TONG Hon Shing, FHKIB, The Bank of East Asia, Limited
徐振文先生，恒生銀行有限公司	Mr. Thomas TSUI, AHKIB, Hang Seng Bank Limited
<b>內地發展委員會</b>	<b>China Development Committee</b>
<b>主席：阮國恒先生，香港金融管理局</b>	<b>Chairman: Mr. Arthur K H YUEN, FHKIB, Hong Kong Monetary Authority</b>
<b>替代主席：尹子輝先生，香港金融管理局</b>	<b>Alternate Chairman: Mr. Stephen Wan, Hong Kong Monetary Authority</b>
陳紹宗先生，香港上海滙豐銀行有限公司	Mr. Justin S C CHAN, The Hongkong and Shanghai Banking Corporation Limited
鄭建崗先生，南洋商業銀行	Mr. K K CHENG, Nanyang Commercial Bank
王鎮強先生，中國銀行（香港）有限公司	Mr. Danny WONG, Bank of China (Hong Kong) Limited
黃漢興先生，大新銀行	Mr. Derek H H WONG, FHKIB, Dah Sing Bank, Limited
王嘉寶女士，華僑永亨銀行有限公司	Ms. Mable K B WONG, OCBC Wing Hang Bank Limited
王煥萍女士，東亞銀行有限公司	Ms. Wendy W P WONG, Bank of East Asia Limited
<b>會籍及專業發展委員會</b>	<b>Membership and Professional Development Committee</b>
<b>主席：黃漢興先生，大新銀行</b>	<b>Chairman: Mr. Derek H H WONG, FHKIB, Dah Sing Bank, Limited</b>
<b>副主席：梅月嫦女士，南洋商業銀行</b>	<b>Deputy Chairperson: Ms. Wendy Y S MUI, Nanyang Commercial Bank, Limited</b>
陳繼紅女士，永隆銀行	Ms. Beryl K H CHAN, Wing Lung Bank Limited
趙慧玲女士，中信銀行（國際）有限公司	Ms. Venus CHIU, China CITIC Bank International Limited
鍾麗娟女士，渣打銀行（香港）有限公司	Ms. Marianne Chung, Standard Chartered Bank (Hong Kong) Limited
辛樹川先生，三菱東京 UFJ 銀行	Mr. Lewis S C SUN, The Bank of Tokyo-Mitsubishi UFJ, Ltd
顏婷女士，中國工商銀行（亞洲）有限公司	Ms. YAN Ting, Industrial and Commercial Bank of China (Asia) Limited
黃麗華女士，東亞銀行有限公司	Ms. Amy WONG, The Bank of East Asia, Limited
游若詩女士，香港上海滙豐銀行有限公司	Ms. Tafline YEW, The Hongkong and Shanghai Banking Corporation Limited
<b>出版事務及 Banking Today 委員會</b>	<b>Publications &amp; Banking Today Sub-Committee</b>
陳鳳翔先生，香港銀行學會高級顧問	Mr. Wilson CHAN, HKIB Senior Consultant
鍾慕珩先生，香港城市大學專上學院	Mr. MOHAN Joseph Bernard, Community College of City University
<b>專業標準及考試委員會</b>	<b>Professional Standard and Examination Board</b>
<b>主席：陳景宏先生，香港金融管理局</b>	<b>Chairman: Mr. Raymond Chan, Hong Kong Monetary Authority</b>
<b>替代主席：尹子輝先生，香港金融管理局</b>	<b>Alternate Chairman: Mr. Stephen Wan, Hong Kong Monetary Authority</b>
陳紹業先生，恒生銀行有限公司	Mr. Amos CHAN, AHKIB, Hang Seng Bank Limited
姚寶燦先生，香港銀行學會榮譽顧問	Mr. Eugene IU, FHKIB, Honorary Advisor, The Hong Kong Institute of Bankers
梁建文先生，中信銀行（國際）有限公司	Mr. Michael K M LEUNG, China CITIC Bank International Limited
馬陳志先生，中國建設銀行（亞洲）股份有限公司	Mr. MA Chan-chi, China Construction Bank (Asia) Limited
鄧鳳斌先生，上海商業銀行	Mr. N P TANG, Shanghai Commercial Bank Limited
宋若蘊女士，香港上海滙豐銀行有限公司	Mrs. Rachel Y W WEI, The Hongkong and Shanghai Banking Corporation Limited
黃綺麗女士，花旗銀行	Ms. Fiona WONG, Citibank (Hong Kong) Limited

## 學會委員會 Institute's Committees (con't)

(截至 2017 年 5 月 31 日 as at 31 May 2017)

考試評審委員會	Examination Moderating Committee
<b>主席：</b>	<b>Chairman:</b>
姚寶燦先生，香港銀行學會榮譽顧問	<b>Mr. Eugene Po-Chan IU, FHKIB</b>
<b>副主席：</b>	<b>Deputy Chairmen:</b>
陳永豪博士，香港大學	Dr. Alex CHAN, The University of Hong Kong
邱健祥先生，海誼投資管理有限公司	Mr. Richard YAU, FHKIB, Integrated Investment Management Limited
<b>評審委員會委員：</b>	<b>Members of Moderating Committee:</b>
區泳圖先生，峰顯管理服務公司	Mr. Frederick AU, Risk Partner
鄭志強先生	Mr. Kenneth CHANG
曹永成博士，香港理工大學	Dr. Vincent CHO, The Hong Kong Polytechnic University
馮麗玲大律師	Ms. Annie FUNG, Barrister-at-Law
馮敦孝博士，中國銀行業監督管理委員會及香港城市大學	Dr. Don Hau FUNG, China Banking Regulatory Commission and City University of Hong Kong
許順福先生，香港大學專業進修學院客席講師	Mr. Mike HUI, HKU SPACE Adjunct Lecturer
林日輝博士，活資有限公司	Dr. Yat Fai LAM, CapitaLogic Limited
羅文華博士，立法會吳亮星議員辦事處	Dr. Norman LAW, AHKIB, CFMP, Office of The Hon. Ng Leung Sing
李兆棠先生，中銀國際控股有限公司	Mr. Simon LI, BOC International Holdings Limited
李少景先生，香港城市大學專上學院	Mr. Stanley LI, Community College of City University
林國洲博士，麥考瑞大學	Dr. K C LIM, Macquarie University
呂美萍女士，比利時聯合銀行	Ms. Candy LUI, AHKIB, KBC Bank N.V. Hong Kong Branch
王世偉博士，香港大學	Dr. Kingsley ONG, The University of Hong Kong
蘇家培博士，香港科技大學	Dr. Mike SO, The Hong Kong University of Science and Technology
鄧展堂博士，中國光大銀行	Dr. Aaron TANG, AHKIB, China Everbright Bank
鄧志強先生	Mr. Alexander TANG, AHKIB
韋錦邦先生，法國巴黎銀行香港分行	Mr. Joseph WEI, AHKIB, BNP Paribas Hong Kong Branch
黃澤森博士，香港城市大學	Dr. Michael WONG, City University of Hong Kong

## 附錄二 Appendix II

### 機構會員 Corporate Members (2016/2017)

(截至 2017 年 5 月 31 日 as at 31 May 2017)

	ABN AMRO Bank N.V.
中國農業銀行香港分行	Agricultural Bank of China Ltd., Hong Kong Branch
	AS Expobank
澳新銀行	Australia and New Zealand Banking Group Limited
	AXIS Bank Limited
意大利西雅那銀行香港分行	Banca Monte dei Paschi di Siena S.p.A. - Hong Kong
澳門商業銀行股份有限公司	Banco Commercial de Macau, S. A
	Banco Santander, S.A., Hong Kong Branch
盤谷銀行有限公司	Bangkok Bank Public Company Ltd
瑞士嘉盛銀行香港分行	Bank J. Safra Sarasin Ltd., Hong Kong Branch
瑞士寶盛銀行有限公司	Bank Julius Baer & Co Ltd Hong Kong Branch
	Bank of Baroda
中國銀行 (香港) 有限公司	Bank of China (Hong Kong) Limited
中國銀行股份有限公司澳門分行	Bank of China Limited Macau Branch
交通銀行股份有限公司香港分行	Bank of Communications Co., Ltd. Hong Kong Branch
加拿大豐業銀行	Bank of Nova Scotia
上海銀行 (香港) 有限公司	Bank of Shanghai (Hong Kong) Limited
新加坡銀行有限公司	Bank of Singapore Limited, HK Branch
臺灣銀行香港分行	Bank of Taiwan Hong Kong Branch
永豐商業銀行股份有限公司	Bank Sinopac
	Barclays Bank PLC
法國巴黎銀行香港分行	BNP Paribas Hong Kong Branch
中銀國際控股有限公司	BOC International Holdings Limited
東方匯理財富管理	CA Indosuez (Switzerland) SA
國泰銀行	Cathay Bank
國泰世華商業銀行香港分行	Cathay United Bank Company Limited
中國銀行業協會	China Banking Association
中信銀行 (國際) 有限公司	China CITIC Bank International Limited
中國建設銀行 (亞洲) 股份有限公司	China Construction Bank (Asia) Corporation Ltd
中國建設銀行股份有限公司香港分行	China Construction Bank Corporation (Hong Kong Branch)
中國光大銀行股份有限公司 (香港分行)	China Everbright Bank Company Limited (Hong Kong Branch)
廣發銀行股份有限公司香港代表辦事處	China Guangfa Bank Co. Ltd., Hong Kong Representative Office
招商銀行香港分行	China Merchants Bank, Hong Kong Branch
中國民生銀行股份有限公司	China Minsheng Banking Corporation Limited
集友銀行	Chiyu Banking Corporation Limited
創興銀行有限公司	Chong Hing Bank Limited
聯昌銀行有限公司	CIMB Bank Berhad
花旗集團	Citibank NA
德國商業銀行香港分行	Commerzbank AG, Hong Kong Branch
大新銀行有限公司	Dah Sing Bank Limited
星展銀行 (香港) 有限公司	DBS Bank (Hong Kong) Limited
德意志銀行	Deutsche Bank AG
德國中央合作銀行香港分行	DZ Bank AG Deutsche Zentral-Genossenschaftsbank, HK Branch
華美銀行	East West Bank
	Edmond DE Rothschild (Suisse) S.A., Hong Kong Branch
瑞士盈豐銀行股份有限公司	EFG Bank AG
	Erste Group Bank AG
富邦銀行 (香港) 有限公司	Fubon Bank (Hong Kong) Ltd
福建金融學會	Fujian Finance Society
	Goldman Sachs Asia Bank Limited

## 機構會員 Corporate Members (2016/2017) (con't)

(截至 2017 年 5 月 31 日 as at 31 May 2017)

	Habib Bank Zurich (Hong Kong) Limited
恒生銀行有限公司	Hang Seng Bank Limited
恒生管理學院	Hang Seng Management College
香港專業教育學院 (沙田, 柴灣, 黃克競及觀塘)	Hong Kong Institute of Vocational Education (Sha Tin, Chai Wan, Haking Wong & Kwun Tong)
香港金融管理局	Hong Kong Monetary Authority
華南商業銀行香港分行	Hua Nan Commercial Bank, Ltd. Hong Kong Branch
工銀標準銀行	ICBC Standard Bank PLC
	ICICI Bank Limited
中國工商銀行(亞洲)有限公司	Industrial and Commercial Bank of China (Asia) Limited
中國工商銀行(澳門)股份有限公司	Industrial and Commercial Bank of China (Macau) Limited
興業銀行股份有限公司	Industrial Bank Co Ltd.
台灣工業銀行	Industrial Bank of Taiwan Co. Ltd
	J.P. Morgan Securities (Asia Pacific) Ltd.
	JPMorgan Chase Bank, National Association
江蘇省銀行業協會	Jiangsu Banking Association
	LGT Bank AG, Hong Kong Branch
遼寧省銀行業協會	Liaoning Banking Association
澳門國際銀行	Luso International Banking Ltd.
馬來亞銀行有限公司香港分行	Malayan Banking Berhad (Maybank Hong Kong)
兆豐國際商業銀行股份有限公司	Mega International Commercial Bank Co., Ltd
澳門金融管理局	Monetary Authority of Macao
摩根士丹利亞洲國際有限公司	Morgan Stanley Asia International Limited
南洋商業銀行有限公司	Nanyang Commercial Bank, Ltd.
華僑永亨銀行有限公司	OCBC Wing Hang Bank, Limited
八達通卡有限公司	Octopus Cards Limited
歐力士(亞洲)有限公司	ORIX Asia Limited
華僑銀行	Oversea - Chinese Banking Corporation Ltd
平安銀行	Ping An Bank Company Limited
印尼國家銀行香港分行	PT. Bank Negara Indonesia (Persero) Tbk
大眾銀行(香港)有限公司	Public Bank (Hong Kong) Limited
大眾財務有限公司	Public Finance Limited
	Punjab National Bank
	Royal Bank of Scotland Public Limited Company (THE)
上海商業銀行有限公司	Shanghai Commercial Bank Ltd.
上海浦東發展銀行有限公司香港分行	Shanghai Pudong Development Bank Co. Ltd., Hong Kong Branch
渣打銀行(香港)有限公司	Standard Chartered Bank (Hong Kong) Ltd
	State Bank of India
美國道富銀行香港分行	State Street Bank and Trust Company
	Sumitomo Mitsui Trust Bank Limited
大有銀行有限公司	Tai Yau Bank Ltd
東亞銀行有限公司	The Bank of East Asia, Limited
	The Bank of New York Mellon
三菱東京 UFJ 銀行	The Bank of Tokyo-Mitsubishi UFJ, Ltd
香港上海匯豐銀行有限公司	The Hongkong and Shanghai Banking Corporation Limited
香港上海匯豐銀行有限公司(澳門分行)	The Hongkong and Shanghai Banking Corporation Limited, Macau Branch
多倫多道明銀行	Toronto-Dominion Bank
印度聯合銀行	Union Bank of India
大華銀行有限公司	United Overseas Bank Ltd
永隆銀行有限公司	Wing Lung Bank Ltd

## 附錄三 Appendix III

銀行業資歷認證 / 會士考試獲獎名單

Accredited Banking Practitioner / Associateship Examination Prize List

銀行業資歷認證考試優異生

Top Candidates for Accredited Banking Practitioner (ABP™) Examination

Subject	Prize Donor	Top Candidate	Organization
<b>(April 2016)</b>			
Banking Services and Professional Ethics	Bank of Communications Co., Ltd. Hong Kong Branch	Mrs. Lin Zhang Helen	Nanyang Commercial Bank, Ltd.
Fundamentals of Accounting and Law in Banking	China Construction Bank (Asia) Corporation Ltd	Miss Yeung Tsz Yan	Industrial and Commercial Bank of China (Asia) Limited
Financial Systems and Risk Management	Industrial and Commercial Bank of China (Asia) Limited	Mr. Chan Ho Tin Matthew	The Bank of East Asia, Limited
<b>(August 2016)</b>			
Banking Services and Professional Ethics	Bank of Communications Co., Ltd. Hong Kong Branch	Miss Cheng Ka Yi	N/A
Fundamentals of Accounting and Law in Banking	China Construction Bank (Asia) Corporation Ltd	Mr. Hui Sin Kwan	Bank of China (Hong Kong) Limited
Financial Systems and Risk Management	Industrial and Commercial Bank of China (Asia) Limited	Mr. Lam Wing Kwun	The Hongkong and Shanghai Banking Corporation Limited
<b>(November 2016)</b>			
Banking Services and Professional Ethics	Bank of Communications Co., Ltd. Hong Kong Branch	Miss Chan Kwok Yan	The Bank of East Asia, Limited
Banking Services and Professional Ethics	Bank of Communications Co., Ltd. Hong Kong Branch	Miss Lee Siu Ting	Industrial and Commercial Bank of China (Asia) Limited
Fundamentals of Accounting and Law in Banking	China Construction Bank (Asia) Corporation Ltd	Miss Jing Yang	Industrial and Commercial Bank of China (Asia) Limited
Financial Systems and Risk Management	Industrial and Commercial Bank of China (Asia) Limited	Miss Chan Nga Wun	The Bank of East Asia, Limited



## 會士考試優異生

### Top Candidates for Associateship Examination

Subject	Prize Donor	Top Candidate	Organization
<b>Advanced Subjects</b>			
<b>(June 2016)</b>			
Business and People Management	Standard Chartered Bank (Hong Kong) Ltd	Miss Lam Chun Yuen	The Bank of East Asia, Limited
<b>(December 2016)</b>			
Business and People Management	Standard Chartered Bank (Hong Kong) Ltd	Mr. Chan Ho Tin Matthew	The Bank of East Asia, Limited
Management of Information Systems in Banking	Bank of China (Hong Kong) Limited	Miss Wai King Lam	The Bank of East Asia, Limited
<b>Specialist Subjects</b>			
<b>(June 2016)</b>			
Bank Lending	The Hongkong and Shanghai Banking Corporation Limited	Ms. Wong Rebecca Waiyun	Hang Seng Bank Limited
Banking Law and Practice	The Hongkong and Shanghai Banking Corporation Limited	Mr. Wong Hong Chee Andre	ICBC (ASIA) Ltd.
<b>(December 2016)</b>			
Credit Risk Management	Dah Sing Bank, Limited	Mr. Wong Hoi Kin	Hong Kong Mortgage Corporation

## 會士考試新生獎

### Freshman Prize for Associateship Examination

Prize	Prize Donor	Diet	Freshman	Organization
<b>Core Subjects</b>				
Freshman Prize	Nanyang Commercial Bank, Limited	April 2016	Mr. Chan Ho Tin Matthew	The Bank of East Asia, Limited
		November 2016	Miss Chan Kwok Yan	The Bank of East Asia, Limited

## 附錄四 Appendix IV

### 完成考試會員名單

#### Examinations Completion List

#### 2016 年新「專業財富管理師」名單 New Certified Financial Management Planners (CFMP™) in 2016

Chan Hio Leng	Hoi Lok I	Lam Hio San	Luo Jin Yang	Vong Chak Sang
Chan Ka Man	Hoi Sio Hong	Lam Ka Cheng	Ng Kuan U	Wong Chon Wang
Chan Ngok Leng	Hong Lei Lei	Lam Kuan Lin	Ng Lai Peng	Wong Hoi long
Chan Tong Kin	Hong Un Wa	Lam Kuok Wan	Ng Seng Ut	Wong Ka Wa
Chan U I	Hui Wing Chung	Lam Pui I	Qi Wenhao	Wong Kei Wai
Chan Weng I	leong Ka Seng	Lam Sok Wun	Sou Ka Wai	Wong Siu San
Chao Kai Weng	long Chan Wa	Lao leng Lam	Sou Weng Kuan	Wong Suk Wah Joyce
Cheang Chi Pan	Kong Chi leng	Lao Weng Ian	Sun Shuzhen	Xie Meizhen
Cheok I Kuan	Kong Ruilin	Lee Kwan Tai	Tam In Kei	Xie Mingfeng
Cheong Kam Pang	Kong Ying Jun	Lei Chao I	Tam Pui Teng	Xu Yuehui
Chong Man Leong	Kuan Pek Lin	Lei Wai San	Tang Kit Ying	Yuen Ka Wai
Fong Chan Pong	Kuok Un Lou	Lo Kai Yan	Tong Meng Im	Zhao Lihang
Fong Hoi Fai	Kwan Chi Ho	Lo Lai Kun	Tsui Hiu Ling	Zhong Lai Seong
Hoi Cheng U	Kwok Wai Keung	Lo Lok Chi	U Chan Leong	

#### 2016 年新「銀行業資歷認證」名單 New Accredited Banking Practitioners (ABP™) in 2016

Cao Minhua	Ho Ka I	Leung Hoi Lam	Ng Yuen Ki	Wong Chun Lung
Chan Chon Man	Ho Tsz Yu	Leung Ka Ho	Ng Yuen Ting	Wong Hoi Kin
Chan Lam Wai	Ho Wing Keung	Li Jing Yi	Ngan Miu Shan	Wong Kai Fung
Chan Yi Na	Hu Zhaoze Jacob	Li Wing Yan	Ning Xiaoning	Wong Sum
Chan Ying Wah	Hui Sin Kwan	Li Xiaoyu	Qin Yi	Wu Wing Lam Michelle
Chen Wanxiao	lao Man Chi	Li Xin	Qiu Qi	Yeung Hong Ning Jackson
Cheng Pui Na	Jiang Tailun	Li Zhaoxi	Shek Yiu Chung	Yeung Tsz Yan
Cheong Pui Ian	Kwok Chun Yin	Liang Lu Ka	Shi Ce	Yiu Chi Kwan
Cheung Ngai Yin	Lam Hiu Fung	Liao Shihua	Sit Man Fong	Yu Shuyao
Cheung Tak Hang	Lam Ka Ki	Lin Yicheng	Sun Kai Kit	Yu Yam Ying
Chong U Mei	Lau Ka Wa	Liu Cheng	Tam Mei Lai	Yuen Man Hin
Chou Weng Kei	Law Hing Yi	Lo Siu Cho	Tang Koon Ho	Zeng Qinghao
Chung Annie	Lee Shiu Man Simon	Lo Yue	Tao Chutian	Zhang Dingyi
Fung Chun Kit	Lei Sok Cheng	Lui Wang	Tong Soi	Zhang Yuhan
Fung King Yeung	Leng Chi Chon	Lum Ka Lok	Tse Cheuk Lam	Zhou Han
Ha Chit Fung	Leong Cheok Chon	Luo Hao	Tse Sze Wan Rebecca	Zhou Limei
He Rui	Leung Chi Kin	Ng Chi Chung Patrick	Wei Chenchen	Zhu Rui Yue

#### 2016 年新「香港銀行學會會士」名單 New Associate of The Hong Kong Institute of Bankers (AHKIB™) in 2016

Kan Shuk Hang	Wong Chiu Kwai			
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## 附錄五 Appendix V

### 學會提供之公開課程及研討會

#### List of Public Programmes and Seminars

##### January 一月

- Certified Private Wealth Professional – Module 2: Ethics and Compliance (Class 1 Part A & B)
- Differences of Property Development Financing between Mainland China and Hong Kong
- Certified Private Wealth Professional – Module 2: Ethics and Compliance (Class 2 Part A & B)
- 透視內地「十三五」規劃的機遇
- Solidification of Knowledge on the Regulatory Requirements for Selling Complex Investment Products
- Workshop on Key AML and Fraud Risk Controls on Private Banking
- Comparison of 1992/2002 ISDA Master Agreement
- Underwriting Asset Backed Financing in China
- Happy Gathering Series: Welcoming New Members
- Commissioners Dialogue: Sharing from Competition Commission

##### February 二月

- Trade Finance for Credit and Marketing Officers
- Counter-Party Credit Risk Management for Financial Institutions
- 中國銀行業及相關法規概論
- Differences of Regulatory Requirements and Structures of Bank Financing for Privatization between Mainland China and Hong Kong
- Money Laundering Activities in Trade Finance (Case Studies)
- Annual AML Compliance Update with Emphasis on New Guidelines on Tax Evasion
- Workshop on Transaction Screening, Transaction Monitoring and Suspicious Transaction Reporting under AML Requirements
- Workshop on Key AML Controls /Risk Assessment on Trade Finance Activity
- Certified Private Wealth Professional – Module 2: Ethics and Compliance (Part A & B)
- Solidification of Knowledge on the Regulatory Requirements for Selling Complex Investment Products
- Examination Assistant Programme: Banking Services and Professional Ethics
- Examination Assistant Programme: Financial Systems and Risk Management

##### March 三月

- Regulators Dialogue – New Cyber Security Work
- New Basel Requirement on AML (Using Third Party to Perform CDD and Correspondent Banking)
- Regulatory and Compliance Requirements for Corporate Banking
- Internal Audit in Financial Institutions
- Banking Insights – Practical Update: Tightening Controls? – Tax Evasion of AML
- Banking Insights – Practical Update: Implementation to the Competition Ordinance Impact on the Banking Industry
- Certified Private Wealth Professional – Module 2: Ethics and Compliance (Part A & B)
- Overview of International Trade Finance
- Trends of Money Laundering Activities in Trade Finance
- Certificate in Corporate Finance Services
- Examination Assistant Programme: Banking Services and Professional Ethics (Tutorial Programme)
- Examination Assistant Programme: Fundamentals of Accounting and Law in Banking
- Examination Assistant Programme: Fundamentals of Accounting and Law in Banking (Tutorial Programme)
- Examination Assistant Programme: Business and People Management (Tutorial Programme)
- Examination Assistant Programme: Bank Lending (Tutorial Programme)
- Examination Assistant Programme: Banking Law and Practice (Tutorial Programme)
- Examination Assistant Programme: Operational Risk Management (Tutorial Programme)
- Certified Financial Management Planner: Module 3 – Essentials of Banking and Financial Planning
- Certified Financial Management Planner: Module 5 – Investment and Asset Management: Theory and Product Solutions
- Free seminar: Payment Systems & Stored Value Facilities Ordinance Insights from HKMA SPM and PDPO
- Commissioners Dialogue: Sharing from Investor Education Centre

##### April 四月

- Basic Understanding of ISDA Master Agreement
- Account Opening Documentation Requirements from Legal and Regulatory Perspectives
- Certificate in Operational Risk Management

## 附錄五 Appendix V

### 學會提供之公開課程及研討會

#### List of Public Programmes and Seminars

- Certificate in Bank Lending
- Practical Understanding of International Trade Finance
- Certified Private Wealth Professional – Module 2: Ethics and Compliance (Part A & B)
- HKIB OPT/CPT Series: Succession Planning & Family Trust
- 家庭及企業家的財富管理系列（一）：資本市場
- Getting Ready for Common Reporting Standard (CRS) – A Global Version of FATCA
- Banking and Financial Knowledge for Information Technology Professionals Luncheon Series: An Overview of Hong Kong Banking and Financial Services Sector (Part I & II)
- Compliance Best Practice for Banking and Licensed Corporations
- 內地金融要領系列課程（一）：中國銀行業法律法規概要
- Directors Training: Trends and Updates on Credit Risk Regulations and Requirements: Impact on Banking and Finance Sector of HK and China
- Examination Assistant Programme: Management of Information Systems in Banking
- Free seminar: Contracts (Rights of Third Parties) Ordinance

#### May 五月

- Workshop on Key AML and Fraud Risk Controls on Private Banking
- Workshop on Bi-lateral Credit Documentation
- Advanced Trade Finance Workshop (Case Studies)
- Review of Major Provisions under the Securities and Futures Ordinance (SFO) and Guidelines Issued by the SFC for Application to Licensed Corporations/Registered Institutions
- 家庭及企業家的財富管理系列（二）：如何利用香港財富管理和資本市場
- 家庭及企業家的財富管理系列（三）：國際監管與法則變動
- "Internal Audit in IT Perspective" Workshop
- 中國內地與香港金融合同法的比較
- Luncheon Series – Cyber and Technology Knowledge: Development of Internet Finance and its Emerging Risks
- Luncheon Series – Risk Management: Basel III Further Development – Risk Weighted Assets
- Banking Insight – Practical Update: Addressing Money Laundering Risk – HKAB Guidance Paper on Combating Trade-based Money Laundering
- Banking Insight – Practical Update: Implications of Contracts (Rights of Third Parties) Ordinance
- Certificate in Advance Trade Finance Services
- 銀團貸款培訓班
- 「一帶一路」戰略對區域內金融機構的機遇與挑戰

#### June 六月

- Regulators Dialogue – HKMA's Regulatory Standards on Selling of Non-Investment-Linked Long Term Insurance Products
- Certified Private Wealth Professional – Module 2: Ethics and Compliance (Part A & B)
- Solidification of Knowledge on the Regulatory Requirements for Selling Complex Investment Products
- Workshop on Key AML Controls /Risk Assessment on Trade Finance Activity
- Workshop on Transaction Screening, Transaction Monitoring and Suspicious Transaction Reporting under AML Requirements
- Iran and North Korea Sanction Update
- Treasury Markets and Operations
- Introduction to Initial Public Offering Origination and Execution
- FI Counterparty Risk Analysis
- How to Conduct Financial Fraud Investigation
- Private Banking Credit Risk Management – Regulatory Environment Overview
- Practical Understanding of the Anti-Money Laundering (AML) and Counter-Terrorist Financing (CFT)
- Practical Understanding of International Trade Finance
- Directors Training: Automatic Exchange of Financial Account Information (AEOI): Implementation and its Compliance in Hong Kong
- Examination Assistant Programme: Banking Services and Professional Ethics
- Examination Assistant Programme: Banking Services and Professional Ethics (Tutorial Programme)
- Examination Assistant Programme: Financial Systems and Risk Management
- Examination Assistant Programme: Financial Systems and Risk Management (Tutorial Programme)
- Certified Financial Management Planner: Module 6 – Investment and Asset Management: Alternative and Wealth Solutions

## July 七月

- Management Luncheon Series: Raising the Cybersecurity Level of Banks in Hong Kong” Sponsored by Cisco
- Corporate Credit Analysis
- Practical Understanding on Fixed Income Securities
- Updates on Basel III Framework
- Bank Asset and Liability Management
- Red Flags for Corporate Failure & Lender's Protective Measures
- Practical Insight: Project Financing from Bank Lender Perspective
- Financial Planning Foundation Program – Module 14: Regulatory Regime in Hong Kong and Requirement on Sale of Investment Products
- Financial Planning Foundation Program – Module 15: Relevant Laws and Regulations relating to Client Engagement and Relationship Building
- Financial Planning Foundation Program – Module 16: Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking
- Bond Concepts – Basic Understanding and Application
- Understanding the Treasury Products from Bankers' Perspectives
- Update on the Foreign Exchange Regime for PRC Cross-Border RMB / Foreign Currency Financing
- Current and Future Trends of Private Banking and Wealth Management: Hong Kong, Mainland and Singapore
- 如何把握 “一帶一路” 國家戰略及自貿區建設為香港銀行業帶來的機遇
- Members' Consultation on Its Five-year Strategic Development Plan

## August 八月

- Financial Planning Foundation Program – Module 17: Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions
- 中國基金行業及相關法規概論 (中國基金從業資格全國統一考試備考班)
- Differences of Property Development Financing between Mainland China and Hong Kong
- Internal Audit in Financial Institutions
- Financial Planning Foundation Program – Module 14: Regulatory Regime in Hong Kong and Requirement on Sale of Investment Products
- Financial Planning Foundation Program – Module 15: Relevant Laws and Regulations relating to Client Engagement and Relationship Building
- Compliance Best Practice for Banking and Licensed Corporations
- Banking Insights – Practical Update: Tightening Controls? – Tax Evasion of AML
- Banking Insights – Practical Update: Addressing Money Laundering Risk – HKAB Guidance Paper on Combating Trade-based Money Laundering
- Management Series: “How to address the HKMA's requirements for Cyber Security Risk Management”
- Property Valuation Knowledge for Banking and Financial Services Practitioners
- KYC and Customer Documents Review for Corporations in Asia
- Pre-camp Activity for CUPP Programme
- Senior Executive Exchange in Hong Kong 2016 – Best Practice of Human Resource Management in Retail Banking & Digital Banking & Lessons Learnt from the Top Hong Kong Banks

## September 九月

- Regulators Dialogue – Complaints Watch
- Certificate in Corporate Credit
- Executive Officer Training: Executive Officer (EO) – Key Things You Should Know
- Financial Planning Foundation Program – Module 16: Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking
- Financial Planning Foundation Program – Module 17: Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions
- Syndicated Loan Structuring and Documentation Review from Bank Lenders' Perspectives
- FATCA Workshop & Training
- An Overview of the Regulatory Regime of Electronic Banking, Electronic Trading and Cybersecurity Risks
- Banking Insights – Practical Update: Selling of Non-Linked Long Term Insurance (“NLI”) Products
- Private Banking Credit Risk Management – Regulatory Environment Overview
- Managing Operational Risk in Banking Context

## 附錄五 Appendix V

### 學會提供之公開課程及研討會

#### List of Public Programmes and Seminars

- 內地金融要領系列課程（一）：中國銀行業法律法規概要
- 內地金融要領系列課程（二）：中國公司信貸及法規
- Essential Understanding on Credit Derivatives
- Regulator's Perspective – Account Opening, KYC Information Collection and Financial Inclusion
- Examination Assistant Programme: Financial Systems and Risk Management (Tutorial Programme)
- Examination Assistant Programme: Fundamentals of Accounting and Law in Banking
- Certified Financial Management Planner: Module 3 – Essentials of Banking and Financial Planning
- Certified Financial Management Planner: Module 6 – Investment and Asset Management: Alternative and Wealth Solutions

#### October 十月

- Introduction to Financial Fraud
- 私人財富管理 — 如何面對監管與法則的變動
- Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance: Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products
- Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance: Relevant Laws and Regulations relating to Client Engagement and Relationship Building
- Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance: Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions
- Account Opening Documentation Requirements from Legal and Regulatory Perspectives
- Examination Assistant Programme: Banking Services and Professional Ethics
- Examination Assistant Programme: Banking Services and Professional Ethics (Tutorial Programme)
- Examination Assistant Programme: Financial Systems and Risk Management
- Examination Assistant Programme: Business and People Management (Tutorial Programme)
- Examination Assistant Programme: Finance of International Trade (Tutorial Programme)
- Examination Assistant Programme: Management of Information Systems in Banking (Tutorial Programme)
- Examination Assistant Programme: Credit Risk Management (Tutorial Programme)
- Examination Assistant Programme: Treasury Markets and Operations (Tutorial Programme)
- Examination Assistant Programme: Banking Law and Practice (Tutorial Programme)
- Commissioners Dialogue: Sharing from Equal Opportunities Commission

#### November 十一月

- Risk Management: Corporate Governance for Fraud Prevention for Banks with China Business Exposures
- Investment in China Asset Backed Investment Scheme from Risk Management Prospective
- Introduction to Private Equity and Venture Capital
- Practical Understanding of International Trade Finance
- Structure of Vessel Financing in China and Hong Kong
- Certificate in Bank Asset and Liability Management
- Certificate in Credit Risk Management
- Practical Insight: Project Financing from Bank Lender Perspective
- Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance: Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products
- Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance: Relevant Laws and Regulations relating to Client Engagement and Relationship Building
- Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance: Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking
- Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance: Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions
- Regulatory Requirements for Selling Mutual Funds
- Banking Insights – Practical Update: De-risking and Financial Inclusion
- Practical Understanding of the Anti-Money Laundering (AML) and Counter-Terrorist Financing (CFT)
- Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance: Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking
- Directors Development Programme – Thematic Seminars: Board Level Essentials on Cybersecurity Risk Management & Blockchain
- Happy Gathering Series: Moulin Haut Laroque Dinner
- HKIB Focus Group on Membership Services - Student Members
- Free Seminar: Exploring the Best Sustainable Business Models for Banking

## December 十二月

- Regulators Dialogue – Exposure Limits
- How to Conduct Financial Fraud Investigation
- Trends of Money Laundering Activities in Trade Finance
- Red Flags for Corporate Failure & Lender's Protective Measures
- From Global to Local – Top 10 Regulatory & Enforcement Trends
- Enhancing the Success of Credit Proposal
- Executive Officer Training: Executive Officer (EO) – Key Things You Should Know
- KYC and Customer Documents Review for Corporations in Asia
- A Pilot Training Programme for Cybersecurity Exam Assessors
- Manage AML Risk in Banking Context Part III – OFAC, Compliance Trend & Regional AML Laws
- Global Regulatory Trend – Focus on US / UK Anti Money Laundering Models
- FinTech Luncheon Series – Cyber Knowledge for Banking Practitioners: Digital Payment and Market Trend
- Directors Development Programme – Impact of IFRS 9 Implementation & the Latest Regulatory Treatment of Loan Provisions
- HKIB Focus Group on Membership Services - Professional Members
- Commissioners Dialogue: Sharing from Police Force

## 附錄六 Appendix VI

### 內地、台灣及澳門培訓課程

### Mainland China, Taiwan and Macau Programmes

月份 Month	課程 Programme
一月 JAN	<ul style="list-style-type: none"> <li>專業財富管理師 - 第二階段 (三班) (澳門)</li> <li>銀行及金融高等文憑 - 金融體系與風險管理 (一班) (澳門)</li> </ul>
二月 FEB	<ul style="list-style-type: none"> <li>銀行及金融高等文憑 - 金融體系與風險管理 (一班) (澳門)</li> <li>網點綜合化建設能力提升專題培訓班</li> <li>環球、內地經濟及投資分析課程 (一) : 透視內地「十三五」規劃及分析香港、澳門兩地金融市場的業務機遇 (公開課程) (澳門)</li> </ul>
三月 MAR	<ul style="list-style-type: none"> <li>中小企信貸管理實務課程 (澳門)</li> <li>銀行風險及內控管理課程 (一) : 從銀行監管角度看風險管理 (公開課程) (澳門)</li> </ul>
四月 APR	<ul style="list-style-type: none"> <li>中小企信貸管理實務課程</li> <li>銀行業從業人員之合規課程 (一) : 反洗錢及反恐怖主義融資研討會 (公開課程) (澳門)</li> <li>銀行及金融高等文憑 (一班) (澳門)</li> <li>銀行及金融高等文憑 - 銀行業務與專業操守 (一班) (澳門)</li> </ul>
五月 MAY	<ul style="list-style-type: none"> <li>銀行及金融高等文憑 - 銀行業務與專業操守 (一班) (澳門)</li> <li>從銀行監管角度看風險管理 (澳門)</li> <li>專業財富管理師 - 第一階段 (三班) (澳門)</li> <li>透視內地「十三五」規劃及分析香港、澳門兩地金融市場的業務機遇 (澳門)</li> </ul>
六月 JUN	<ul style="list-style-type: none"> <li>香港銀行非執董高級研修班</li> <li>香港高級銀行家研修班</li> <li>專業財富管理師 - 第一階段 (三班) (澳門)</li> <li>銀行操作風險管理培訓班 (澳門)</li> <li>銀行及金融高等文憑 - 會計學與銀行法律基礎 (一班) (澳門)</li> <li>銀行業從業人員之合規課程 (一) : 反洗錢及反恐怖主義融資研討會 (公開課程) (澳門)</li> <li>金融市場業務專題培訓班</li> <li>個人客戶經理能力提升培訓班</li> </ul>
七月 JUL	<ul style="list-style-type: none"> <li>銀行及金融高等文憑 - 會計學與銀行法律基礎 (一班) (澳門)</li> <li>個人客戶經理能力提升培訓班</li> <li>家庭財富管理暨信托規劃說明會 - 以香港、英、美為例 (台灣)</li> <li>環球、內地經濟及投資分析課程 (二) : 投資工具及技術分析 (公開課程) (澳門)</li> <li>托管業務戰略布局及發展研討培訓班</li> </ul>
八月 AUG	<ul style="list-style-type: none"> <li>環球經濟與投資分析 (公開課程) (澳門)</li> <li>銀行風險及內控管理課程 (二) : 銀行內部審計 (公開課程) (澳門)</li> </ul>
九月 SEP	<ul style="list-style-type: none"> <li>專業財富管理師 - 第二階段 (三班) (澳門)</li> <li>營銷管理與產品創新專題培訓班</li> </ul>



月份 Month	課程 Programme
九月 SEP	<ul style="list-style-type: none"> <li>• 銀行業從業人員之合規課程（二）：銀行專業操守講座（公開課程）（澳門）</li> <li>• 反洗錢及反恐怖主義融資研討會（澳門）</li> <li>• 金融機構營銷創新管理方式培訓班</li> </ul>
十月 OCT	<ul style="list-style-type: none"> <li>• 專業財富管理師 - 第二階段（三班）（澳門）</li> <li>• Trade-Based Money Laundering（兩班）（澳門）</li> <li>• 銀行風險及內控管理課程（三）： 監管機構對銀行的內部控制要求與案例分析（公開課程）（澳門）</li> <li>• 保險業務現況及理財銷售課程</li> <li>• 現鈔產品推廣培訓班（中國大陸）</li> </ul>
十一月 NOV	<ul style="list-style-type: none"> <li>• 專業財富管理師 - 第二階段（三班）（澳門）</li> <li>• 中小型企業授信概況及風險管理（澳門）</li> <li>• 操作風險管理研討會（兩班）（澳門）</li> <li>• 當前全球金融市場形勢分析與發展趨勢分析（兩班）（澳門）</li> <li>• 資金交易業務專業能力提升培訓班</li> <li>• 境外銀團貸款業務介紹（中國大陸）</li> <li>• 銀行風險及內控管理課程（四）：銀行操作風險意識管理（公開課程）（澳門）</li> </ul>
十二月 DEC	<ul style="list-style-type: none"> <li>• 專業財富管理師 - 第二階段（三班）（澳門）</li> <li>• 資金交易業務專業能力提升培訓班</li> <li>• 銀行從業員專業操守講座（澳門）</li> </ul>

## 附錄七 Appendix VII

### 第十屆香港銀行學會「傑出財富管理師大獎」得獎名單

### 10<sup>th</sup> HKIB Outstanding Financial Management Planner Awards Winner List

Awards	Awardees	Organisations
<b>Group A: Financial Management Planners with up to 3 years of experience</b>		
<b>General Wealth Management Customer</b>		
<b>Top Nominations Award</b>	Bank of China (Hong Kong) Limited Hang Seng Bank Limited The Hongkong and Shanghai Banking Corporation Limited	
Grand Award	Emane Yu	Bank of China (Hong Kong) Limited
Gold Award	Elvis Wong	The Hongkong and Shanghai Banking Corporation Limited
Gold Award	Henry Wong	Hang Seng Bank Limited
Best Presentation Award	Elvis Wong	The Hongkong and Shanghai Banking Corporation Limited
Best Financial Planning Proposal Award	Sham Wai-lun, Alan	The Bank of East Asia, Limited
<b>Group B: Financial Management Planners with over 3 years of experience</b>		
<b>General Wealth Management Customer</b>		
<b>Top Nominations Award</b>	Bank of China (Hong Kong) Limited Dah Sing Bank, Limited Shanghai Commercial Bank Limited	
Grand Award	Leung Wing Yan, Yanice	Bank of China (Hong Kong) Limited
Gold Award	Chan Ting Fung, Kenneth	Shanghai Commercial Bank Limited
Gold Award	Ma Ming Yau, Sharif	Dah Sing Bank, Limited
Best Presentation Award	Ma Ming Yau, Sharif	Dah Sing Bank, Limited
Best Financial Planning Proposal Award	Benny Lam	The Hongkong and Shanghai Banking Corporation Limited
<b>Group C: Financial Management Planners with customers' investable assets over US\$ 1 million (excluding primary residence)</b>		
<b>High Net Worth Customer</b>		
<b>Top Nominations Award</b>	Bank of China (Hong Kong) Limited The Bank of East Asia, Limited The Hongkong and Shanghai Banking Corporation Limited	
Grand Award	Cheng Lixue, Lisa	Bank of China (Hong Kong) Limited
Gold Award	Clayton Man Yue Chan	The Hongkong and Shanghai Banking Corporation Limited
Gold Award	Leung King-hei, Billy	The Bank of East Asia, Limited
Best Presentation Award	Leung King-hei, Billy	The Bank of East Asia, Limited
Best Financial Planning Proposal Award	Yeung Yan Hang, Samuel	Citibank (Hong Kong) Limited
Long-Serving Judge Award	Professor Kalok Chan	The Chinese University of Hong Kong
	Professor Raymond So	Hong Kong Baptist University
	Mr. Arthur Yuen	Hong Kong Monetary Authority
	Mr. Jose Hui	Bank of China Private Banking (Macau)
	Ms. Michelle Yam	EFG Bank AG
	Mr. Peter Hui	Nanyang Commercial Bank, Limited
	Mr. Angus Yip	AIA International Limited
Mr. Joseph Cho	Bank of China (Hong Kong) Limited	

## 附錄八 Appendix VIII

### 第七屆「全國傑出財富管理師大獎」得獎名單

### 7<sup>th</sup> China Outstanding Financial Management Planner Awards Winner List

獎項	姓名	銀行名稱
甲組：一般財富管理組別 - 具備兩年以下之財富管理工作經驗		
金獎	田錦華	中國銀行
銀獎	車禹橋	交通銀行
銅獎	明菲	青島銀行
銅獎	李玉嬌	渤海銀行
銅獎	高潔瓊	北京農商銀行
乙組：一般財富管理組別 - 具備兩年或以上之財富管理工作經驗		
金獎	楊歡	中國建設銀行
銀獎	金嘯	廣發銀行
銅獎	劉翔	中信銀行
銅獎	周洋	北京銀行
銅獎	殷建輝	中國郵政儲蓄銀行
丙組：高端客戶財富管理組別 (客戶流動資產值一百萬美元或以上)		
金獎	過奕璇	中信銀行
銀獎	李淑萍	渣打銀行 (中國)
銅獎	趙寒	渤海銀行
銅獎	井亞娜	中國工商銀行
銅獎	李驥	中國農業銀行
甲組：一般財富管理組別 - 具備兩年以下之財富管理工作經驗		
複選優異獎		
複選優異獎	鄧欣欣	渤海銀行
	王靖怡	北京農商銀行
	孫冉	中信銀行
	陳文	華夏銀行
	李莎莎	中國農業銀行
	羅婷	中信銀行
	彭卿	鄧欣欣
	魏春磊	包商銀行
乙組：一般財富管理組別 - 具備兩年或以上之財富管理工作經驗		
複選優異獎		
複選優異獎	王海泉	華夏銀行
	卯丹	渤海銀行
	齊志欣	上海浦東發展銀行
	張文博	上海浦東發展銀行
	陳軍	中信銀行
	張芮萌	華夏銀行
	吳國君	交通銀行
	肖洪明	平安銀行
	張娜	滙豐銀行 (中國)
丙組：高端客戶財富管理組別 (客戶流動資產值一百萬美元或以上)		
複選優異獎		
複選優異獎	鄧明	中國建設銀行
	王國平	中信銀行
	許冉冉	中國農業銀行
	楊威	廣發銀行
	陳柯	渤海銀行
	徐常偉	中信銀行
	葛從鋒	中信銀行
	謝潔瑋	中國銀行
	潘豔鳳	中國農業銀行

## 附錄八 Appendix VIII

### 第七屆「全國傑出財富管理師大獎」得獎名單

### 7<sup>th</sup> China Outstanding Financial Management Planner Awards Winner List

獎項	姓名	銀行名稱
<b>初選優異獎</b>		
初選優異獎	馬爽	中國銀行
	王思寧	青島銀行
	王乾坤	北京農商銀行
	葉卓偉	徽商銀行
	石磊	中國農業銀行
	劉曉燕	中國郵政儲蓄銀行
	劉穩	北京銀行
	楊乃霖	中國建設銀行
	張丹	浙商銀行
	杜學靜	北京農商銀行
	林恒煒	中國建設銀行
	胡琳	交通銀行
	袁小芳	中國銀行
	顧勝	青島銀行
	梅茜	北京農商銀行
傅振強	渤海銀行	
<b>優秀組織獎</b>		
上海浦東發展銀行		
中國工商銀行		
中國農業銀行		
中國郵政儲蓄銀行		
中國建設銀行		
中國銀行		
中信銀行		
東亞銀行（中國）		
北京農商銀行		
北京銀行		
交通銀行		
渤海銀行		

## 附錄九 Appendix IX

### 2016 香港資訊及通訊科技獎：「最佳金融科技獎」得獎名單 Hong Kong ICT Awards 2016: Best FinTech Award Winner List

獎項	銀行名稱	得獎作品
<b>2016 香港資訊及通訊科技獎：最佳金融科技大獎</b> <b>Hong Kong ICT Awards 2016: Best FinTech Award Grand Award</b>		
	東亞銀行有限公司 The Bank of East Asia, Ltd.	智能數碼分行 Digital Branch
<b>2016 香港資訊及通訊科技獎：最佳金融科技（銀行與保險）獎</b> <b>Hong Kong ICT Awards 2016: Best FinTech (Banking and Insurance) Award</b>		
金獎 Gold Award	東亞銀行有限公司 The Bank of East Asia, Ltd.	智能數碼分行 Digital Branch
銀獎 Silver Award	東蒲 (香港) 有限公司 EAB Systems (Hong Kong) Ltd.	點對點銷售系統 121 System
優異證書 Certificate of Merit	瑞士銀行 UBS AG	UBS Wealth Management app
	銀傳集團 Yintran Group Holdings Ltd.	銀傳支付、收款平台 Yintran - The Money Transfer Network
<b>2016 香港資訊及通訊科技獎：最佳金融科技（新興解決方案）獎</b> <b>Hong Kong ICT Awards 2016: Best FinTech (Emerging Solutions) Award</b>		
金獎 Gold Award	Lattice 有限公司 Lattice Ltd.	Lattice 優美投資組合發掘 (EPD) 決策輔助平台 Lattice Elegant Portfolio Discovery (EPD) Decision-Support Platform
銅獎 Bronze Award	創奇思有限公司 Cherrypicks Ltd.	appsdollar — 換您所想 appsdollar - Redeem your joyous rewards
優異證書 Certificate of Merit	中信銀行 (國際) 有限公司 China CITIC Bank International Ltd.	「WeChat Pay 旅遊保險」及 指紋查賬 WeChat Pay Travel Insurance plus Touch Balance

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