



# Internal Audit in Financial Institutions

16 – 30 January 2018



HKIB CPD	SFC CPT
9 Hours	9 Hours

## Objectives

By the end of program, the participant will be able to:

- Understand the basic principles and the concepts of conducting an internal audit in financial institutions
- Understand the integrated internal control framework
- Understand the relevant laws and guidelines governing the financial institutions and the internal audit function
- Familiarize with the current internal auditing techniques and the standards of IIA

## Programme Outline

- Overview of the rules and guidelines of HKMA
  - Risk assessment of financial institutions
    - Types of risk
    - Role of risk management and its philosophy
    - Ways to control/eliminate risk
- Internal audit function in financial institutions
  - Scope nature and objective
  - Relationship between internal audit and external audit
  - The profession of internal auditing
- Audit process and audit techniques
  - Planning and Survey, Resources allocation, Reporting and
- Monitoring
  - Interviewing, Documentation, Sampling and Confirmation
- Common bank fraud cases
- "Red Flags"
- Common Control Measures

## Target Audience

Banking staff with less than 5 years of experience in internal audit. External auditors, accountants, consultants and other professionals who want to enhance their job competency or anyone who are interested in this subject are also welcome to join.

## Speaker

The speaker has about 25 years of experience in trade finance and internal audit department. He currently works with one of the major local banks as a Senior Audit Manager. Being the Associate of the Hong Kong Institute of Bankers, a Certified Internal Auditor and a Certified Information Systems Auditor, the speaker has substantial training experience in Internal Audit, Accounting, Banking Practice and Commercial Banking.

## Programme Details

Language : Cantonese (supplemented with English materials)  
 Date : 16, 23 & 30 January 2018 (Tuesday)  
 Time : 19:00 - 22:00  
 Duration : 9 hours  
 Venue : 3/F Guangdong Investment Tower,  
 148 Connaught Road Central, Sheung Wan  
 (Sheung Wan MTR Station Exit C)  
 Fee : HK\$2,700 (HKIB Individual Member)  
 HK\$3,240 (Staff of Corporate Member)  
 HK\$3,600 (Non-member)  
 Enrollment : By fax at 2544 9946 or Submit to our Institute in person  
 Enquiries : (852) 2153 7877 / (852) 2153 7865  
 Email : programme@hkib.org

## Registration Form

Internal Audit in Financial Institutions (HP-P18-0112)

Full Name : Mr / Ms \_\_\_\_\_ (In English as on ID Card)  
 Full Name : \_\_\_\_\_ (In Chinese)  
 Membership No : \_\_\_\_\_  
 Organization : \_\_\_\_\_  
 Department : \_\_\_\_\_  
 Position : \_\_\_\_\_  
 E-mail : \_\_\_\_\_  
 Mobile / Phone No : \_\_\_\_\_  
 Mailing Address : \_\_\_\_\_  
(Please complete the below address box if you want to collect the programme certificate)

Payment Method :  A cheque / e-Cheque\* made payable to "The Hong Kong Institute of Bankers" (Cheque no.: \_\_\_\_\_)  
\* For e-Cheque, please state the programme code under 'remarks' and email together with the completed enrolment form to programme@hkib.org  
 Credit Card :  VISA  Master Amount : HK\$ \_\_\_\_\_  
 Cardholder's Name : \_\_\_\_\_ Signature : \_\_\_\_\_  
 Card No. : \_\_\_\_\_ Expiry Date : \_\_\_\_\_ (mm/yy)

## How did you know about this programme?

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

### Terms and Conditions

1. All fees paid are non-refundable and non-transferrable.
2. Participants who have settled payments will receive course confirmation by e-mail within 7 days prior to the programme date.
3. All payments must be settled before programme commencement.
4. Priority of enrolment will be given on a 'first-come-first-serve' basis. HKIB Member will have priority to register if there is limited seat remained for the programme.
5. HKIB would issue the "Certificate of Attendance" to participants who have complied with the "HKIB Attendance Policy". The Certificate will be mailed to the corresponding address within 10 working days after completion of the programme.
6. We reserve the right to reject an enrolment at any time.
7. We reserve the right to cancel, modify and/or postpone the programme due to unforeseen circumstances.
8. The information given and personal data collected will be used for the purpose of administration and communication by the Institute.
9. For the Typhoon or Rainstorm arrangement, please refer to the confirmation e-mail or HKIB's website (www.hkib.org).



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\* This address is only used for sending the programme certificate

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Name : \_\_\_\_\_  
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