



Global Context with Regional & HK Focus – From 2016 to 2018 Year of Compliance

14, 21 & 28 March 2018

HKIB CPD	SFC CPT
9 Hours	9 Hours

Programme Outline

Part 1: Authorities' actions & AML Units set up in Asia in face of regulatory & enforcement trend

- Asia AML Situation in 2016: Singapore set up AML Unit, AMLC tightens anti-laundering rule, how about HK?
- Example study: Anti-Money Laundering Council (Philippines)
- The US Patriot Act controversy
 - Sunset provision & judges challenge

Part 2: Regulations & IFRS 9 in face of regulatory & enforcement trend

- Guide to IFRS 9 implementation
- IASB
- What is IFRS9?
- Classification and Measurement
- Impairment
- Hedge accounting
- Challenges banks shall face
- Audit Committee discussions with Management
 - The CRO & risk function

Part 3: Regulations & CRS & AEOI in face of regulatory & enforcement trend

- Guide to CRS implementation
- AEOI Implementation Schedule
- CRS Concept
- Multilateral Competent Authority Agreement "MCAA" vis-a-vis Intergovernmental Agreement "IGA"
- Information Exchanged & Reporting Years
- Reportable Accounts?
- Challenges financial industry shall face
 - The typical wealth management structure

Speaker

The speaker is currently a consultant for a financial risk consultancy company and was an Executive Director at a well-known Chinese bank. Since 2003, the speaker has been working in the private wealth management field in various banks. Before that, he has worked in capital market and treasury for 12 years. Besides, the speaker has the professional qualifications including Msc in Financial Management by University of London and BA (Hons) by University of Hong Kong. He is also a Financial Risk Manager (FRM), Certified Management Accountant (CMA) and Certified Private Wealth Professional (CPWP).

Objectives

- Maintaining appropriate compliance in the face of frequent rule changes, where AML units are being set up in Asia
- Putting a stop to "de-risking" when in face of regulations led by the US?
- Proper due diligence vs. being too invasive: Philippines' AMLC as an instance for study
- Potential commercial value vs. potential downsides - choosing appropriate business relationships in face of new enforcement cases
- Being vigilant in preparation for regulatory changes

Target Audience

- Bank Executives who wish to understand the global and local compliance trends
- Compliance and risk management practitioners who wish to consolidate their knowledge on AML and compliance regulations.

Programme Details

Language	:	Cantonese (supplemented with English materials)
Date	:	14, 21 & 28 March 2018 (Wednesday)
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 HKIB 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

Global Context with Regional & HK Focus – From 2016 to 2018 Year of Compliance (HP-P18-0311)

Full Name : Mr / Ms _____ <small>(In English as on ID Card)</small>	Full Name : _____ <small>(In Chinese)</small>
Membership No : _____	Organization : _____
Department : _____	Position : _____
E-mail : _____ <small>(Confirmation will be sent via e-mail one week before programme commences)</small>	Mobile / Phone No : _____
Mailing Address : _____ <small>(Please provide a mailing address box if you want to collect the programme certificate)</small>	

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

How did you know about this programme?

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

Terms and Conditions

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



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