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ECF AML/CFT CPD	HKIB CPD	SFC CPT
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Programme Objectives & Outlines

Programme	Objectives	Outlines
AML/CFT		
Practical Understanding of the Anti-Money Laundering (AML) and Counter-Financing of Terrorism (CFT) HD-P18-0608	<div style="background-color: #FFD700; padding: 2px; display: inline-block; font-weight: bold;">3 Hours</div> <ul style="list-style-type: none"> ▪ Understand the applicable regulatory requirements on AML and CFT; ▪ Identify the warning signs of suspicious transactions; and ▪ Know the expectations from the authorities/regulators and consequences of non-compliance 	<ul style="list-style-type: none"> ▪ Concepts of Money Laundering and Terrorist Financing ▪ Overview of the AMLO, relevant rules and guidelines ▪ Politically Exposed Persons (PEPs) ▪ Know Your Client (KYC) ▪ Customer Due Diligence (CDD) ▪ Risk based approach ▪ Indicators of suspicious activities commonly encountered ▪ Suspicious Transaction Reporting and Joint Financial Intelligence Unit ▪ Key elements of an effective AML Program ▪ Case study (Hong Kong, Regional and International)
反洗黑錢 - 如何面對香港的相關條例與刑罰？ HD-P18-0712	<div style="background-color: #FFD700; padding: 2px; display: inline-block; font-weight: bold;">6 Hours</div> <ul style="list-style-type: none"> ▪ 究竟甚麼是「洗黑錢」呢？ ▪ 怎樣「洗」？涉及多少錢？ ▪ 「洗黑錢」在法律上而言是甚麼意思？ ▪ 如洗黑錢而被定罪，會被監禁多久？ <p>以上的問題都是銀行及金融業從業員當前所關心的監管事件。透過這兩節課程，學員應該大致上清楚「洗黑錢」在法律上的定義及產生過程，更重要是相關的條例與刑罰。</p>	<ul style="list-style-type: none"> ▪ 何謂洗黑錢風險？ ▪ 洗錢的目的 ▪ 在銀行業、證券業和保險業可能洗錢的方法 ▪ 條例與刑罰 ▪ 洗錢的手法 ▪ 「清洗黑錢」的可能途徑 ▪ 「白手套」是甚麼意思？ ▪ 聯合國（反恐怖主義措施）條例（UNATMO）可疑報告 ▪ 2012年的變化 ▪ 重要案例 ▪ 概括常見的可能洗錢方法 ▪ 中國刑罰 ▪ 其它跨國反洗錢法規
Risk Management, Compliance and Regulatory		
Risk Management: Corporate Governance for Fraud Prevention for Banks with China Business Exposures HD-P18-0604	<div style="background-color: #FFD700; padding: 2px; display: inline-block; font-weight: bold;">6 Hours</div> <ul style="list-style-type: none"> ▪ This course will discuss the good practices as well as the internal control and corporate governance framework to fight against fraud. It helps the bankers in Hong Kong to determine the levels of corporate governance of their clients (especially for corporate lending) and facilitate the process for post-credit monitoring. 	<ul style="list-style-type: none"> ▪ What is corporate governance ▪ Characteristics of corporate governance for China clients ▪ What is fraud and cost of fraud ▪ Types of financial fraud in China ▪ China Corporate governance guidelines and regulation ▪ Parties involved in the corporate governance in China business context ▪ Fraud related responsibilities in China business context ▪ External auditors and internal auditors ▪ Role of corporate governance for against fraud ▪ Principles of corporate governance and its functions ▪ Management responsibilities of internal control ▪ Fraud risk management ▪ Fraud prevention policy and program



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<p>中國銀行業及相關法規概論 HD-P18-0605</p> <p style="text-align: right;">6 Hours</p>	<ul style="list-style-type: none"> 有見中港兩地的跨境融資業務日益增多、跨境人民幣貸款業務的增長、兩地股市互通及亞投行的成立，中國與香港的商業活動愈來愈頻繁。銀行業也跟從這趨勢作兩地融合。在融合的過程中，由於兩地的法規及法律環境不同，往往令香港從業員在統籌跨境人民幣業務時遇到一定的困難與挑戰。 本課程協助學員認識中國銀行業及相關法規，並提高全方位的業務分析力，從而制定相應的跨境人民幣業務的商業策略。 	<ul style="list-style-type: none"> 監管機構與組織 銀行業從業機構 銀行的主要業務 銀行業法律監管規定
<p>Managing Operational Risk in Banking Context HD-P18-0606</p> <p style="text-align: right;">3 Hours</p>	<ul style="list-style-type: none"> This program is designed to provide the participants with an understanding of working in an ever changing operation environment in banking context in Hong Kong, and sustain their position in banking industry when in face of challenging regulatory environment. 	<ul style="list-style-type: none"> What is risk? What is operational risk? Risk event categorization with cases How can operational risk events be reported? How can operational risk be managed with three lines of defense How to make use of stress testing & develop a good culture handling risk? Two risk management tools
<p>Quantitative Analysis of Internal Rating Based (IRB) Approach HD-P18-0705</p> <p style="text-align: right;">9 Hours</p>	<ul style="list-style-type: none"> Describe how the capital charge for credit risk is calculated using the Internal Ratings-Based (IRB) approaches Understand the building blocks of the IRB approaches and the IRB risk weightings under BASEL II for selected assets Discuss the design and types of rating systems, the methods to estimate probability of borrower rating, and the quantification of risk components Understand the validation of IRM models, including the HKMA approach 	<ul style="list-style-type: none"> Introduction to Internal Rate-Based Approach Building Blocks of the IRB Approaches IRB and Selected Exposures Internal Rating System Validation of IRB Models
<p>中國公司法概論 (從融資角度進發) HD-P18-0711</p> <p style="text-align: right;">6 Hours</p>	<ul style="list-style-type: none"> 由於中港兩地的商業往來愈來愈多，很多中國企業也會選擇到香港作融資。銀行作為香港的融資提供者之一，當中會涉及很多借款人及擔保公司資歷的核查。在了解這些公司的資歷及結構時，對於中國公司法的了解確實很重要，以規避相關業務敘做時的風險。 本課程為學員提供全面性的中國公司法理論。完成此課程後，學員可獨立分析中國公司法中的重要條例及從中了解可能性的融資發展機會。 	<ul style="list-style-type: none"> 融資過程中對相關公司法了解的重要性 中國公司法系統概論 融資顧問最新公司法中的機遇 案例分析 公司法內容
<p>Common Reporting Standard – How to deal with the Mainland China/ PRC implementation & PRC clientele? HD-P18-0713</p> <p style="text-align: right;">3 Hours</p>	<ul style="list-style-type: none"> Why should even veterans be afraid of CRS & AEOI on HK implementation? When maintaining appropriate compliance in the face of frequent rule changes, CRS is being focused. In dealing with proper due diligence vs. being too invasive: CRS is an instance for study. With most recent enforcement cases, standard of the candidates, whether being of frontline, compliance, risk management, coaching, management, etc. shall be enhanced 	<ul style="list-style-type: none"> Background behind Implementation of CRS Global Tax Transparency Accuity 2016-11-16 survey on Anti-Money Laundering (AML) and Know Your Customer (KYC) Suspicious Transaction Reports China Capital Flow Crackdown Results In \$148 Billion Bust Upon China “CRS” Implementation & Impact upon Hong Kong History, Implementation & Application

Programme Details

Language	: Cantonese (supplemented with English materials)	Venue	: 3/F Guangdong Investment Tower, 148 Connaught Road Central, Sheung Wan
Date	: June – July 2018	Special Offer	: Enroll 2 or more programmes in one time, enjoy a 10% discount off
E-mail	: programme@hkib.org		
Enquiry Hotline	: 2153 7877 / 2153 7865		
Enrollment	: By fax at 2544 9946 / In person to our Institute		



ECF AML/CFT CPD Programme Series

June – July 2018



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Registration Form

Programmes	Time	Course Fees (Regular Price/ Discount Price)
<input type="checkbox"/> Practical Understanding of the Anti-Money Laundering (AML) and Counter-Financing of Terrorism (CFT) HD-P18-0608	3 Hours 20 Jun (Wed) 19:00 - 22:00	Price for Programmes with 3 Training Hours <input type="checkbox"/> Individual Member (HK\$900 / HK\$810) x ____ Class(es) = HK\$ _____ <input type="checkbox"/> Staff of Corporate Member (HK\$1,080 / HK\$970) x ____ Class(es) = HK\$ _____ <input type="checkbox"/> Non-member (HK\$1,200 / HK\$1,080) x ____ Class(es) = HK\$ _____
<input type="checkbox"/> 反洗黑錢 - 如何面對香港的相關條例與刑罰? HD-P18-0712	6 Hours 9 & 16 Jul (Mon) 19:00 - 22:00	Price for Programmes with 6 Training Hours <input type="checkbox"/> Individual Member (HK\$1,800 / HK\$1,620) x ____ Class(es) = HK\$ _____ <input type="checkbox"/> Staff of Corporate Member (HK\$2,160 / HK\$1,944) x ____ Class(es) = HK\$ _____ <input type="checkbox"/> Non-member (HK\$2,400 / HK\$2,160) x ____ Class(es) = HK\$ _____
<input type="checkbox"/> Risk Management: Corporate Governance for Fraud Prevention for Banks with China Business Exposures HD-P18-0604	6 Hours 4, 11 Jun (Mon) 19:00 - 22:00	Price for Programmes with 9 Training Hours <input type="checkbox"/> Individual Member (HK\$2,700 / HK\$2,430) x ____ Class(es) = HK\$ _____ <input type="checkbox"/> Staff of Corporate Member (HK\$3,240 / HK\$2,916) x ____ Class(es) = HK\$ _____ <input type="checkbox"/> Non-member (HK\$3,600 / HK\$3,240) x ____ Class(es) = HK\$ _____
<input type="checkbox"/> 中國銀行業及相關法規概論 HD-P18-0605	6 Hours 16, 23 Jun (Sat) 10:00 - 13:00	
<input type="checkbox"/> Managing Operational Risk in Banking Context HD-P18-0606	3 Hours 6 Jun (Wed) 19:00 - 22:00	
<input type="checkbox"/> Quantitative Analysis of Internal Rating Based (IRB) Approach HD-P18-0705	9 Hours 12, 19 & 26 Jul (Thu) 19:00 - 22:00	
<input type="checkbox"/> 中國公司法概論 (從融資角度進發) HD-P18-0711	6 Hours 21 & 28 Jul (Sat) 14:00 - 17:00	
<input type="checkbox"/> Common Reporting Standard – How to deal with the Mainland China/ PRC implementation & PRC clientele? HD-P18-0713	3 Hours 19 Jul (Thu) 19:00 - 22:00	

Full Name : Mr / Ms _____ (In English as on ID Card) Full Name : _____ (In Chinese)

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

Terms and Conditions

- All fees paid are non-refundable and non-transferrable.
- 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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