

Regulatory Compliance Framework in Banking and Brokerage in Hong Kong

Programme Code: HGCP00P23102

12 October 2023 (Thursday)
7:00pm – 10:00pm



3 HOURS
HKIB ECF SFC
CPD CPD CPT

Programme Outline

1. Overview of Regulations under the Hong Kong Monetary Authority
2. Discussion of the Corporate Governance and related requirements for AIs and financial institutions
3. Banking and brokerage regulatory requirements on:
 - a) Credit risk management
 - b) Liquidity risk management
 - c) Market risk management
 - d) Operational risk management
4. HKMA real cases sharing along with the above content

Speaker Introduction

The speaker is a Senior Vice President of the regional compliance team in a major U.S. bank. He has over 20 years of risk and compliance experience in the banking and finance industry. He delivered Qualification Programme (QP) Workshops at the HKICPA for over 10 years and developed & delivered an executive certificate in finance and compliance at a tertiary educational institution. He is a founding committee member of the Asia chapter of the Institute of Operational Risk. He was accredited the Associate AML Professional (AAML) and the Financial Risk Manager (FRM), and he is a Certified Public Accountant (CPA) in Hong Kong.

Target Audience

1. Banking Practitioners
2. HKIB Professional Qualification holders :

CRWP ARWP CORP AORP
ACsP ACRP CCRP(CPM)
CCRP(CL)



Programme Delivery

Virtual Classroom (Zoom)
Cantonese

Early Bird DEADLINE

28 September 2023 (Thursday)

Application DEADLINE

5 October 2023 (Thursday)



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900

HKD990

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1,080

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HKD1,320