

The Importance of Governance and Management Responsibilities for Financial Institutions in Hong Kong

Programme Code: HGCP00P25062

5 June 2025 (Thursday)
12:00nn – 2:00pm

2 HOURS
HKIB ECF SFC
CPD CPD CPT

Programme Outline

This course aims to share the international standards and local regulatory expectations on an effective governance framework in financial institutions, and the importance for the senior management to understand their responsibilities and legal obligations when discharging their responsibilities.

- Overview of the international standards on governance and local regulatory framework for the financial services sector.
- Highlight the legal obligations and regulatory expectations on senior management by the local regulators on banks and licensed corporations.
- Discuss the lessons learnt from the enforcement cases and the challenges faced by the financial services sector.

Speaker Introduction

The speaker held regional leadership roles in various international financial institutions, providing management oversight on compliance, AML/CFT, legal, conduct and governance in relation to private banking, corporate banking, investment banking, global markets and securities businesses. In addition to her diversified exposures in the regulatory framework of different countries, she has a record of fostering sound culture and integrity.

She is a fellow member of the Association of Chartered Certified Accountants and the Hong Kong Institute of Certified Public Accountant, and holds BA (Hons) Degree in Accountancy, Degree in Laws, Master of Science Degree in Finance and Master in Business and Administration.



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Enquiry :
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<https://hkib.org/page/185>

Target Audience

1. Banking Practitioners
2. Compliance Officers and Risk Managers
3. Professionals in Financial Institutions,
4. Legal and Regulatory Compliance Professionals
5. HKIB Professional Qualification holders :



Programme Delivery

Virtual Classroom (Zoom)
Cantonese

Application DEADLINE

29 May 2025 (Thursday)

PRICE LIST

Price

Individual
Member
HKD

HKD660

Staff of
Corporate
Member
HKD

HKD800

Non-
Member
HKD

HKD880