

Revisit Banking Compliance: From Conduct to Culture, to Effective Risk Management

Programme Code: HGCP00P25073

22 July 2025 (Tuesday)
12:00nn – 14:00pm

2 HOURS
HKIB ECF SFC
CPD CPD CPT

Programme Outline

1. Introduction to Banking Compliance in Hong Kong: HKMA's regulatory role, focusing on Conduct, Culture, and Risk Management for financial stability and global reputation.
2. Conduct: Upholding Ethical Standards: Key HKMA Guidelines, case study on mis-selling, and lessons on customer understanding and control prioritization.
3. Culture: Shaping Ethical Foundations: Values, attitudes, case study on LIBOR scandal, emphasizing senior accountability and ethical incentives.
4. Risk Management: Safeguarding Stability: Identifying, assessing, mitigating risks, with case studies on AML/CTF and cybersecurity incidents, stressing real-time monitoring.
5. Interconnections and Supervisory Approach: Understanding the link between Conduct, Culture, and Risk Management, HKMA's risk-based supervision, and consequences of non-compliance

Speaker Introduction

The speaker currently serving as the Chief Executive of RD Wallet (SVF0016) and a Board Director of RD ezLink, this professional holds significant expertise in financial services. With a background in financial crime compliance and executive leadership, they bring a wealth of experience from various banking and regulatory roles.

Certified Anti-Money Laundering Specialist (CAMS), Certified AML Professional (CAMLPA), Fellow of the Hong Kong Securities and Investment Institute (FHKSI); and Master degrees in Law (LLM, CUHK), Banking (MSc, CityU), and Asian Studies (MA, HKU); Bachelor degrees in Public & Social Administration (BA(Hons), CityU) and Law (LLB, MMU, UK).



APPLY NOW!

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

Target Audience

1. Banking Practitioners
2. Compliance Officers and Risk Managers
3. Legal Professionals and Ethics and Culture Specialists
4. HKIB Professional Qualification holders :



Programme Delivery

Virtual Classroom (Zoom)
Cantonese

Application DEADLINE

15 July 2025 (Tuesday)

**PRICE
LIST**

Price

Individual
Member
HKD

HKD660

Staff of
Corporate
Member
HKD

HKD800

Non-
Member
HKD

HKD880