

# What Banks Should Know When Handling Frauds and Misconduct Incidents

Programme Code: HGCP00P25103

**21 October 2025 (Tuesday)**  
**7:00pm – 10:00pm**

**3 HOURS**  
HKIB ECF SFC  
CPD CPD CPT

## Programme Outline

Fraud and misconduct incidents can cause significant financial loss, reputational harm, and regulatory consequences for financial institutions. This course equips participants with the knowledge and tools to effectively handle and manage such incidents, while meeting regulatory expectations and strengthening internal controls.

### Key Learning Points

- Highlight the importance of understanding and managing fraud risks and misconduct acts by financial institutions, and the relevant regulatory implications associated with those risks.
- Discuss the recent trend of fraud risks and red flags, and challenges to financial institutions when implementing an effective fraud prevention framework.
- Share the best practices when handling fraud and misconduct cases by financial institutions, and the key legal and regulatory requirements to be observed.
- Explore case studies of misconduct and fraud scenarios, and the lessons learnt.

## 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 ACCA and the HKICPA, and holds BA (Hons) Degree in Accountancy, Degree in Laws, Master of Science Degree in Finance and Master in Business and Administration.

## 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

14 October 2025 (Tuesday)



### [APPLY NOW!](#)

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

**PRICE  
LIST**

Price

Individual  
Member  
HKD

HKD990

Staff of  
Corporate  
Member  
HKD

HKD1,200

Non-  
Member  
HKD

HKD1,320