

Mastering Risk, Ethics, and Compliance in Wealth Management

Programme Code: HGCP00P25112

4 November 2025 (Tuesday)
7:00pm – 9:00pm

2 HOURS
HKIB ECF SFC
CPD CPD CPT

Programme Outline

This course equips participants with the critical skills to navigate conduct risk and uphold ethical standards in compliance with Hong Kong's regulatory framework. Explore the conduct risk and its importance in Hong Kong's wealth management sector, including its implications for client trust and market integrity.

- Examine key ethical principles such as integrity, transparency, and fairness, and their role in guiding behavior in financial services.
- Review the latest regulatory requirements on the SFC's Code of Conduct, HKMA guidelines, and IA regulations, focusing on the requirements for ethical conduct and compliance.
- Highlight the importance of understanding client needs through suitability assessments and effectively managing conflicts of interest.

Speaker Introduction

The speaker, a seasoned legal and compliance professional with over 23 years of experience in regulatory affairs across Banking, Wealth Management, and Insurance. A qualified solicitor in Hong Kong and the UK, with a Master's in IT and Telecommunication Law. Currently Head of Compliance at a top insurance company, she held senior roles in global financial institutions, focusing on regulatory compliance, risk management, and policy development. Extensive collaboration with regulators like the HKMA, SFC, and IA provides invaluable insights into regulatory landscapes

Target Audience

1. Banking Practitioners
2. Professionals in the financial services, Compliance Officers, Wealth Management and Risk Management Professionals,
3. HKIB Professional Qualification Holders:



Programme Delivery

Virtual Classroom (Zoom)
Cantonese

Application DEADLINE

28 October 2025 (Tuesday)



APPLY NOW!

Enquiry :
(852) 2153 7800
programme@hkib.org
<https://hkib.org/page/185>

**PRICE
LIST**

Price

Individual
Member
HKD

HKD660

Staff of
Corporate
Member
HKD

HKD800

Non-
Member
HKD

HKD880