

Supervisory Work of the HKMA on Selling of Investment and Insurance Products by Authorized Institutions

20 March 2018 (Tuesday)

Key Session Features

Many Authorized Institutions (AIs) in Hong Kong offer wealth management and other financial services, in addition to general banking services. Considering the unique circumstances of the banking environment and a special trust in banks by their customers, the HKMA has implemented a number of enhanced investor protection measures, and has provided guidance to AIs on its regulatory standards in respect of selling of investment and insurance products.

The HKMA will explain the regulatory standards, share its experience in supervising banks' implementation of the measures and provide practical guidance to handle implementation issues.

Target Participants

The seminar is useful for banking practitioners **at all levels of all AIs** (particularly those who supervise or are involved in due diligence, sales process, risk management, legal and compliance, and internal audit) who would like to understand more about the HKMA's supervisory work on banks' selling of investment and insurance products, and implementation issues of the regulatory measures.

** Limited seats.*

Early enrollment is recommended.

Speakers

Daniel Leong
Division Head, Banking Conduct Department
The Hong Kong Monetary Authority

together with his Senior Managers:
Andrew Ng, Andy Lam and Kevin Sham

Seminar Details

	HKIB CPD	SFC CPT
	2 Hours	2 Hours
Date	: 20 March 2018 (Tuesday)	
Time	: 3:00 pm – 5:00 pm (2 hours)	
Registration	: 2:30 pm	
	Please present photo identity proof or two business cards for registration.	
Venue	: Hong Kong Institute of Bankers 3/F Guangdong Investment Tower 148 Connaught Road Central Sheung Wan (Sheung Wan MTR Station Exit C)	
Language	: English	
Fee	: HK\$300 per participant	
Enrollment	: By Fax at (852) 2544 9946 or By Email to programme@hkib.org	
Enquiry	: (852) 2153 7818 (852) 2153 7865	

Please complete in English

Registration
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Selling of Investment and Insurance Products by Authorized Institutions

No	Surname	First Name	Department	Position	Contact no.	E-mail Address (Confirmation e-mail will be sent one week before course commencement)
	(Same as on ID Card)					
1						
2						
3						
4						
5						
6						

Company Name : _____

Mailing Address : _____

(Please complete the below address box if you want to collect the programme certificate)

Contact Person (if applicable)

Name : _____ Position : _____

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Payment Method

Cheque / e-cheque* made payable to "The Hong Kong Institute of Bankers"

Amount : HK\$ _____ Cheque no. _____

* For **Cheque**,
please mail to: **The Hong Kong Institute of Bankers, 3/F., Guangdong Investment Tower, 148 Connaught Road Central, Hong Kong**

* For **e-Cheque**,
please state the **programme code** under "remarks" and **email together with the completed registration form to programme@hkib.org**

Credit Card : VISA / Master

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Terms and Conditions

1. All fees paid are non-refundable and non-transferrable.
2. Participants who have settled payments will receive course confirmation by e-mail prior to the course commencement.
3. All payments must be settled before course commencement.
4. Priority of enrolment will be given on a 'first-come-first-serve' basis.
5. HKIB would issue the "Certificate of Attendance" to participants who have complied with the "[HKIB Attendance Policy](#)". The Certificate will be mailed to the corresponding address within 10 working days after completion of the programme.
6. We reserve the right to reject an enrolment at any time.
7. We reserve the right to cancel, modify and/or postpone the course due to unforeseen circumstances.
8. The information given and personal data collected will be used for the purpose of administration and communication by the Institute.
9. For the typhoon or rainstorm arrangements, please refer to the confirmation e-mail or HKIB's website (www.hkib.org).

* This address is only used for sending the programme certificate and official receipt.

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