

Technology
and Data
Soft
Skills
Banking
Knowledge

Suitability Standard: Core Foundations, Case Insights, and Path Ahead

Programme Code: THRCPO0P26093

30 September 2026 (Wednesday)
8:00pm – 10:00pm

2 HOURS

**HKIB SFC PWMA
CPD CPT OPT**

Programme Outline

Section 1: Foundations of Suitability Standard

- Definition of suitability
- Hong Kong regulatory context (SFC Code of Conduct, HKMA guidelines)
- Key principles: Know Your Client (KYC), risk profiling, product appropriateness

Section 2: Core Requirements in Practice

- Client profiling: financial situation, investment objectives, risk tolerance
- Documentation and disclosure standards
- Role of front-line staff vs. compliance oversight

Section 3: Case Insights

- Case studies from Hong Kong retail banks (e.g., mis-selling, inadequate risk disclosure)
- Analysis of regulatory enforcement outcomes
- Lessons learned: what went wrong, how to prevent recurrence

Section 4: Path Ahead – Strengthening Suitability Culture

- Emerging trends: digital channels, robo-advisory, ESG products etc.
- Strengthening internal controls and monitoring
- Building a compliance culture: training, accountability, escalation protocols

Section 5: Wrap-Up & Q&A

- Recap of key takeaways

Speaker Introduction

The speaker has over 20 years' experience in the financial services industry. Currently, she teaches compliance and regulations in a local university as an adjunct associate professor. Previously, she served as the Head of Compliance for private banks. The speaker holds professional qualifications including CFA, FCCA, Certified Banker, CAMLP, CCOP(GC) and CCOP(IIC) etc. In addition, she holds a Master's degree in Regulation.

Target Audience

1. Banking Practitioners
2. Compliance Officers, Relationship Managers and IT Professionals
3. HKIB Professional Qualification Holders (eligible for CPD Core Hours):

CCOP(GC) CCOP(IIC) ACOP

CCRP(CI) CCRP(CPM) ACRP CRWP ARWP

CPFinT(M) CPFinT(S-AIBD) CPFinT(S-DLI) CPFinT(S-OBAP) CPFinT(S-RT) CPFinT(A)

CORP AORP ACsP



Programme Delivery

Virtual Classroom (Zoom)
Cantonese



Application DEADLINE

23 September 2026 (Wednesday)



APPLY NOW!

Enquiry : (852) 2153 7800

cs@hkib.org

<https://hkib.org/page/284>

**PRICE
LIST**

Price

Individual
Member
HKD

HKD660

Staff of
Corporate
Member
HKD

HKD800

Non-
Member
HKD

HKD880