

Technology
and Data
Soft
Skills
Banking
Knowledge

Tax Compliance for Banks: FATCA, CRS and QI

Programme Code: THRCPO0P26103

23 October 2026 (Friday)

12:00nn – 2:00pm

 **2
HOURS**
HKIB SFC PWMA
CPD CPT OPT

Programme Outline

1. Regime Overview

- Purpose and scope of FATCA, CRS and QI.
- Key differences between tax reporting and withholding regimes.
- Main compliance risks for banks.

2. FATCA and CRS Requirements

- Customer classification and due diligence.
- Self-certifications, W-8/W-9 forms and tax residency information.
- US indicia, controlling persons and reportable accounts.
- Reporting, record-keeping and ongoing monitoring.

3. QI Requirements

- US-source income withholding and reporting obligations.
- Beneficial owner documentation and treaty benefit claims.
- Withholding rate determination and QI governance.
- Common QI compliance issues.

4. Practical Bank Workflow

- Onboarding and documentation collection.
- Validation, remediation and change-in-circumstances handling.
- Reporting/withholding process and audit trail.
- Internal controls and escalation.

5. Avoiding Tax Advisory Risk

- Distinguishing bank compliance support from customer tax advice.
- Appropriate client communication and disclaimers.
- Practical red flags and escalation points.

Speaker Introduction

The speaker is the former Chief Executive of a licensed SVF, 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).

Target Audience

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



Programme Delivery

Virtual Classroom (Zoom)
Cantonese

Application DEADLINE

16 October 2026 (Friday)



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