

Technology
and DataSoft
SkillsBanking
Knowledge

Sound Corporate Governance - The Path to Success

Programme Code: THGRS00P26062

23 June 2026 (Tuesday)

7:00pm – 10:00pm



HKIB SFC PWMA
CPD CPT OPT

Programme Outline

1. Corporate Governance and its importance
2. Transparency and disclosure -Hong Kong Society of Accountants - Corporate Governance Disclosure requirements
3. Understanding other key governance requirements - USA Sarbanes Oxley Act - purpose, impact and enforcement
4. Comparing Hong Kong Corporate Governance with USA Sarbanes Oxley Act requirements
5. Key regulatory guidelines on Corporate Governance in banking industry
 - CG-1: HK Corporate Governance of Locally Incorporated Authorised Institutions: The primary guide for governance structure, roles, and duties.
 - CG-5: Guideline on a Sound Remuneration System: Focuses on aligning pay with risk - how bank should reacts
 - CG-6: Competence and Ethical Behavior: bank culture reform, conduct management, Enhanced Competence Framework (ECF)
 - IC-1: Risk Management Framework: Sets expectations for managing risks.
 - GS-1: Climate Risk Management: Addresses environmental risk governance - 3 phases of green banking approaches
6. Other specific areas requires attention
 - Board Composition & Independence - Directors and Independent Non Executive Directors (INED), board structure, Hong Kong Vs China (demonstrated by an international bank structure against a China Bank)
 - Specialised Committees of the Board - when to form, who to chair
 - Group Governance (Parent vs. Subsidiary) - HKMA's requirements under consolidated supervision
 - Supervisory Review - HKMA Prudential meeting and CAMEL rating
7. Less than satisfactory governance and its impact on reputation - common mistakes
8. HKMA assessment criteria on a bank's reputation risks

Speaker Introduction

The speaker previously served as the Deputy Group Head of Personal and Commercial Banking at a major commercial bank in Hong Kong, with over 35 years of experience in the banking industry. He focused on retail banking, fintech, operational risk management, anti-money laundering, counter-terrorist financing, and internal auditing. He is also a member of the Executive Committee for China Retail Banking at a currency-issuing bank in Hong Kong, where he serves as an Executive Director. He has held several senior positions at the bank, including Head of Internal Audit for Retail Banking in the Asia-Pacific region, responsible for non-credit audits across 11 countries, and has extensive experience in business management.

The speaker has comprehensive experience in sales, operations, and risk management. He holds a Master Degree of Business Administration (MBA) from the University of Leicester and is a Certified Operational Risk Professional (CORP), a Certified Anti-Money Laundering Specialist (CAMS), and Certified Internal Auditor (CIA, 2000-2016)

Target Audiences

1. Banking Practitioners
2. Risk Management Professional, Compliance Officer and Relationship Managers
3. HKIB Professional Qualification holders (eligible for CPD Core Hours) :

CCOP(GC) CCOP(ICC) ACOP

CCRP(CL) CCRP(CPM) ACRP CRWP ARWP

CPFinT(M) CPFinT(S-AIBD) CPFinT(S-OBAPI) CPFinT(S-DUT) CPFinT(S-RT) CPFinT(A)

CORP AORP ACSP



Programme Delivery

Virtual Classroom (Zoom)
Cantonese



Application DEADLINE

16 June 2026 (Tuesday)



APPLY NOW!

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LIST

Price

Individual
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HKD1,200

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HKD1,320