

CPD Training Course

Financial Management Series

27-28 Nov 2019

Modules

證券業監管制度(新)
 27/11/2019 (Wed)
 09:30-12:30

Risk Management and
 Internal Control for
 Listed Companies
 27/11/2019 (Wed)
 14:00-16:00

Anti-money Laundering
 Ordinance (AMLO)
 27/11/2019 (Wed)
 16:00-18:00

Updates on Corporate
 Governance Code and
 Associated Listing Rules
 28/11/2019 (Thu)
 09:30-12:30

The Global AML/CFT
 Standard (NEW)
 28/11/2019 (Thu)
 14:00-16:00

Transaction Monitoring and
 Screening (NEW)
 28/11/2019 (Thu)
 16:00-18:00

Outline

- 證券業監管制度概論
- 市場監管機構
- 市場失當行為 (MM)
- 偵察及調查市場失當行為
- 反清洗黑錢及反恐融資活動
- 國際相互合作
- 證監會與警方的溝通渠道

- Overview of Risk Management & Internal Control of Chinese enterprises
- Risk Management and Internal Control Framework & Application
- Snapshot of updates in Corporate Governance Code and related Listing Rules

- What is money laundering?
- Legislation concerned with Money Laundering
- Recognition and reporting of suspicious transactions
- Introduction to Anti-money laundering and counter-terrorist financing (financial institutions) ordinance (Cap. 615 of the laws of Hong Kong) ("AMLO")

- Overview on Corporate Governance ("CG")
- Highlights on CG of Hong Kong Listed Companies
- Board Diversity
- Critical Issues about CG

- The international / regional AML organizations
- The Global standard : FATF 40 recommendations on AML/CFT
- FATF to monitor the global standard

- Sanction requirements : legislation, guideline, and US executive orders
- Name screening for KYC and transaction screening (real time and post transaction)
- Transaction monitoring (system and work flow)
- STR reporting and subsequent handling of reported customer

Aim and Objective

Aim to help professionals and executives obtain the latest knowledge on financial, management information to improve their capabilities, increase risk awareness of the changing trends of direction in their professional. We are committed to provide high quality and most updated information to enhance their knowledge and competitiveness. Meanwhile, in response to the regulations of the CSRC, a series of courses on the "Anti-Money Laundering and Terrorist Funds Raising Regulations" were launched to give participants a deeper understanding of the relevant regulations.

Professional Instructors

Mr. Lowell Lo (CPA, AICPA, ISACA, SIFM)
Chairman and Executive Director
BM Intelligence Group

Ms. Queenie Ho (ACS, ACIS(PE))
Director
BMI Listed Corporate Services Limited

Mr. Ricky Ho (CPA, FCCA, CIA, CISA, CTA(HK))
Director
AVISTA PRO-WIS Risk Advisory Limited

Mr. Vincent Li (ACA, FCCA, FCPA(Practising))
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Mr. Huang Tak Wan Oswald
Solicitor, Hong Kong (Non-practising), CA (Singapore),
FCCA, JD, PCLL

Mr. Stephen Chan (CPA, AAS)
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Mr. Gawain Ma (CFP)
Senior Manager
BMI Funds Management Limited

Ms. May Chan
Managing Partner
Asian Alliance (HK) CPA Limited

Mr. Simon Leung
Professional AML/CFT trainer and consultant

Mr. Armond Chan
Practicing Barrister
Former Chief Superintendent of Hong Kong Police Force

Mr. Samuel Lee (FCPA)
Director
Fuson CPA Limited

Register Now!



Course Name	Language	Date & Time	Charge(HKD)
<input type="checkbox"/> 證券業監管制度 (新)	Cantonese	27/11/2019 (Wed) 09:30-12:30	450/360#
<input type="checkbox"/> Risk Management and Internal Control for Listed Companies	Cantonese	27/11/2019 (Wed) 14:00-16:00	300/240#
<input type="checkbox"/> Anti-money Laundering Ordinance(AMLO)	English	27/11/2019 (Wed) 16:00-18:00	300/240#
<input type="checkbox"/> Updates on Corporate Governance Code and Associated listing rules	Cantonese	28/11/2019 (Thu) 09:30-12:30	450/360#
<input type="checkbox"/> The Global AML/CFT standard (NEW)	English	28/11/2019 (Thu) 14:00-16:00	300/240#
<input type="checkbox"/> Transaction monitoring and screening (NEW)	Cantonese	28/11/2019 (Thu) 16:00-18:00	300/240#

Please tick ☒ your desired course(s).
20% off for supporting units members
Attendance certificate will be issued after the course(s).

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ii) ☐ Bank Transfer * (A/C No.: 787 – 102524 - 883) Hang Seng Bank Limited

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