



## Rundown and Speakers

**18 November 2015 P.M. & 30 November 2015 P.M. (Cantonese) and 24 November 2015 A.M. (English)**

Each seminar will cover the same topics, as follows:

Time (A.M. session)	Time (P.M. sessions)	Topic	Speakers
09:15- 09:30	13:30- 13:45	<b>Registration</b>	
09:30- 10:30	13:45- 14:45	<ul style="list-style-type: none"> <li>• AML/CFT regulatory updates</li> <li>• Risk-based approach to AML/CFT measures               <ul style="list-style-type: none"> <li>- Institutional risk assessment</li> <li>- Customer risk assessment</li> <li>- Additional CDD measures on higher risk customers</li> <li>- Risk-based transaction monitoring procedure / system</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Mr Raymond Wong, Director</li> <li>• Mr Ronald Mak, Senior Manager</li> <li>• Mr Ivan Wan, Manager</li> </ul> <p>Intermediaries Supervision, Intermediaries Securities and Futures Commission</p>
10:30- 10:50	14:45- 15:05	<b>Break</b>	
10:50- 11:35	15:05- 15:50	<ul style="list-style-type: none"> <li>• JFIU presentation on suspicious transaction reporting</li> </ul>	<ul style="list-style-type: none"> <li>• Ms Stephanie Kwok, Inspector of Police – 18 Nov 2015</li> <li>• Mr Ryan Man, Senior Inspector of Police – 24 Nov 2015</li> <li>• Ms Ruby Lo, Senior Inspector of Police – 30 Nov 2015</li> </ul> <p>Joint Financial Intelligence Unit</p>
11:35- 12:10	15:50- 16:25	<ul style="list-style-type: none"> <li>• Implementation of risk-based AML/CFT system from a private sector perspective, particularly:               <ul style="list-style-type: none"> <li>- AML management &amp; governance</li> <li>- Institutional / customer risk assessment process</li> <li>- Risk-proportionate approach to CDD and transaction monitoring policies, procedures and controls</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Mr Calvin Wong, Managing Director, Head of Legal &amp; Compliance Division, BOC International Holdings Limited – 18 and 30 Nov 2015</li> <li>• Mr Mark Kwan, Executive Director, Head of Financial Crime Compliance, Asia ex-Japan, Nomura – 24 Nov 2015</li> </ul>



12:10-12:30	16:25-16:45	<ul style="list-style-type: none"><li>• Q &amp; A session on the presentations made in the seminar</li></ul>	<ul style="list-style-type: none"><li>• Speakers making the presentations in the seminar</li></ul>
-------------	-------------	--	--