



## Rundown and Speakers

**24 October 2016 A.M. & 25 October 2016 A.M. (Cantonese) and 31 October 2016 P.M. (English)**

Each seminar will cover the same topics, as follows:

Time (A.M. sessions)	Time (P.M. session)	Topic	Speakers
09:15- 09:30	13:30- 13:45	<b>Registration</b>	
09:30- 10:20	13:45- 14:35	<ul style="list-style-type: none"><li>• Update on AML/CFT developments</li><li>• Supervisory observations – Implementing AML/CFT internal controls and taking enhanced measures in high-risk situations</li></ul>	<ul style="list-style-type: none"><li>• Mr Raymond Wong, Director</li><li>• Mr Ivan Wan, Senior Manager</li><li>• Ms Sharon Wong, Manager</li></ul> Intermediaries Supervision, Intermediaries Securities and Futures Commission
10:20- 10:40	14:35- 14:55	<b>Break</b>	
10:40- 11:25	14:55- 15:40	<ul style="list-style-type: none"><li>• JFIU presentation on suspicious transaction reporting (STR) – Legal obligations, case and trend analysis, and quality of STR of the securities sector</li></ul>	<ul style="list-style-type: none"><li>• Mr Charles Fung – 24 Oct 2016</li><li>• Ms Ruby Lo – 25 Oct 2016</li><li>• Ms Stephanie Kwok – 31 Oct 2016</li></ul> Senior Inspector of Police Joint Financial Intelligence Unit (JFIU)
11:25- 12:10	15:40- 16:25	<ul style="list-style-type: none"><li>• Industry experience – Applying enhanced AML/CFT measures to higher risk customers and transactions</li></ul>	<ul style="list-style-type: none"><li>• Mr Cyril Mak, Chief Compliance Manager</li></ul> Financial Crime Compliance Department Bank of China (Hong Kong) Limited
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>• All speakers</li></ul>