

**Rundown and Speakers**

3 October 2018 A.M. & 5 October 2018 A.M. (Cantonese) and 9 October 2018 A.M. (English)

Each seminar will cover the same topics, as follows:

Time	Topic	Speakers
09:15-09:30	Registration	
09:30-10:20	<ul style="list-style-type: none">• Update on key AML/CFT regulatory requirements• Inspection findings and other supervisory observations on AML/CFT	<ul style="list-style-type: none">• Mr Raymond Wong, Director• Mr Ivan Wan, Senior Manager• Ms Carmen Cheng, Manager Intermediaries Supervision Intermediaries Securities and Futures Commission
10:20-10:40	Break	
10:40-11:25	<ul style="list-style-type: none">• Legal obligations, cases and trend analysis, and quality of suspicious transaction reporting of the securities sector	<ul style="list-style-type: none">• Mr Steven Yeung – 3 Oct 2018• Ms Linda Lu – 5 Oct 2018• Mr Arthur Hon – 9 Oct 2018 Senior Inspector of Police Joint Financial Intelligence Unit
11:25-12:10	<ul style="list-style-type: none">• Implementation of a risk-based approach to customer due diligence and transaction monitoring	<ul style="list-style-type: none">• Mr Edgar Ma, Director, Compliance, Hong Kong, Macau, Greater China, and South Korea – 3 and 5 Oct 2018• Mr Ronald Mak, Senior Vice President, Anti-Money Laundering, Asia Pacific – 3 and 5 Oct 2018• Ms Victoria Makin, Director, Anti-Money Laundering, Asia Pacific – 9 Oct 2018 Citibank, N.A.
12:10-12:30	<ul style="list-style-type: none">• Q & A session	<ul style="list-style-type: none">• All speakers