

## Anti-Money Laundering and Counter-Terrorist Financing: Best Practice and Compliance Issues

*Presenter:*

**Annie Chan, Annie Chan & Associates**

### Course Details:

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| <b>Date:</b> 13 October 2022, Thursday | <b>Language:</b> English   | <b>CPD Law Points:</b> 1.5                         |
| <b>Time:</b> 4:00 pm – 5:30 pm         | <b>Level:</b> Standard <sup>3</sup>                                | <b>CPD BC Law Points:</b> 1.5                      |
| <b>Venue:</b> Online via Zoom          | <b>Fee:</b> HK\$1,320 /<br>HK\$1,200<br>(for online registration)* | <b>CPT Hours<sup>1</sup>:</b> 1.5                  |
|  |  | <b>CFA CE / SER Credits<sup>2</sup>:</b> 1.5 / 1.0 |

Money laundering and terrorist financing (“**ML/TF**”) can present significant compliance, reputational and operational risks for corporations and have an economic impact on most businesses. Money laundering activities could be carried out through the use of various techniques to disguise funds obtained from illegal activities including tax evasion and fraud. Regulators have been taking positive steps to combat ML/TF and identify deficiencies in the anti-money laundering and counter-terrorist financing systems and controls of corporations.

This course will provide an excellent view of the fundamentals of ML/TF; relevant laws, regulations and revised guidelines; compliance issues as well as the best practices.

### Course Highlights:

- Overview and key concepts of money laundering and terrorist financing
- International Anti-money Laundering / Counter-Financing of Terrorism (“**AML/CFT**”) standards
- AML/CFT legislation and regulations in Hong Kong
  - Legislation and regulations relevant to AML/CFT and latest update
  - Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap.615)
  - SFC Guideline on Anti-Money Laundering and Counter-Financing of Terrorism (For Licensed Corporations)
- Key AML/CFT requirements and best practice, i.e. Risk-based approach, Customer due diligence, Ongoing monitoring, Record keeping and retention of records and etc.
- Latest Enforcement cases on AML/CFT in Hong Kong

**Note 1 – CPT Requirements:** Our courses can fulfil CPT requirements. The Securities & Futures Commission has advised that although formal endorsement will not be given for the training we provide, it does not mean that the training programmes we organize do not meet the CPT purpose. Registrants should note that your employer, as **the corporate licensee** of your SFC registration, **is responsible for determining** whether our courses or any training course satisfy CPT requirements i.e. **that the training you receive are of appropriate standard and relevance to your maintaining and enhancing the technical knowledge and professional expertise**. Please check with your employer before registering for our courses. C&S does not warrant that the attendance of our courses would automatically be recognized by the SFC as fulfilling your CPT requirements.

**Note 2 –** As a participant in the CFA Institute Approved-Provider Program, C&S has determined that this program qualifies for 3 credit hours inclusive of 2 hours in the content area of Standards, Ethics, and Regulations (SER). If you are a CFA Institute member, CE credit for your participation in this program will be automatically recorded in your CE Diary.

**Note 3 – Standard:** for those who have basic knowledge of this topic.

\*For registration conditions & further queries, please contact our office at (852) 2901-1333 or visit our website at <http://www.courses-seminars.com>

## Registration Form

### Course Details:

**Course Name:** Anti-Money Laundering and Counter-Terrorist Financing: Best Practice and Compliance Issues **Course Code:** CPD2202141

### Participant(s) Details:

Firm / Company: \_\_\_\_\_  
Contact Person: \_\_\_\_\_ Nature of Business: \_\_\_\_\_  
Tel: \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_  
Address: \_\_\_\_\_

Please make additional copies, if necessary:

Name of Attendee 1: Dr. / Mr. / Mrs. / Ms.  
*(as on practicing certificate or registration of trainee solicitor contract)*  
Job Title: \_\_\_\_\_ E-mail: \_\_\_\_\_  
Solicitor No. / CFA Member No.: \_\_\_\_\_ Place & Year of Admission: \_\_\_\_\_  
 CPD Law Pts required  CPT Hours required  CE CFA  Others: \_\_\_\_\_  
Certificate required:  Yes  No

Name of Attendee 2: Dr. / Mr. / Mrs. / Ms.  
*(as on practicing certificate or registration of trainee solicitor contract)*  
Job Title: \_\_\_\_\_ E-mail: \_\_\_\_\_  
Solicitor No. / CFA Member No.: \_\_\_\_\_ Place & Year of Admission: \_\_\_\_\_  
 CPD Law Pts required  CPT Hours required  CE CFA  Others: \_\_\_\_\_  
Certificate required:  Yes  No

Name of Attendee 3: Dr. / Mr. / Mrs. / Ms.  
*(as on practicing certificate or registration of trainee solicitor contract)*  
Job Title: \_\_\_\_\_ E-mail: \_\_\_\_\_  
Solicitor No. / CFA Member No.: \_\_\_\_\_ Place & Year of Admission: \_\_\_\_\_  
 CPD Law Pts required  CPT Hours required  CE CFA  Others: \_\_\_\_\_  
Certificate required:  Yes  No

Cheque for HK\$ \_\_\_\_\_ enclosed

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

### Payment Methods:

To reserve your seat(s), please complete the registration form and forward full payment of course fee via one of the following methods:  
Register and pay online via PayPal at [www.courses-seminars.com](http://www.courses-seminars.com)

- Make cheques payable to "Courses & Seminars Limited" and mail your payment together with this registration to our head office (Unit 1303, Man Shun Building, 20 Chi Kiang Street, To Kwa Wan, Kowloon, Hong Kong).
- Direct transfer to our account at HSBC (102-437431-001).

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