



Financial Services Interest Group (FSIG) Lunch Seminar

Risk-based Approach in Practice: Balancing Financial Integrity with Practical Effectiveness and Financial Inclusion

Speaker	Mr. Chris Cheung <i>Partner, Financial Advisory Services (Forensic, China / Hong Kong), Deloitte</i>
Date & Time	20 October 2016, Thursday 1:00 p.m. – 2:00 p.m.
Venue	HKICPA, 27th Floor, Wu Chung House, 213 Queen's Road East, Wan Chai.
Competency*	Risk management
Rating*	Intermediate level
Admission Fee	\$150 (HKICPA member) \$250 (non-HKICPA member) <i>(Sandwiches and drinks will be provided at 12:30 p.m.)</i>
CPD hour	1 hour
Language	English
Enrolment deadline	18 October 2016

* Details of [Competency and Rating](#) information

ABOUT THE SEMINAR

Financial institutions have continued to step up on control standards and measures. Recent articles by the Hong Kong Monetary Authority mentioned that there has been increasing undue difficulties encountered by businesses and customers in opening bank accounts and accessing basic banking services. Financial integrity compromising financial inclusion is increasingly a concern of regulatory authorities worldwide.

Effectiveness and reasonableness will be the vital considerations from the angles of regulatory expectations and practicality. Under the risk-based approach ("RBA"), institutions shall adopt know your customer ("KYC") / customer due diligence ("CDD") measures commensurate with the varying risk levels presented by different customer relationships as well as products, services and delivery channels. The RBA is crucial to the effective implementation of anti-money laundering ("AML") / countering-terrorist financing ("CFT") measures.

At this seminar, Mr. Chris Cheung, Partner of Deloitte will discuss:

- Practical effectiveness in mutual evaluation report and national risk assessment on client onboarding procedures;
- Recent global and local cases highlighting the importance of the RBA on KYC/CDD;
- Reasons for and effectiveness of adopting the RBA in institutional risk assessment, client onboarding procedures and customer risk assessments; and
- Experience in facilitating the adoption of the RBA in catering for different risk appetites of specific institutions in Hong Kong.



Financial Services Interest Group (FSIG) Lunch Seminar

Risk-based Approach in Practice: Balancing Financial Integrity with Practical Effectiveness and Financial Inclusion

ABOUT THE SPEAKER

Mr. Chris Cheung
*Partner, Financial Advisory Services (Forensic, China / Hong Kong),
Deloitte*

Mr. Cheung serves as Partner, Financial Advisory Services (Forensic, China / Hong Kong) of Deloitte. He is specialising in financial crime compliance, AML and analytics.

Over the last 16 years, Mr. Cheung was involved in a wide range of projects in terms of national, sectoral, industry coverage, product/service variety as well as scale and depth, which includes risk assessments, regulatory lookbacks, advisory, remediation and reviews across Greater China and addressing regulatory needs throughout Asia and the United States.

Mr. Cheung's clientele include governments and regulators, global banks and financial institutions, multinational corporations with operations in Asia Pacific and China, international and local law firms, and China state-owned enterprises.

Mr. Cheung holds a LLM in Chinese Business Law from the Chinese University of Hong Kong and Bachelor of Science in Finance, Operation Management & Business Process Management from the Indiana University, USA. He is also a certified member of the Association of Certified Fraud Examiners.

REGISTRATION

Enroll online or visit the Institute's website: www.hkicpa.org.hk.

To register offline (by post or by fax):

- Complete the enrolment form and return it to the Institute on or before the enrolment deadline, together with full payment. Cheque should be made payable to the "*Hong Kong Institute of Certified Public Accountants*" or "*HKICPA*".
- Fax registration will only be accepted if payment is made by any VISA / MasterCard card or the BOC HKICPA Visa / UnionPay card. Acceptance is on a first-come-first-served basis.



FSIG Lunch Seminar

Risk-based Approach in Practice: Balancing Financial Integrity with Practical Effectiveness and Financial Inclusion

Enrolment Form

**Finance & Operations Department,
 Hong Kong Institute of CPAs**

37th Floor, Wu Chung House,
 213 Queen's Road East, Hong Kong.

Fax no: 2893 9853

20 October 2016

(Enrolment deadline: 18 October 2016)

Confirmation of enrolment will be sent to you via email. You can check your enrolment status at "My CPA" at www.hkicpa.org.hk. Unsuccessful enrolment will be notified with full refund.

[Contact information below is used solely for communication of this particular event, without update to your member profile]

Please use BLOCK letters

Name (Mr./ Mrs./ Ms): _____ Membership no.: _____

Company: _____

Position: _____ Email:^(Note 4) _____

Telephone no.: _____ Mobile no.: _____

(Please tick the appropriate box)

Admission Fee: <input type="checkbox"/> \$150 (HKICPA member)		<input type="checkbox"/> \$250 (non-HKICPA member)	
<input type="checkbox"/> Cheque (no. _____) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA"			
<input type="checkbox"/> BOC HKICPA VISA		<input type="checkbox"/> BOC HKICPA UnionPay card	
<input type="checkbox"/> Other VISA / MasterCard			
Card Number:	_____	Card Expiry Date (MM/YY):	_____
Cardholder's Name (block letters):	_____	Cardholder's Signature:	_____
		Date:	_____
<ul style="list-style-type: none"> For credit card payment, the card should be valid with expiry date at least <u>1 month</u> from the date of event. Payment receipt will be sent to your email address provided above once the payment is confirmed. 			

Notes:

- Enrolments are accepted on a first-come-first-served basis.
- Full payment must be made before your application will be processed. No telephone reservation will be accepted.
- Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly not accepted.
- Confirmation of enrolment will be sent to you via email before 19 October 2016. You can check your enrolment status at "MyCPA" at www.hkicpa.org.hk. Unsuccessful enrolment will be notified with full refund.
- In normal circumstance, the admission fee is non-refundable or non-transferrable upon receipt of payment by HKICPA. Should the event be cancelled or postponed due to unforeseeable circumstance, refund will be made according to your payment method. For credit card payment, refund will be made directly to your credit card account. For cheque payment, refund will be mailed to your correspondence address.
- Bad weather arrangement:** When the typhoon signal no. 8 or above / black rainstorm warning is hoisted, as announced by the Hong Kong Observatory, at or after 6:30 a.m. on the date of event, the event will be cancelled.
- The Institute reserves the right to change the venue, date, speaker and/or rundown of the event due to unforeseen circumstances.

Personal Data: Your personal data collected from the enrolment process and administration of courses will be used for the purpose of the administration of the course on which you are enrolled. Such data collected may be accessible by the Institute's officers, persons or committees processing the application and related matters. In addition, the Institute may use the collected data for statistical research and analysis and, if applicable, for validation of CPD hours. The Institute intends to use the personal data of your name, email address and correspondence address to inform you, where relevant, of CPD activities, members' benefits, goods, services, facilities and events organized or provided by the Institute or other organizations. Members and registered students may opt out of receiving such materials at any time by logging in via the following link <https://www.hkicpa.org.hk/en/members-area/comm-preference/>. Non-members may opt out of receiving such materials at any time by sending an email to the Institute at privacyofficer@hkicpa.org.hk or a letter to the Institute's privacy officer. For more information about the privacy policy of the Institute, please go to <http://www.hkicpa.org.hk/en/service-tools/privacy-policy/>

Payment & Enrolment Status Enquiry: 2287 7381
 e-mail: finance@hkicpa.org.hk

Event Information Enquiry: 2287 7065 (Esther Ma)
 e-mail: estherma@hkicpa.org.hk

For non-member and firm payment by cheque, please fill-in your postal address for refund in case the event is full or cancelled.	
Name :	Name :
Address :	Address :