



Compliance Series: Overview on Anti-Money Laundering



Hong Kong is widely recognized as one of the world's leading financial centres. In recent years, there is a clear trend of Hong Kong increasing its regulatory supervision of money laundering. Regulatory measures play a key role in developing an efficient and safe financial infrastructure.

Hong Kong's Legislative Council considered the new Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) (Amendment) Bill 2017 (the Bill) in June 2017. Subject to the Bill being passed by the Legislative Council, the Government proposes to implement the amendments on 1 March 2018.

This seminar will cover the following topics:

- What is money laundering?
- Legislation concerned with money laundering
- Recognition and reporting of suspicious transactions
- Introduction to Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615 of the laws of Hong Kong) (AMLO)
- Internal controls for anti-money laundering

Date ~~Wednesday, 14 March 2018~~ Re-scheduled to Thursday, 22 March 2018

Time 7:00 p.m. - 8:30 p.m.

Venue Hong Kong Institute of CPAs,
27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong

Format Seminar

Language Cantonese

Fee HKICPA member or student: HK\$190 (online enrolment: HK\$180)
IA/ HKIAAT member or student: HK\$190
Non-member: HK\$330

Speakers **Mr. Roy Lo**, Managing Partner, SHINEWING (HK) CPA Limited
Ms. Gloria So, Principal, SHINEWING Risk Services Limited
(Speakers' profiles are printed overleaf)

Participants Management of listed companies

Competency* Ethics and regulations; Corporate governance; Risk management

Rating* Intermediate to advanced level

CPD hours 1.5

Programme code SCPD18031401



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About the speakers

Mr. Roy Lo, Managing Partner, SHINEWING (HK) CPA Limited

Mr. Lo has extensive experience in auditing, business mergers and acquisitions, business appraisal, profit anticipation and listing arrangement for 24 years, and is familiar with the operations and regulations of different industries. He has been involved in numerous IPO projects, and has successfully assisted many companies to go listed on the Main Board and GEM Board of the HKEx. He also possesses profound experience in internal control and risk management. Mr. Lo regularly contributes articles on corporate governance and internal control to local newspapers and professional publications. He has been the compliance reviewer of the Best Corporate Governance Awards of Hong Kong Institute of Certified Public Accountants consecutively from 2013 to 2017. He is also often invited to global corporate governance conferences.

Ms. Gloria So, Principal, SHINEWING Risk Services Limited

Ms. So has around 14 years of experience in enterprise risk management, internal controls, information technology general control review, financial due diligence and external audit. She has the expertise in performing Sarbanes-Oxley Act services, internal audit reviews, enterprise risk management and other strategic review engagements for clients from a wide range of industries. She is also responsible for leading various pre-IPO due diligence engagements for listed companies.



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Hong Kong Institute of CPAs,
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Deadline: 7 working days before the date of the programme

No.	Membership		Full Name of Participant(s) (Block Letters)	Company	Email address ⁽²⁾ (Block Letters)	Programme Code	Fee (HK\$)
	No.	Status (1)					
1							
2							
3							
						Total (HK\$)	

☐ I am unemployed and not working. I am planning to rejoin the workforce.

The Institute reserves the right to allocate places to enable the enjoyment of more members in this event.

The Institute's decision is final. Applicant must submit the enrolment form 10 working days before the event.

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- Notes:**
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 - NO ADMISSION TICKET will be issued. Please bring your HKICPA membership card or confirmation email for admission purpose.
 - All applications are on a first-come-first-served basis.
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 - For credit card payment, the card should be valid with expiry date at least 1 month from the date of event.
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 - The Institute reserves the right to change the venue, date, speaker or to cancel the event due to unforeseen circumstances.
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