

Live webinar: Industry Update Relating to Licensed Corporations

[Event code: EWEB22120601]

Date 6 December 2022 (Tuesday)

Time 11:00 a.m. – 12:00 noon

Format Live webinar (Zoom)
(There will be real time Q&A)

Speakers *Securities and Futures Commission*

✧ **Ms. Sharon Wong**, Senior Manager, Intermediaries Supervision, Intermediaries

✧ **Mr. Calvin Pang**, Manager, Intermediaries Supervision, Intermediaries

Language Cantonese with English Slides and Terminology

Fee **HK\$200** for HKICPA member or student / International Affiliate (IA)
HK\$360 for non-member

CPD Credit hours 1 hour (subject to actual attendance)

Application Deadline **28 November 2022**
(Upon successful enrolment, the meeting URL and login password will be provided closer to the event date. You can access the webinar by tablet, smart phone or PC)

Competency Industry Knowledge

Rating Intermediate Level* - Sound understanding of the knowledge area. The ability to apply knowledge and skills to a range of situations and able to deal with new situations.

* Please refer [here](#) for descriptions of other competencies and ratings

ABOUT THE WEBINAR

Anti-Money Laundering and Counter-Financing of Terrorism (“AML/CFT”)

Licensed corporations, such as securities brokers and asset managers, should identify and assess money laundering and terrorist financing (“ML/TF”) risks to which they are exposed, so as to facilitate the design and implementation of adequate and appropriate AML/CFT policies, procedures and controls that are commensurate with the ML/TF risks identified in order to properly manage and mitigate them, and ensure compliance with the relevant statutory and regulatory requirements.

This webinar will cover:

- the latest AML/CFT regulatory developments with a focus on the key ML/TF threats and vulnerabilities that are relevant to the securities sector; and
- the findings and observations on AML/CFT identified from the SFC’s inspections of licensed corporations, as well as recent enforcement actions taken against licensed corporations for breaches of AML/CFT regulatory requirements,

to facilitate an understanding of possible internal control failures and non-compliances with the AML/CFT regulatory requirements, and the expected AML/CFT regulatory standards of licensed corporations.



REGISTRATION

- Enrolment deadline: Online/offline registration **by 28 November 2022**
- Online registration is recommended, please click [here](#) or visit www.hkicpa.org.hk
- To register offline (by post or by email), please complete the enclosed enrolment form and return it with full payment to the Institute.

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Phone: 2287 7381

e-mail: enrolment@hkicpa.org.hk

Course Information Enquiry:

Phone: 2287 7386

e-mail: tls@hkicpa.org.hk

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No.	Event code	Course Title	Fee:
1	EWEB22120601	Live webinar: Industry Update Relating to Licensed Corporations	[HK\$200 for HKICPA member or student and International Affiliate (IA) / HK\$360 for non-member]

* Email address is for enrolment confirmation purpose. Please refer to note (2) for details.

Total HK\$

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- Notes:**
1. Application by email will ONLY be accepted when payment is made by credit card. Cash is strictly not accepted. Please ensure all the particulars relating to payment are completed, otherwise the application cannot be processed. There is NO need to send in the enrolment form again if it has already been emailed to the Institute. Please email the completed form to enrolment@hkicpa.org.hk.
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 4. Your login ID and password are for your exclusive use ONLY and you should not share them with anyone.
 5. No unauthorized audio or video recording and/or downloading is allowed for the online courses.

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