



E-learning webinar: **Reviewing Anti-Money Laundering and Counter-Terrorist Financing Policies, Procedures and Controls and Systems**

Event code: EWEB23100902

About the topic

According to the latest Guidelines on Compliance of Anti-Money Laundering (AML) and Counter-Terrorist Financing (CTF) Requirements for Licensed Money Lenders (MLs)/ Trust or Company Service Providers (TCSPs), MLs and TCSPs (collectively known as “licensees”) are requested to establish an independent audit function. The function should have sufficient expertise and resources to enable the licensee to carry out its responsibilities, including conducting independent reviews of its AML/ CTF policies, procedures and controls (PPCs) and systems regularly to ensure effectiveness. Where appropriate, the licensee should also seek a review from external parties, which include auditors and other accounting professionals. We understand that review of AML/ CTF PPCs and systems is one of the requirements for the Companies Registry in considering applications/ renewals of the licenses of MLs and TCSPs.

At the same time, practices now are also required to perform internal review of their own AML/ CTF PPCs and systems.

This live webinar will discuss about the elements that effective AML/ CTF PPCs and systems should have. Our expert speaker will also share his practical experience on conducting review of AML/ CTF PPCs and systems from a high-level perspective.

About the programme

Date & Time	Monday, 9 October 2023 5:00 p.m. – 6:00 p.m.
Format	Live Webinar (There will be real time Q&A)
Fee	HK\$160 (HKICPA member or student, IA) HK\$330 (Non-HKICPA member)
CPD credit	1 hour (subject to actual attendance)
Language	Cantonese
Participants	Members who would like to understand how to conducting review on AML/ CTF PPCs and systems
Competency	Ethics and Regulations
Rating	Intermediate level*
Application Deadline	5 October 2023 (offline enrolment by 3 October 2023)

Rundown

5:00 pm	Introduction
5:05 pm	Presentation
5:45 pm	Q&A / Discussion
6:00 pm	Closing

Chair

Nicolas Cheng
Associate Director, Advocacy and
Practice Development, HKICPA

Speaker

Albert Lo
Financial Crime Compliance (“FCC”)
Leader in Hong Kong and Partner,
Deloitte Asia Pacific

* Please refer to the [Institute's online CPD Learning Resource Centre](#) for descriptions of competency and rating.



About the speaker

Albert Lo

FCC Leader in Hong Kong and Partner, Deloitte Asia Pacific

Albert is the Financial Crime Compliance Leader in Hong Kong and partner with Deloitte Asia Pacific. Albert has broad professional experience in AML, regional risk assessment and sanctions reviews for regulators, financial institutions, and other designated non-financial and professional business (DNFBP). Albert has worked on various investigations and compliance reviews across different industries in a number of Asia-Pacific countries - in particular, AML compliance review, ABC and fraud investigation, procurement fraud investigation, fraud risk review, SOX review, and corporate intelligence.

Disclaimer

- The opinions expressed by external guest speakers are, by their nature, those of the speaker. They are not necessarily endorsed by the Institute or reflect the official policies and views of the Institute or its members.
- The Institute does not endorse or recommend any products or services and is not responsible to any loss or damage arising from using such products or services.
- Participants are reminded that there is a wide range of products or services available in the market. Participants should carry out their own research and obtain independent advice before subscribing any products or services.
- The Institute also takes no responsibility for any loss associated to any person acting or refraining from acting as a result of participation in the event.

Registration

- **Online enrolment by 5 October 2023; offline enrolment by post or e-mail also by 3 October:**

Complete the enrolment form and return it to the Institute by 3 October, together with full payment. Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA". E-mail registration will be accepted for payment by any VISA/ Master card or the BOC HKICPA UnionPay card.

You may consider your registration to be successful unless you receive notification from us to the contrary.

- Upon successful enrolment, the meeting URL and login password will be provided nearer the event date.
- **Contact Ms. Sophia Lai at 2287-7067 for enquiry.**