



# Beneficial ownership investigation, remote onboarding and other common uses of technology for AML/CFT compliance

Event code: SCPD19082601

## About the topic

Anti-money laundering and counter-terrorist financing (“AML/CTF”) requirements and compliance have to keep pace with the continuous evolution in the ways in which financial services are provided by financial institutions. Two key areas that impose challenges for practitioners in AML/CFT compliance and forensic accounting are the investigation of beneficial ownership and the use of remote onboarding. For example, non-face-to-face client onboarding may present greater risks, especially risks of impersonation, given the ease of using stolen identities and fictitious account applications.

In this seminar, the speakers will use real-world examples to illustrate the latest developments and issues regarding:

- Channels for identification of beneficial ownership around the world
- Conducting beneficial ownership investigations for customer due diligence purposes
- Remote onboarding and other common uses of technology for AML/CFT compliance

## About the event

<b>Date &amp; Time</b>	26 August 2019, Monday 1:00 – 2:00 p.m.
<b>Venue</b>	HKICPA training centre 27 <sup>th</sup> Floor, Wu Chung House 213 Queen’s Road East, Wanchai
<b>Fee</b>	HK\$150 per person for ForensIG members/ ACFE members HK\$250 per person for Non-ForensIG members <i>Priority is given to ForensIG members. Not a ForensIG member? Click <a href="#">here</a> to join ForensIG. If you are a non-member of the Institute, please register as a new web member first before completing an online registration as a ForensIG member.</i>
<b>HKICPA CPD credit</b>	1 hour (subject to actual attendance)
<b>Language</b>	English
<b>Competency</b>	Forensic accounting*
<b>Rating</b>	Intermediate level*
<b>Application deadline</b>	<b>21 August 2019</b>

### Rundown

<b>12:30 pm</b>	Registration (Sandwiches and drinks provided)
<b>1:00 pm</b>	Introduction
<b>1:05 pm</b>	Presentation
<b>1:50 pm</b>	Q&A / Discussion
<b>2:00 pm</b>	Closing

### Speakers

**Dilys SK Lam**  
General Manager of e-Business,  
Marketing, China CITIC Bank  
International Limited

**Alex Ma**  
Senior Associate, SF Lawyers

### Chair

**Melinda Phua**  
Member, ForensIG Management  
Committee, and Director, AML and  
Sanction Services, KPMG

\* Please refer [here](#) for descriptions of the various ratings.



## About the speakers

### **Dilys SK Lam**

**General Manger of e-Business, Marketing, China CITIC Bank International Limited**

Dilys contributes in driving a new business model capitalizing on new technology as well as promoting a culture of innovation in the industry. She has over 20 years of experience in information technology management and e-Channel development. She was a senior management in several international financial institutions including BNP Paribas and JP Morgan Chase. She was also the Head of Innovation Technology in AIA Group, responsible for driving the digital and innovation strategy for the APAC region and was the Head of Innovation and Enterprise Technology at DBS Bank, with focuses on researching, identifying and developing digital products across all lines of business.

### **Alex Ma**

**Senior Associate, SF Lawyers**

Alex's practice focuses on a variety of matters owing to his background as a litigator. Alex has extensive experience in handling risk management (including AML matters) and investigatory matters in the financial, commercial and human resources space, restructuring and insolvency matters, risk management and compliance matters. He has also advised on general compliance matters. In the commercial and financial space, Alex has advised clients on a wide range of risk, dispute and investigatory matters involving breach of contract, fraud and anti-money laundering. He has also dealt with the Hong Kong Monetary Authority and Securities and Futures Commission on behalf of clients (including an international bank and asset management company) in various investigations and requests for information regarding misselling and unauthorised transaction allegations.

## Registration

- Complete online registration [by 21 August 2019](#).

**Contact Sharon Ngai at 2287 7067 for enquiry.**



## ForensIG seminar:

### Beneficial ownership investigation, remote onboarding and other common uses of technology for AML compliance

Event Code: SCPD19082601

Finance & Operations Department  
Hong Kong Institute of CPAs  
37th Floor, Wu Chung House  
213 Queen's Road East  
Wanchai, Hong Kong  
Fax no: 2893 9853

26 August 2019

(Reply by 21 August 2019)

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#### Please "✓" as appropriate

**Admission Fee:** ☐ HK\$150 per person (ForensIG members) X \_\_\_\_\_ person(s) = HK\$ \_\_\_\_\_  
☐ HK\$250 per person (Non-ForensIG members) X \_\_\_\_\_ person(s) = HK\$ \_\_\_\_\_

#### Payment Method:

☐ Cheque (no. \_\_\_\_\_) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA"

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#### Notes:

- Enrolments are accepted on a first-come-first-served basis. Telephone reservations will not be accepted.
- Full payment must be made before applications will be processed. Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly NOT accepted.
- The closing date for enrolment is 21 August 2019.
- Confirmation of enrolment will be sent to you via email. You can check your enrolment status at "MyCPA" at [www.hkicpa.org.hk](http://www.hkicpa.org.hk)
- In normal circumstances, the seminar fee is non-refundable or non-transferrable upon receipt of payment by HKICPA. Should the seminar be cancelled or postponed due to unforeseeable circumstances, 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.
- For credit card payment, the card should be valid with expiry date at least 1 month from the date of event.
- Bad weather arrangement: The seminar will be cancelled if typhoon signal no. 8 or above / black rainstorm warning is hoisted, as announced by the Hong Kong Observatory, at or after 10 a.m. on the date of the event. In the event of cancellation due to bad weather, the admission fee will be refunded.
- No unauthorized audio or video recording is allowed at CPD events.

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**Payment & Enrolment Status Enquiry:** 2287 7381

e-mail: [finance@hkicpa.org.hk](mailto:finance@hkicpa.org.hk)

**Event Information Enquiry:** 2287 7067

e-mail: [sharonngai@hkicpa.org.hk](mailto:sharonngai@hkicpa.org.hk)

For payment by cheque, please fill-in your postal address for refund in case the event is full or cancelled.

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