



Certificate in Compliance for Financial Services Professionals

(Program Code: RL01)

The Certificate in Compliance for Financial Services Professionals is a tailor-made certificate program for any financial services professionals whose practice requires them to stay abreast of the implementation and maintenance of healthy regulatory compliance culture that conforms to today's rigorous regulatory standards. The program aims to provide participants with up-to-date regulatory requirements as well as providing training on practical and useful skills for the effective handling and monitoring of compliance, anti-money laundering and financial fraud issues in financial institutions. In addition, the unique mediation module is designed to equip participants with skills for dealing with regulators and authorities and for complaints handling.

The certificate of attainment will be given to participants with successful completion of all five modules. Participants are also welcome to enroll in individual modules, where certificate of attendance will be given for completion of each module.

Objectives

- To ensure the compliance practitioners are aware of the importance of building and maintaining a healthy compliance culture
- To ensure financial services practitioners are staying tune with the latest regulatory issues and changes

Target Participants

Senior management, compliance officers, internal auditors, financial services professionals and regulators.

Module 1 - Keeping Pace With the Changing Regulatory Requirement (6 hours)

- Overview of the regulatory framework in Hong Kong
- New rules/ regulations by SFC/ HKMA and its implications
 - Rules on selling/distribution of investment products
 - Requirements relating to selling/distribution of investment products
 - Residential Mortgage Loans Business
- New rules/regulations by IA / HKFI
 - Proposed independent insurance authority
 - Consumer protection requirements
 - Investment-linked Long Term Insurance Paper under the IIQE
- Office of the Privacy Commissioner of Personal Data - Guidance Note on Cross-Marketing Activities
- New rules on RMB business in Hong Kong

Date: 27 & 29 June 2012 Time: 18:30 - 21:30 Speaker: Petrus Chan
CE Recognition: 6 IFPHK CE Credits / SFC CPT hours / MPFA Non-Core CPD hours

Module 2 - Rules of Conducts and Practice Standard for Financial Planning Professionals (6 hours)

- Applicable principles, rules governing staff/employees
- Practice Standards of Financial Planners – the global standard
- Money laundering, financial crime and fraud prevention

Date: 25 & 27 July 2012 Time: 18:30 - 21:30 Speaker: Wilson Yee
CE Recognition: 6 IFPHK CE Credits / SFC CPT hours / MPFA Non-Core CPD hours

Module 3 - Compliance Functions Effectiveness for Compliance Officers (9 hours)

- Roles and responsibilities of compliance function
- Compliance reporting and escalation
- Compliance testing and monitoring
- Risk area of financial planning / financial advisory operations and identification of red flags
- Using compliance tools e.g. background check, due diligence, sales quality assurance check list
- Challenging issues and case study

Date: 12, 16 & 19 July 2012 Time: 18:30 - 21:30 Speaker: Petrus Chan
CE Recognition: 9 IFPHK CE Credits / SFC CPT hours / MPFA Non-Core CPD hours
Venue : IFPHK Office Language : Cantonese

Program Fee (enroll for all modules):
\$5,760 (Member) / \$7,560 (Non-Member)

Module Fee (for each of Module 1, 2 & 5):
\$1,080 (Member) / \$1,380 (Non-Member)
Module Fee (for each of Module 3, 4):
\$1,620 (Member) / \$2,070 (Non-Member)

For any enquiries, please contact:

(Tel) 2982 7888 | (Fax) 2982 7777
(Email) education@ifphk.org | (Website) www.ifphk.org

Module 4 - Compliance for Senior Management (9 hours)

- Promoting compliance culture within the corporation
- Building a compliance framework e.g. compliance policy, roles and responsibility, reporting system, compliance training, compliance monitoring, risk assessment, compliance planning
- Integrating compliance, corporate governance and risk management
- Best practice in regulatory compliance
- Manage relationship with regulators
- How to draft a term of reference for compliance department
- Deploying technology in compliance and risk management function
- Challenging issues and case study

Date: 17, 20 & 22 Aug 2012 Time: 18:30 - 21:30 Speaker: Michael Ng
CE Recognition: 9 IFPHK CE Credits / SFC CPT hours / MPFA Non-Core CPD hours

Module 5 - Mediation Skills for Resolving Financial Dispute and Handling Complaints (6 hours)

- The Approaches and Applications of Different Conflict Resolution and the Interest-Based Negotiation
 - The Conflict Resolutions such as Mediation, Arbitration, Mini-trial, Ombus, Expert determination
 - Different Bargaining Style: Positional Bargaining, Right Based Bargaining, Distributive Bargaining, Integrative Bargaining and Interest Based Bargaining
 - Interest Based Bargaining and mediation
- Applications of Mediation skills for Financial Planning Professionals
 - Preparation of representing your organization in mediation session: assess the suitability of cases, appointing an appropriate mediator for that case
 - Preparation of the mediation process: the extent of information sharing in mediation, the different negotiation approaches that can be used in mediation
 - How co-operate with your legal representatives and the mediator to achieve your optimal outcomes from the mediation meeting
 - How to borrow the power of mediator and to work with regulators and authorities in mediation sessions

Date: 11 & 18 Sep 2012 (To be confirmed)
Time: 18:30 - 21:30 Speaker: Roy Cheng
CE Recognition: 6 IFPHK CE Credits / SFC CPT hours / MPFA Non-Core CPD hours



Early Bird Offer

Enrolling by 28 May
for the entire program:
\$5,400 (Member) /
\$7,100 (Non-Member)



Certificate in Compliance for Financial Services Professionals

Dr. Felix Y. Kwan

Director – Head of Regulatory Relations, Asia Pacific Region
Bank of America Merrill Lynch

Program Advisor

Dr. Felix Kwan holds a Doctor of Jurisprudence (J.D.) degree from the University of San Diego. Besides graduated from San Diego State University with a Bachelor of Science in Accounting, he has also studies theology at Oxford University. He is a graduate of the Pacific Coast Graduate Banking School at the University of Washington.

Dr. Kwan is the Head of Regulatory Relations at Bank of America Merrill Lynch managing regulatory matters within the Asia Pacific Region. He was appointed Director of Supervision at the Qatar Financial Centre Regulatory Authority from 2005 to 2009 where he was responsible for supervising both conventional and Islamic finance institutions authorized in the Qatar Financial Centre. Besides working for the Qatar Financial Centre Regulatory Authority, Dr. Kwan has worked for the Hong Kong Monetary Authority, the Hong Kong Securities and Futures Commission and the Federal Home Loan Bank which later became the U.S. Office of Thrift Supervision. Dr. Kwan has also worked for Credit Suisse Hong Kong Branch as its Head of Legal and Compliance and Regional Senior Legal Counsel; Banque Paribas Hong Kong Branch as its Head of Compliance and Ethics; Bay View Federal Bank as its Chief Compliance Officer; Citibank California as its Senior Compliance Officer; Crocker National Bank California as its Credit Review Officer; and Security Pacific national Bank as its Commercial Loan Officer. Dr. Kwan is an Adjunct Associate Professor of Finance (Cum Laude) and Visiting Scholar at the Hong Kong University of Science and Technology and Adjunct Professor at the Hong Kong Baptist University.

Speakers

Mr. Petrus Chan CFP^{CM}

Senior Manager Compliance / Local Compliance Officer
The Hongkong and Shanghai Banking Corporation Ltd.

Petrus is responsible for all regulatory compliance matters of the Bank including retail, commercial and corporate banking.

Mr. Chan is a Qualified Accountant in Hong Kong and UK. He started his career as an auditor in Ernst and Young in 1984, mainly looking after audit and financial consultant works for financial companies for 5 years. Moved into the banking industry since 1989 and working in various financial institutions looking after financial controls and internal audits. He started his career with HSBC 15 years ago as a Compliance Manager in treasury and capital markets and took up his current position for the Bank looking after retail and commercial banking including wealth management business, since 2000.

Mr. Roy Cheng

Director of Hong Kong Institute of Mediation Ltd.
Director of ISE Consultants Ltd.
Adjunct Lecturer of HKU SPACE

Mr. Roy Cheng is currently a mediation practitioner, mediation assessor, mediation trainer and mediation consultant. Prior to commencing his dispute resolution practice, he started his career as a banker in Bank of America and has had extensive commercial experiences in a wide range of industries. In 2004 he was invited by Hong Kong Home Affairs Department and successfully mediated the Albert House Case and in 2006, he was invited by Hong Kong Housing Authority and successfully mediated the Dickson Construction sub-contractor disputes. His recently published book : “調解：談判突破困局” has been published in electronic version in August 2011 and can be found at app天昂文庫.

Mr. Michael Ng

Head of Compliance Hong Kong
FIL Investment Management (Hong Kong) Limited

Michael Ng joined FIL Investment Management (Hong Kong) Limited ("Fidelity") in Feb 2012 as Head of Compliance, HK. Prior joining to Fidelity, he was with Invesco Hong Kong Limited from 2004 to Jan 2012 and his last position was Head of Compliance, Greater China. He also worked with Manulife Asset Management (Hong Kong) Limited, Tokai Bank Limited and Bank of America. He obtained his Bachelor degree at University of Toronto in Management and Economics and Master of Science degree at University of London in Financial Management and Master degree in International Corporate and Financial Laws at University of Wolverhampton. He is also a CFA holder.

Mr. Wilson Yee CFP^{CM}, CFA, FRM, LLB, LLM, MBA

Mr. Wilson Yee has been working in the field of financial advisory for over 10 years to serve corporate and individuals in the areas of risk, investment and trust planning. He is also engaged in documentation geared for pre-listing and pre-funding arrangement in the Greater China region. Mr. Yee has conducted various finance and investment programs since 2001 and is currently a part-time instructor of the IFPHK Registered CFP Certification Education Program.

Institute of Financial Planners of Hong Kong

香港財務策劃師學會

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Continuing Education Programs 持續進修課程
REGISTRATION FORM 報名表格

Early Bird Offer for
Enrolling all modules
by 28 May

Please read the general note before completing the Registration Form. Applicant must complete the Registration Form in BLOCK LETTERS.
請在填表前注意申請須知，並用正楷填寫表格。

Program Code 課程編號	Program Name 課程名稱	Fee 費用		CE Cash Coupon code# CE 現金券編號	Ref No. 參考編號 (Office use only 內部專用)
		Member 會員	Non-Member 非會員		
RL01	Modules 1 - 5	<input type="checkbox"/> HK\$5,760 HK\$5,400	<input type="checkbox"/> HK\$7,560 HK\$7,100	(Not Applicable 不適用)	
RL1A	Module 1	<input type="checkbox"/> HK\$1,080	<input type="checkbox"/> HK\$1,380		
RL1B	Module 2	<input type="checkbox"/> HK\$1,080	<input type="checkbox"/> HK\$1,380		
RL1C	Module 3	<input type="checkbox"/> HK\$1,620	<input type="checkbox"/> HK\$2,070		
RL1D	Module 4	<input type="checkbox"/> HK\$1,620	<input type="checkbox"/> HK\$2,070		
RL1E	Module 5	<input type="checkbox"/> HK\$1,080	<input type="checkbox"/> HK\$1,380		
Total:					

Quote the pre-printed coupon code in the box. Only one CE cash coupon can be used for one CE program. CE cash coupons cannot be used in conjunction with other program discounts (e.g. early-bird offers, special offers, etc). 請於指定空格上填寫 CE 現金券編號，每張 CE 現金券只可用於一個持續進修課程。CE 現金券及其他折扣優惠(如：預早報名優惠、特別優惠等)不可同時使用。

Section (B) 乙部- Personal Particulars 個人資料 *Mandatory field 必須填寫

Title 稱號	Mr 先生 / Ms 女士 / Mrs 太太 / Miss 小姐 (Please delete where inappropriate 請刪除不適用者)	Membership/HKID Card/Passport No. * 會員編號/身份證編號/護照編號 <small>For the purpose of identification and CE record 以核對身份及登記持續進修學分#</small>
Full Name 名字*	(As printed on your HK ID Card / Passport 必須與香港身份證 / 護照上相同)	
Company Name 公司名稱 <small>(Corporate member no., if any 機構會員編號, 如適用)</small>	()	Position 職位
Email Address 電郵地址* <small>(Confirmation notice will be sent via e-mail 學會將透過電郵發出確認通知)</small>	Mobile Phone No. 手提電話號碼*	
Mailing Address 郵寄地址		
Employment Field 行業	Please tick "√" the one below that best describes the industry you are serving 請別選 "√" 下列其中一個最能夠描述您所屬行業的編號	
<input type="checkbox"/> 1 Retail Banking 零售銀行	<input type="checkbox"/> 5 General Insurance 一般保險	<input type="checkbox"/> 9 Legal Practice 法律
<input type="checkbox"/> 2 Private Banking 私人銀行	<input type="checkbox"/> 6 Independent Financial Advisor 獨立財務顧問	<input type="checkbox"/> 10 Accounting Practice 會計
<input type="checkbox"/> 3 Investment Banking 投資銀行	<input type="checkbox"/> 7 Asset Management 資產管理	<input type="checkbox"/> 11 Academia 學術
<input type="checkbox"/> 4 Life Insurance 人壽保險	<input type="checkbox"/> 8 Securities Brokerage 證券經紀	<input type="checkbox"/> 12 Real Estate Sector 房地產界別
		<input type="checkbox"/> 13 Other 其他 please specify 請註明: _____

Section (C) 丙部- Payment Methods and Details 付款方式與詳情

<input type="checkbox"/> Cheque 支票	Cheque No 支票號碼: _____	Drawn on (Bank) 發票銀行: _____
Cheques should be made payable to "IFPHK Ltd." 請於支票收款人填上 "IFPHK Ltd."		
<input type="checkbox"/> Credit Card 信用卡		
Total payable fee 本人計算得以上課程合共: HK\$ _____ .		
I hereby authorize IFPHK Ltd. to charge this amount or, if I have miscalculated the amount, the correct amount payable to my credit card with details below. I understand that IFPHK Ltd. will notify me if I have miscalculated the payable fee after charging my credit card. 本人授權香港財務策劃師學會從下述信用卡戶口扣除上述所列費用。如有計算錯誤，請從下述戶口扣除正確費用並隨後通知本人。		
<input type="checkbox"/> Visa card	<input type="checkbox"/> MasterCard	
Card number 信用卡號碼:	<input type="text"/>	<input type="text"/>
Expiry Date 到期日:	<input type="text"/>	(MM/YYYY 月/年)
Cardholder's Name 卡主名字:	_____	
Cardholder's Signature 卡主簽署:	_____	Date 日期: _____