



CPD Seminar – Compliance Series (August 2015)

Starting from August 2015, HKICPA is going to launch a series of compliance related seminars for members who are interested in developing their understanding in compliance regulations and practices across different sectors.

In the first seminar of the Compliance Series, speakers from the financial services and banking sectors will illustrate why compliance function is important to Hong Kong financial institutions and how it interacts with other business functions within the institutions. The speakers will analyze the regulatory compliance trends in both Hong Kong and the U.S. in the past 10 years. Moreover, speaker from a professional CPA firm, who has been seconded to the compliance function of a financial institution, will share her daily business life when performing the role of a Compliance Officer.

Date/Programme code	Time	Topic	Speakers
Friday, 14 August 2015 (S150814S)	6:30 p.m. – 8:30 p.m.	Compliance Regulations and Practices in Financial Services and Banking Sectors	Mr. Wayne Lim, Executive Director, Compliance and Operational Risk Control, UBS AG Ms. Clara Leung, Director, Compliance and Operational Risk Control, UBS AG Ms. Michelle Tang Manager, Regulatory Advisory Services, PricewaterhouseCoopers

Venue	Hong Kong Institute of CPAs, 27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong.
Format	Seminar
Language	English
Fee	HK\$190 for HKICPA member or student; and IA/ HKIAAT member or student HK\$180 for online enrolment HK\$330 for non-member
Participants	Financial / Accounting practitioners who would like to enhance their compliance knowledge in the financial services and banking sectors, and/or who aspire to engage in compliance work.
Competency	Risk management; Corporate governance
Rating	Foundation Level (Please refer to the Institute's online CPD Learning Resource Centre)
CPD hours	2



About the programme

S150814S – Compliance Regulations and Practices in Financial Services and Banking Sectors

Course outline

- What is the role of Compliance?
- What are the regulatory trends in Hong Kong and the U.S. after the Global Financial Crisis broke out in 2008?
- How would be a day as a Compliance Officer?

Objective

- Understand the relevant compliance issues for the financial services and banking sectors.
- Evaluate important factors affecting the compliance operations.
- Appreciate the roles and functions of the compliance operations in the current regulatory environment.

About the speaker

Wayne Lim, Executive Director, Compliance and Operational Risk Control, UBS AG

Over the years, Mr. Lim has been a management consultant holding senior management positions for various multinational financial institutions. He now focuses on financial control and change management in compliance and operational risk within the financial service sector.

Clara Leung, Director, Compliance and Operational Risk Control, UBS AG

Ms. Leung is a qualified lawyer in HK and the UK specializing in securities compliance. She has extensive regulatory knowledge of the Investment Banking industry and recently focuses on Fixed Income compliance. She is also a part-time lecturer teaching corporate and business law in Hong Kong.

Michelle Tang, Manager, Regulatory Advisory Services, PricewaterhouseCoopers

Ms. Tang specializes in regulatory advisory services and provision of compliance risk management solutions for over 5 years. She has executed a number of independent reviews and advisory projects for global financial institutions and has been on several secondments to the compliance function of various institutions in Hong Kong.



To confirm your CPD booking,
 just log on to "My CPA" at
<http://www.hkicpa.org.hk>

HKICPA Event Enrolment Form (For Support Programme)

Finance & Operations Department,
 Hong Kong Institute of CPAs,
 37/F, Wu Chung House, 213 Queen's Road East, Hong Kong

Please click here for online enrolment
 (for HKICPA members only)

Payment & Enrolment Status Enquiry: 2287 7381
 e-mail: finance@hkicpa.org.hk
 Fax : 2893 9853

Course Information Enquiry:
 2287 7386 / 2287 7253
 e-mail: cpd@hkicpa.org.hk

FOR OFFICE USE

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								
4								
							Total (HK\$)	

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

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.

Contact Person : _____ Tel No. : _____ Fax No. : _____ E-mail : _____

Payment Method (Please tick the appropriate box)

Cheque (no. _____) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA" ⁽⁶⁾

VISA / MasterCard BOC HKICPA UnionPay card

Card Number:																				Card Expiry Date (MM/YY):				
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I would like to have an official receipt. (Remarks: Official receipt will be sent to your email address provided above).

- Notes:**
- Membership Status: **NP** = Non-Practising, **P** = Practising, **IA** = International Affiliate, **S** = Student, **HKIAAT** = HKIAAT Student or Member, **GAA** = GAA Passport holder, **NM** = Non-Member.
 - Successful applicants will receive confirmation of registration by email at least 3 working days before the event. Unsuccessful applicants will also be notified around the same time. If you have not heard from the Institute regarding your registration 2 working days before the event and if you have other enquiries related to the programme, please make enquiry at 2287 7386 or 2287 7253.
 - 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.
 - Application by fax 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 faxed to the Institute.
 - Please issue SEPARATE CHEQUE for each event.
 - NO REFUND/CANCELLATION will be entertained after the application is processed.
 - All scheduled events will be cancelled and postponed to a date to be announced in the event of typhoon signal no. 8 or above or if a Black Rainstorm warning is hoisted. For details of bad weather arrangement for CPD programmes, please refer to the Institute's homepage.
 - The Institute reserves the right to change the venue, date, speaker or to cancel the event due to unforeseen circumstances.
 - Your personal data collected from the enrolment process and administration of courses will be used for the purpose of the administration of the course on which you are enrolled. Such data collected may be accessible by the Institute's officers, persons or committees processing the application and related matters. In addition, the Institute may use the collected data for statistical research and analysis and, if applicable, for validation of CPD hours. The Institute intends to use the personal data of your name, email address and correspondence address to inform you, where relevant, of CPD activities, members' benefits, goods, services, facilities and events organized or provided by the Institute or other organizations. Members and registered students may opt out of receiving such materials at any time by logging in via the following link <https://www.hkicpa.org.hk/en/members-area/comm-preference/>. Non-members may opt out of receiving such materials at any time by sending an email to the Institute at privacyofficer@hkicpa.org.hk or a letter to the Institute's privacy officer. For more information about the privacy policy of the Institute, please go to <http://www.hkicpa.org.hk/en/service-tools/privacy-policy/>
 - No unauthorized audio or video recording is allowed at CPD events.

For payment by cheque, please fill-in your postal address for refund in case the event is full or cancelled.
 (Remarks: For payment by credit card, refund will be made directly to your credit card.)

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