



Institutional Risk Assessment

About the topic

Institutional Risk Assessment is a process that financial institutions internationally are expected to perform on their customer base, given the increasing number of non-compliance cases - money laundering, international sanctions, bribery and corruption, etc. The Hong Kong Monetary Authority has recently clarified its expectations regarding authorized institutions' assessment of money laundering and terrorist financing risks, through a circular. It is generally in line with the Risk-Based Approach Guidance for the Banking Sector issued by the Financial Action Task Force. In this seminar, the speakers will cover:

- How institutional risk assessments are established from the perspective of financial institutions; and
- The regulators' expectations in terms of risk assessments of financial institutions.

About the event

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| Date & Time | 23 June 2016, Thursday 1:00 – 2:00 pm |
| Venue | HKICPA training centre 27 th Floor, Wu Chung House 213 Queen's Road East, Wanchai |
| Fee | HK\$150 per person for ForensIG members HK\$250 per person for Non-ForensIG members <i>Priority is given to ForensIG members. Not a ForensIG member? For Institute members, click here and fill in the relevant information. For non-Institute members, click here to access and complete the application form.</i> |
| HKICPA CPD credit | 1 hour (subject to actual attendance) |
| Language | English |
| Competency | Forensic accounting* |
| Rating | Intermediate level* |
| Application deadline | 21 June 2016 |

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

Rundown

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| 12:30 pm | Registration (Sandwiches and drinks provided) |
| 1:00 pm | Introduction |
| 1:05 pm | Speakers' presentation |
| 1:50 pm | Q&A / Discussion |
| 2:00 pm | Closing |

Speakers

Khurram Pirzada

Associate Director, Forensic, AML & Sanctions, KPMG

Chris Wilson

Partner, Forensic Services, PricewaterhouseCoopers

Chair

Beth Junell

Member, ForensIG Management Committee, and Senior Managing Director, FTI Consulting



About the speakers

Khurram Pirzada is an Associate Director in the Anti-Money Laundering and Sanctions Services Department in KPMG Hong Kong's Forensic Advisory Services practice. He is currently leading engagements relating to customer risk assessment, institutional risk assessment, trade based money laundering controls, transaction monitoring systems and anti-money laundering (AML) remediation.

Khurram has led various engagements relating to Institutional Risk Assessment, AML, customer due diligence (CDD), transaction monitoring reviews and gap analysis. He has worked on designing and implementation of transaction screening and monitoring systems and is experienced in carrying out internal controls review to assess the effectiveness and identify improvement opportunities. He has conducted various training sessions regarding AML developments, economic sanctions in relation to trade finance business, transaction monitoring tools, CDD – identifying red flags etc. He has also worked as a subject matter expert and designed and implemented AML and sanctions compliance programs for bank with operations in multiple countries to ensure they meet regulatory expectations.

Khurram is a Certified Anti Money Laundering Specialist and has over 11 years experience in the banking sector with extensive exposure to trade finance business, AML, compliance, risk management and operations. Prior to joining KPMG, he was chief compliance officer at a Hong Kong-based subsidiary of a Swiss bank for eight years. In that capacity, he supervised the AML/CFT compliance management program, designed and implemented policies and procedures, conducted compliance reviews.

Chris Wilson is a Partner in PwC's Forensic Services practice who specialises in financial crime. Chris has led a number of engagements related to AML and sanctions, including a sanctions regulatory remediation project for a global bank in Asia. He has also performed a number of Asia Pacific engagements relating to financial crime risks for commercial clients and led a financial crime national risk assessment exercise for a government body in Asia, covering both public and private sectors.

Prior to joining at PwC, Chris spent over 7 years as a partner with another Big 4 in Hong Kong, where he was the Anti-Money Laundering / Sanctions Services Leader for Hong Kong and China. Previously he was the Regional Vice President and Head of Money Laundering Prevention for GE Money in Asia and Regional Money Laundering Reporting Officer for UBS Investment Bank, Asia. Chris also has a range of international experience outside Asia, having served as the Head of Group Compliance for Bank of Butterfield in Bermuda and in a regional AML role for JP Morgan in New York. Chris started his career in law enforcement and served 18 years in the UK, Bermuda, and Hong Kong Police Forces specialising in the investigation of commercial and financial crime. He is a Certified Fraud Examiner, Certified Anti-Money Laundering Specialist and currently co-chair of the Hong Kong Chapter of ACAMS.

Registration

- Click [here](#) for online registration (for ForensIG members who are HKICPA members only)
- By post or fax: Complete the attached reply slip and return it to the Institute on or before 21 June 2016, together with full payment. Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA". Fax registration will be accepted for payment by any Visa/Master credit card or the BOC HKICPA UnionPay card.

Contact May Hung at 2287 7009 for enquiry.



ForensIG lunch seminar: Institutional Risk Assessment

*** Online enrolment (for ForensIG members who are HKICPA members)***

23 June 2016

(Reply on or before 21 June 2016)

FOR OFFICE USE

Seq. no.:

Handled by:

Please allow 4 days to process your application. You can check your enrolment status at "[My CPA](#)". Unsuccessful enrolment will be notified before the commencement of the event with full refund.

Please type or print:-

Name: (*Mr./ Mrs. /Ms.) _____ Institute Membership No.: _____

Company Name: _____

Position Held: _____ Email: _____

Telephone No.: _____ Fax No.: _____

You may use a separate sheet to list out the name, position and Institute membership no. (if applicable) of additional participants from the same firm/company as the above applicant.

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"

VISA / MasterCard BOC HKICPA UnionPay card

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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:

- 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 June 2016**.
- You may consider your registration to be successful unless you receive notification from us to the contrary.
- Unless the event is cancelled due to unforeseen circumstances, no refunds will be given after applications have been processed.
- 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 6:30 a.m. on the date of the event. In the event of cancellation due to bad weather, the admission fee will be refunded.

Personal Data: Your personal data collected from the enrolment process and administration of courses/events/activities will be used for the purpose of the administration of the course/event/activity on which you are enrolled ("Event"). 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. By submitting this Enrolment Form, you understand and agree that the Institute may provide your personal data above to co-organisers/service providers in or outside Hong Kong for the purpose relating to the Event. The Institute intends to use the personal data of your name, email address and correspondence address to inform you, where relevant, of 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/>.

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| Payment & Enrolment Status Enquiry: 2287 7381 e-mail: finance@hkicpa.org.hk | Event Information Enquiry: 2287 7009 / 2287 7089 e-mail: may@hkicpa.org.hk |
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For payment by cheque, please fill-in your postal address for refund in case the event is full or cancelled.

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