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School of Professional Education
and Executive Development
專業進修學院



AIA CPD SEMINAR

Sharing Latest Trends and Industry Guidelines on Compliance and Anti-Money Laundering (AML)

Date: 23 Aug 2025 Saturday (*Enrollment closed on Wednesday, 20 Aug 2025*)
Time: 14:00 – 17:00 (registration: 13:45) **CPD Units:** 3 units
Fee: \$150 for AIA and supporting organisation
Language: Chinese (Supplemented with Chinese or English PPT)
Venue: Lecture Theater WK-N213, 2/F North Tower, PolyU HKCC (West Kowloon Campus)
Address: 9 Hoi Ting Road, Yau Ma Tei, Kowloon
Remarks: CPD Certificate will be sent via email after attended the seminar

Part 1 - by Mr. Zhang Yin, Adam

1. The Global Trends of Anti-Money Laundering

- Exploring the latest regulatory changes in Hong Kong and Internationally and their Implications
- The role of important International Compliance Agencies

2. Risk Assessment and Management

- Effective Risk Assessment Methods
- Best practices in risk management

3. Compliance Culture and Training

- How to build a strong compliance culture
- How to enhance employees' compliance awareness and skills?

4. Monitoring Mechanisms and Case Studies* ***Strategies for Monitoring Suspicious Activity**

- Strategies for monitoring suspicious activities
- Successful and Failure Case Studies

Speaker:

Representative of CAMS: Mr. Zhang Yin (Adam) is an expert in financial crime regulations and practices. He has served as the head of anti-money laundering and financial crime compliance for the wholesale business at a foreign bank, overseeing risk control and strategy development in areas such as anti-money laundering, sanctions, anti-fraud, and payment transparency. He provided compliance consultation and risk assessments for corporate clients impacted by sanctions and shared insights on financial crimes with major state-owned banks.



Previously, as a senior manager at a Big Four accounting firm, he assisted various financial institutions in developing anti-financial crime compliance frameworks and processes. His work included regulatory compliance, customer due diligence, transaction monitoring, and project management. He also helped a city commercial bank listed on the Hong Kong Stock Exchange establish an anti-money laundering framework, focusing on risk assessments and system improvements, which received high recognition from regulators.

Throughout his career, Mr. Zhang Yin has been invited to deliver training and presentations for numerous financial institutions and industry associations, including HSBC, Bank of China, and Taiping Insurance.

Part 2 - by Mr. Boris Luk

1. The Compliance Perspectives of Money Service Operator (MSO) License and Practical Compliance Sharing for Business Scenarios

- Identifying Common Compliance Issues and Regulatory Priorities of Money Service Operator (MSO) Licensees
- Understanding Practical Compliance Sharing for Business Scenarios

2. Documents and Expectations Required for the Opening of MSO Bank Accounts in Hong Kong



Speaker:

Dr Boris Luk is a seasoned professional in the fields of corporate governance and

compliance, with extensive experience in company secretarial and compliance matters. He holds a Doctorate of Business Administration, Master of Philosophy in Management, Master of Business Administration, Master of Laws, and Bachelor of Laws, and is a chartered governance professional, qualified accountant and Forensic CPA, CAMS, CGSS and CFE.

Boris has over six years of experience as Chief Compliance Officer (CO) and Money Laundering Reporting Officer (MLRO) for numerous multinational licensed corporations.

Part 3 - by Mr. Tao Wong

1. Money Service Operators Licensing Guide

- An overview of the application for a Money Service Operator (MSO) License
- Important issues for money service operator license renewal

2. The Compliance issues of Money service operator license

- The importance of customer due diligence (CDD) and record keeping
- Effective customer relationship management practices
- Understanding ongoing regulatory obligations
- Implementing comprehensive risk management
- Strategies for taking competency assessments

3. The Security and Compliance of Cross-border Payments

- Overview of key regulations and guidance on cross-border payments
- Importance of implementing security measures
- Real-time transaction monitoring and suspicious activity detection

Speaker:

Mr. Tao Wong graduated with a BSc in Business Administration and Finance from the University of Kansas of the United States. Tao Wong entered the financial industry at Haitong International Securities Group Limited (previously "Taifook Securities").



In 2017, Tao Wong co-founded ComplianceOne Consulting Limited ("ComplianceOne"). He is currently the Partner of the Company and is responsible for providing advisory services to various types of financial institutions. He is an expert in designing strategic planning and tailor made operational plans for clients, helping hundreds of financial institutions, including

licensed corporations, licensed money service operators, and other corporations to comply with the AMLO and the related regulations in Hong Kong. Over the years, he has handled hundreds of licensing cases, external AML Audits, and compliance inspections.

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Registration Form – 20250823

Name:	<div>_____</div> <div>your name will be printed on CPD certificate</div>		
Please tick the appropriate box below:			
<input type="checkbox"/> AIA member (membership no: _____)			
<input type="checkbox"/> Supporting Organisation : _____			
Email:	<div>_____</div> <div>Confirmation email and CPD certificate will be sent via Email</div>	Mobile No:	<div>_____</div>
Payment: 1. Direct Deposit: DBS Bank (#016) [Account Number: 02-30613167 / Account Name: The Association of International Accountants - Hong Kong Branch] 2. Send Cheque Payable to "The Association of International Accountants - Hong Kong Branch" at Rooms 1010-1011, 10/F Lu Plaza, 2 Wing Yip Street, Kwun Tong, Hong Kong *Please email the payment image and the registration form to Ms. Aby Yuen at hongkong@aiaworldwide.com first.			

Terms and Conditions:

- I have read the booking conditions below and agree to abide by them
- Email will be sent once registration form and payment received and No refund can be made.
- Enquiries: 2845 4982 (Tel); hongkong@aiaworldwide.com (email)