



# 香港專業保險經紀協會

## PROFESSIONAL INSURANCE BROKERS ASSOCIATION

Ref. No. : MEMO/0256/2021  
To : All Members  
From : Herman Cheung - Education Sub-Committee Chairman  
Date : 9 November 2021

### CPD Course 進修課程

#### Insurance and Financial Regulatory Compliance – Anti-Money Laundering and Counter-Terrorist Financing

保險及金融法規遵守 – 打擊洗錢及恐怖分子資金籌集

Contents : 1. How to establish general policies and procedure for AML & CTF legislations and regulators' guidelines  
2. Customer due diligence  
3. Risk-based approach  
4. Introduction to "Politically Exposed Persons"  
5. Risk assessment and periodic re-assessment  
6. Record-keeping  
7. Suspicious Transaction Reporting (STR) procedure  
8. Staff training requirement under IA's GL3  
Self-Assessment on Compliance with AML Guideline (Broker)

Date : 17 December 2021 (Friday)

Time : 6:45 – 9:45 pm (3 hours) [registration will be started at 6:15 pm]

Venue : VTC Tower, 27 Wood Road, Wanchai, Hong Kong  
(Please check the exact venue on 9/F of VTC Tower on the course day.)

Medium of Teaching : **Conducted in English with English materials**

Facilitator : **Mr. Victor Lee**  
**LLB, FLMI, ALHC, ANZIIF (Snr Assoc)**

Credits : **3 IA CPD Hours "Ethics or Regulations", 3 MPFA CPD non-core Credits, 3 SFC CPT Credits and 3 HKMA ECF-CPD Credits**

Dress Code : Smart casual

**Online Enrollment** : **\*\* [Click here](#) \*\***

Enrollment Deadline : **6:00pm of 10 December 2021 or when it is full, whichever is earlier**



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**\*\*Payment advice will be emailed to enrollee if your seat is confirmed\*\***

Administration Fee : HK\$165 for PIBA member; HK\$270 for non-PIBA member

- Important Notes** :
1. : All participants will be subject to body temperature checks before admission.
  2. All participants must put on facial mask during the conference/course.
  3. Seats are allocated on a first-come-first-served basis.
  4. Administration fee is non-refundable and non-transferable.
  5. Full and strict attendance is enforced as attached
  6. Course certificate will be issued right after successful completion of the course.

For enquiry, please feel free to contact Ms. Eleanor Chung at 2869 8515.



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### ATTENDANCE REQUIREMENTS

#### (A) Punctuality

All participants of the course are required to fulfill full strict attendance record for the issuance of certificate. Participants should arrive 15 minutes before the course official starting time for registration.

0.5 IA CPD hour will be deducted for any late arrival or early departure for over 15 minutes. MPFA and SFC credits will only be given to participants who attend more than 80% of the course.

No admission will be allowed if anyone arrives 30 minutes after the course official starting time and, in addition, anyone leaves more than 30 minutes earlier, no certificate will be issued.

*Participants must accomplish satisfied sign-in and sign-out record for issuance of PIBA CPD Certificate.*

#### (B) Adverse Weather Arrangements

If a black rainstorm warning / typhoon warning signal no. 8 or above is in force after 6am of the day, the course will be cancelled. The administration fee will be refunded accordingly.

#### (C) Respect the course, respect yourself

All participants must present their HKID card for registration and/or collection of certificate.

All participants must turn off the sound of mobile phones, pagers etc. during the course to avoid disturbance.

Please do not talk, read magazine/newspaper or interfere others during the course.

Please follow the instructions given by the speakers and/or the co-organizers of the course.

Please keep the venue clean and tidy all the time.

You are required to dress properly and decently.

Administration fee of the course must be duly paid before the stipulated deadline.



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**PIBA retains the right to deduct the CPD hours or refuse to issue certificate to those who breached any of the above.**