



KYC and Customer Documents Review in Thailand, Malaysia, Japan and Philippines

5 July 2014

HKIB CPD	SFC CPT
3 Hours	3 Hours



Objective

After completion of this course, participants should be able to have a general understanding of capacity and authorisation issues and documents required for various types of entities (e.g. companies, banks, insurance companies and securities broker) for entering into transactions in Asia (e.g. Thailand, Malaysia, Philippines and Japan).

Programme Outlines

- ◆ What is the purpose of obtaining documents from customers for account opening procedures?
- ◆ What is Customer Due Diligence?
- ◆ What is the requirements for identification and verification of customer's identity?
- ◆ What are the capacity and authorisation issues of various legal entities in Thailand, Philippines, Malaysia and Japan?
- ◆ Review of KYC and customer due diligence documents of various entities in Thailand, Philippines, Malaysia and Japan
- ◆ Group discussion and industry practices sharing

Target Audience

Bank Staff/Executives from Compliance and Legal Department, Internal Audit/Control and Risk Management Department; and any members who are interested in this topic are also welcome to join.

Speaker

The speaker has around 20 years of experience working in the financial services industry and professional legal and accounting firms and involved in various functions such as risk, credit, accounting, legal and compliance of several corporate, commercial and investment banks. He was previously the head of credit control of a reputable corporate and commercial bank in Hong Kong. Currently, he is the regional legal counsel of a global corporate and investment bank. He is a qualified lawyer in Hong Kong and England, a CPA in Hong Kong and England, an associate member of HKIB and chartered banker of the Institute of Bankers in Scotland. He has substantial experience in delivering seminars and training in universities and professional institutes.

Programme Details

Language	:	English
Date	:	5 July 2014 (Saturday)
Time	:	10:00 - 13:00
Duration	:	3 hours
Venue	:	3/F Guangdong Investment Tower, 148 Connaught Road Central, Sheung Wan (Sheung Wan MTR Station Exit C)
Fees	:	HK\$1,200 (Members) HK\$1,400 (Corporate members' staff) HK\$1,600 (Non-members)
Enrollment	:	By fax at 2544 9946 or In person at HKIB
Enquiry	:	2153 7877 / 2153 7865

Registration Form

KYC and Customer Documents Review in Thailand, Malaysia, Japan and Philippines (HP-P14-0716)

(as on I.D. Card)

Full Name: Mr / Ms
(in English)

Full Name: []
(in Chinese)

Membership no:

Organization:

Department:

Position:

E-mail: (confirmation will be sent via e-mail one week before course commences)

Mobile / Telephone no:

Payment Method : Crossed cheque made payable to **The Hong Kong Institute of Bankers** (Cheque no.: _____)

Credit Card : VISA Mastercard Amount: HK\$ _____

Cardholder Name : _____ Signature : _____

Card No. : _____ Expiry Date : _____ (mm/yy)

How did you know about this program?

- Website HR Department E - news Others (Please specify): _____
 Friends / Colleagues Banking Today HKIB Counter _____

Terms and Conditions

- All fees paid are non-refundable and non-transferrable.
- Participants who have settled payments will receive course confirmation by e-mail within 7 days prior to the course date.
- All payments must be settled before course commencement.
- Priority of enrolment will be given on a 'first-come-first-serve' basis. HKIB Member will have priority to register if there is limited seat remained for the program.
- We reserve the right to reject an enrolment at any time.
- We reserve the right to cancel, modify and/or postpone the course due to unforeseen circumstances.
- The information given and personal data collected will be used for the purpose of administration and communication by the Institute.
- For the Typhoon or Rainstorm arrangement, please refer to the confirmation e-mail or HKIB's website (www.hkib.org).

