

# Upcoming Events

**12 May 2016**

## In-Town Guest Series: Cybersecurity Challenges for Global Financial Services Institutions

Event Code: E051216PS

**1 CPT hour recognised by SFC**

**1 OPT hour recognised by PWMA**

Language: English

Registration: 12:00pm-12:20pm\*

Seminar: 12:20pm-1:20pm

Venue: HKSI Institute\*\*

Fee: \$300 for HKTA Members  
\$380 for Public Enrolment

### Speaker:

**Mr David White**

Director

AlixPartners

Today's financial services institutions are challenged globally to keep pace with changing and covert cybersecurity threats. The likelihood and potential impact of newer, more sophisticated attacks breaching an organisation has moved security front-and-center on most executive boards' agendas. In this presentation, Mr White will cover key areas below:

- top security challenges faced by financial services institutions, ranging from geographically diverse compliance requirements and cross-border regulatory challenges to expanded vulnerabilities due to increasing supply chain and partner integration;
- trends in building proactive cyber-response programmes; and
- best practices for meeting the above challenges.

**26 May 2016**

## Handling AML/KYC Matters

Event Code: E052616PS

**1 CPT hour recognised by SFC**

**1 OPT hour recognised by PWMA**

Language: English

Registration: 12:00pm-12:20pm\*

Seminar: 12:20pm-1:20pm

Venue: HKSI Institute\*\*

Fee: \$300 for HKTA Members  
\$380 for Public Enrolment

### Speakers:

**Mr Sam Yu**

Head of Legal and Compliance, Asia Ex-Japan

Baring Asset Management (Asia) Limited

**Mr Monty Yuen**

Head of Overseas Compliance Section

The Bank of East Asia, Ltd

With the prevailing anti-money laundering (AML)/ know-your-customer (KYC) regulatory requirements as imposed on asset management and securities firms, banks and practitioners, Mr Yu and Mr Yuen aim to share practical experiences and know-how to best deal with such regulatory compliance matters.

Main pointers will include:

- Performing risk-based approach when setting up AML/KYC requirements
- Understanding basic requirements to satisfy AML/KYC needs
- Managing conflicts between AML/KYC requirements and business operation
- Preparing sufficient protection on documentation
- Handling high risk clients

## Events 活動

**Enrolment Form 報名表格** (Please read the general notes before completing the Enrolment Form 請在填表前先閱讀表格之申請須知)

### Part 1 第一部份 Personal Particulars 個人資料

#### Part 1A (COMPULSORY 必須填寫)

Mr/Mrs/Ms/Miss/ Dr	Surname	First Name
先生/女士/小姐/博士	(As stated on your HKID Card / Passport 必須與香港身份證 / 護照上相同)	中文姓名 (如適用)
^HKID Card/Passport No. 香港身份證/護照號碼		Mobile Number 手機號碼
^ Fill in at least the first 4 characters for the purpose of identification and data entry (e.g. A123, AA12). 最少填寫首四位字元，以核對身份及登記資料用途 (例如: A123, AA12). Participant who provide full name as shown on HKID/passport will facilitate CPT/CPD record tracking purposes.		
E-mail address 電郵地址		
Confirmation notice will be sent via e-mail ( <b>Personal email address preferred</b> ) 學會將透過電郵發出確認通知 ( <b>首選個人電郵地址</b> )		
HKSI Institute's Membership No. 本學會會員編號 (if any 如適用) HKTA Member		

#### Part 1B (Only applicable to NEW applicants or EXISTING applicants who would like to update their personal information 適用於新申請者或需更改資料之現有紀錄人士)

Name of Company 公司名稱	Position 職位
Correspondence Address 通訊地址	
Daytime Contact Number 日間聯絡電話號碼	Fax Number 傳真號碼
*Please note that your company name will be shown on your Attendance Record 出席紀錄將會顯示公司名稱	
Please affix your company stamp in the box if your company is a HKSI Institute Corporate Member 如貴公司是本學會團體會員 請在格內蓋上公司印章	<b>Corporate Member's Company Stamp</b>  團體公司印章
<b>Corporate Membership Number 團體會員編號</b> ( C )	

### Part 2 第二部份: Other Information 其他資料 (For statistical analysis and promotion 以供統計分析及推廣之用)

- Education 教育程度**

1.01 Secondary or below 中學或以下程度   
  1.02 Post-secondary 大專   
  1.03 Degree Graduate 大學畢業   
  1.04 Master or above 碩士或以上
- Main Working Field 主要從事行業 (Choose one key industry 選擇一項主要業務)**

2.01 Securities Dealing & Advising 證券交   
  2.02 Derivatives Dealing & Advising 衍生工具交易及意見提供   
  2.03 Corporate Finance 機構融資  
 2.04 Leveraged Foreign Exchange Trading 槓桿式外匯交   
 2.05 Credit Rating Services 信貸評級服務   
 2.06 Asset Management 資產管理  
 2.07 Banking 銀行   
 2.08 Private Wealth Management 私人財富管理   
 2.09 Accounting 會計   
 2.10 Legal Services 法律事務   
 2.11 Insurance 保險  
 2.12 Training & Education 教育及培   
 2.13 Student 學生   
 2.14 Unemployed 待業   
 2.15 Other 其他 (Please specify 請註明 \_\_\_\_\_)
- Work Experience 工作經驗**

3.01 < 1 year 年   
 3.02 1-4 years 年   
 3.03 5-10 years 年   
 3.04 11-15 years 年   
 3.05 > 15 years 年
- Firm Size 機構規模**

4.01 < 100 employees 員工   
 4.02 100-299 employees 員工   
 4.03 300-499 employees 員工   
 4.04 500+ employees 員工
- I know about this course / event from HKSI Institute's 本人從學會以下途徑得悉課程或活動資料**

5.01 Website 網頁   
 5.02 Office 辦事處   
 5.03 Evening Course 晚間課程  
 5.04 Professional Event 專業活動   
 5.05 Others 其他 (Please specify 請註明 \_\_\_\_\_)
- I wish to receive latest news from HKSI Institute 本人希望收到學會的最新消息 (You can choose MORE THAN ONE 可作多項選擇)**

6.01 All Promotional 所有推廣資料   
 6.02 Continuous Professional Training Programmes 課程   
 6.03 Examinations 考試  
 6.04 Events 活動   
 6.05 Executive Development Programmes 行政人員培訓   
 6.06 Member News & Members Only Events 會員訊息及會員專享活動
- I do not wish to receive any forthcoming information related to HKSI Institute. Excepted for the above selected item(s)**  
 本人不希望收到任何有關學會發出之資料，除以上已選擇之項目。

### Part 3 第三部份 Event Application 申請課程

Event Code 活動編號	Event Title 活動名稱	Event Date 活動日期 (DD/MM/YYYY)	Fee 費用
Total HK\$			

### Part 4 第四部份 Payment Method 付款方式

Cheque 支票 (Cheque No. 支票號碼: \_\_\_\_\_)  EPS 易辦事  Union Pay 銀聯卡<sup>^</sup>

(Please make payable to "Hong Kong Securities and Investment Institute" 支票抬頭請付予 "香港證券及投資學會")

Amex Card     -       -

For official use only 學會專用

Approval Code

VISA/Master     -     -     -

<sup>^</sup> Union Pay Card

(<sup>^</sup>Payment is accepted at the HKSI Institute's Counter only / 銀聯卡服務只限本學會櫃檯付款)

Cardholder Signature 持卡人簽署 \_\_\_\_\_

(This signature must correspond with the signature on the credit card 此簽署必須與信用卡相同)

#Cardholder's Name 持卡人姓名 \_\_\_\_\_ Expiry Date 有效日期: \_\_\_\_\_ (MM/YY)

(#Cardholder MUST BE the participant; otherwise HKSI Institute will reject the application 持卡人必須為申請者本人, 否則本會將不接受申請)

### Statement on Collection of Personal Data 收集個人資料聲明

- It is necessary for applicants to supply their personal data and to provide all the information requested in the application documents, where applicable, as otherwise the Institute may be unable to process and consider their application.
  - The personal data provided in this form will be used for processing your application for admission, registration, academic and administrative communication, research statistical and marketing (Including direct marketing) purposes. In all such circumstances, please be assured that any personal information you supply will be strictly confidential.
  - The Institute will send urgent messages to participant via email and supplemented by other means such as Short Message Services (SMS). It is therefore important that the email address and mobile phone of the applicant are accurate. Any change should be reported to HKSI Institute immediately. Those who have genuine difficulty in receiving urgent message via email/SMS should contact HKSI Institute for separate arrangements.
- 申請人必須提供其個人資料及足夠課程申請所需資料, 否則本學會不能有效處理閣下之申請。
  - 在法律許可情況下, 個人資料將會作為報讀申請、註冊、有關學術及行政通訊、研究、統計、市場分析及推廣(包括直接銷售)等用途。閣下提供的所有個人資料將絕對保密。
  - 在緊急情況下, 學會將向申請人發放電郵, 或在有需要時附以其他方式, 例如短訊以作通知。請準確填寫有關資料以便聯絡。如有任何更改, 請盡快通知學會提出更新。閣下如對接收電子郵件或電話短訊通知遇有困難, 請聯絡本會, 以便作出適當安排。

#### Applicant's Declaration 申請人聲明

I hereby declare that the information I provided in this application form is complete and correct. I have read the general notes and agree to abide by the notes mentioned.

本人謹此聲明在本申請表格中所填報之資料均屬正確無訛。本人已閱讀『申請須知』, 並完全同意及遵守有關事項。

Signature of Applicant 申請人簽署: \_\_\_\_\_ Date 日期: \_\_\_\_\_

Hong Kong Securities and Investment Institute Room 510, 5/F, Wing On Centre, 111 Connaught Road Central, H.K. 香港干諾道中 111 號永安中心 5 樓 510 室

香港證券及投資學會 Hotline 熱線: (852) 3120 6100 Fax 傳真: (852) 2899 2611 Website 網址: [www.hksi.org](http://www.hksi.org) Email 電郵: [event@hksi.org](mailto:event@hksi.org)

## Notes

1. Please send your completed enrolment form(s) together with the appropriate event fee to the HKSI Institute by fax, mail, e-mail or in person before the closing date. Online registration is also available on [www.hksi.org](http://www.hksi.org). No telephone reservations will be entertained. Applicants who wish to enjoy Corporate/Individual Member Fee must provide relevant information at the time of application. Otherwise, Non-member Fee shall be charged and the fee difference will not be refunded.
2. Enrolment will only be confirmed upon receipt of payment. Any enrolment forms without appropriate payments will be rejected by the HKSI Institute. Application indicating payment by cheque will not be processed without attachment of a cheque. Applicants who would like to pay by cheque, please make payable to "Hong Kong Securities and Investment Institute". Post dated cheque will not be accepted
3. Applicants should note that cash should not be sent through mail.
4. An electronic confirmation letter will be issued to participants via e-mail accordingly. Applicants who do not receive electronic notifications 3 working days before course commencement date should contact our Hotline at (852) 3120 6100. Applicants will be informed via e-mail if there is any change to the courses.
5. Applicants must read the event regulation conditions and agree to abide by them before submitting enrolment form.
6. Refund/Substitutions:
  - Refund is not considered.
  - Once accepted to the enrolled course, participant cannot transfer to another course.
  - Programme fees paid are non-refundable and non-transferable irrespective of individual's attendance status, with the exception of unsuccessful application due to full enrolment or program cancellation.
  - The HKSI Institute reserves the right to cancel programs due to under-enrolment and registrants will be notified individually for refund arrangement. (Note: The refund will be payable to the registrants concerned in Hong Kong dollars within 28 FULL WORKING DAYS after programme commencement date. The refund will be made via cheque for fees received via cash, cheque, union pay or EPS. For fees received via credit card, refund will be made to the same credit card account that is used to pay the registration fees.)
7. Personal data supplied in this enrolment form will be used only for purposes relating to enrolling / and attending HKSI Institute Professional Events. HKSI Institute reserves the right to inspect personal identity of attendees.
8. Seats are limited and enrolments will be processed on a first-come-first-served basis.
9. Hong Kong Securities and Investment Institute reserves the right on the following:
  - To change or cancel any of its events due to unforeseen circumstances.
  - To ask improperly behaved participants to leave the event. No refund/CPT or CPD hour(s) will be considered under this circumstance.
10. By participating in HKSI Institute event(s), you understand that portions of the event(s) may be recorded in video and audio and/or captured in still and/or digital photographs; and you hereby grant HKSI Institute the right and permission to use in perpetuity your photographic images, voice, and/or testimonial(s), for the purpose of advertising and publicising HKSI Institute events and services. HKSI Institute owns all rights, title and interest, including intellectual property rights, in any audio, video, and/or photograph captured during the event(s).
11. Bad Weather Arrangement
  - For Seminar held between 9:00am to 11:00am at the HKSI Institute Training Centre – the seminars will be rescheduled, if typhoon signal no. 8 or above/Black Rainstorm Warning is in force and not lowered by 7:00am
  - For Seminar held between 12:00pm to 2:00pm at the HKSI Institute Training Centre – the seminars will be rescheduled, if typhoon signal no. 8 or above/Black Rainstorm Warning is in force and not lowered by 9:00am
  - For Seminar held between 4:00pm to 6:00pm at the HKSI Institute Training Centre – the seminars will be rescheduled, if typhoon signal no. 8 or above/Black Rainstorm Warning is in force and not lowered by 12:00pmRegistrants will be notified on the reschedule details on the next business date.

## 申請須知

1. 請將填妥的報名表格連同適當的活動費用，於活動截止報名日期前 親身、傳真、電郵或郵寄至香港證券及投資學會。申請人亦可於網上報名，所有活動不接受電話留位。申請人如欲享有團體/個人會員 課程學費之優惠，在申請時必須提供有關資料，否則本會將收取非會員活動費用之金額。活動費用之差額 亦將概不退還。
2. 報名表格必須連同適當費用遞交，學會才會確認該申請。其餘申請，學會一概不會接受。如欲以支票繳付學費者，報名表格必須連同支票一併遞交，支票抬頭請付予“香港證券及投資學會”，本學會概不接受期票，否則其活動申請將不獲受理。
3. 申請人切勿郵寄現金至本學會付款。
4. 確認通知書會以電郵方式通知申請者，申請人如在活動前三個工作天尚未收到通知，請致電 (852) 3120 6100 與學會活動部聯絡。活動如有任何更改，學會將透過電郵通知。
5. 申請者在遞交報名表格前，必須細閱活動守則，並同意及遵守其規條。

### 退還課程費用/學額轉讓

6.
  - 活動費用概不退還。
  - 一經取錄，學員不得轉移到其他活動。
  - 除活動額滿或活動被取消外，學員已繳之學費〔不論有否出席〕均不予退還或轉用於另一活動。
  - 本學會有權因報名人數不足而決定取消活動。受影響的學員將獲個別通知安排退款事宜。(備註:退款一般可於活動日期起 28 個工作日內退回給申請人；申請人如以現金、支票、易辦事或銀聯付款，學會將會以支票形式退還款項予申請人士。申請人如以信用卡支付學會將會安排退款予申請人士在報名申請時使用的相同信用卡號碼之戶口內。)
7. 本申請表上提供的個人資料，僅供作處理有關報讀/及出席本學會活動事宜之用。本學會保留檢查出席活動人士之身份證明之一切權利。
8. 由於名額有限，報名以先到先得方式進行。
9. 香港證券及投資學會保留以下權利:
  - 在不可預期的情況下，本會有權更改或取消任何活動。
  - 申請人如在研討會期間作出不當行為，本會有權要求申請人退出活動。而申請人活動之費用及其 CPT 或 CPD 小時將不獲發回。
10. 本學會可能在某些活動中，會進行拍攝、錄影或/及錄音，而閣下在此授予本學會權利和許可，以永久使用持有閣下的影像，語音或/及見證，作為廣告、宣傳學會活動和事務之用途。香港證券及投資學會在活動中所記錄的任何音頻、視頻或/及照片擁有所有權利、權益，包括知識產權。
11. 惡劣天氣特別安排  
於香港證券及投資學會培訓中心舉行的活動:
  - 如 8 號或以上強風信號/黑色暴雨在上午 7 時正仍然懸掛，當日 9:00am-11:00am 舉辦之活動將會取消。
  - 如 8 號或以上強風信號/黑色暴雨在上午 9 時正仍然懸掛，當日 12:00pm-2:00pm 舉辦之活動將會取消。
  - 如 8 號或以上強風信號/黑色暴雨在中午 12 時正仍然懸掛，當日 4:00pm-6:00pm 舉辦之活動將會取消。有關活動延期之最新安排，本會將在下一個工作天以電郵通知各參加者。