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A LUNCH-TIME PANEL DISCUSSION ON
“KNOW YOUR CLIENT” AND CLIENT DUE DILIGENCE ISSUES FOR
MAINLAND CLIENTS

Panel: Catherine Ng (Couatts, Hong Kong);
Alex Duperouzel (Managing Director, AML Services Ltd); and
Amy Zhang (Trust Marketing Manager (Trusts and Fiduciary
Services) at the Bank of East Asia Ltd)

Mediator: Michael Olesnicky (Special Advisor, KPMG)

Date: Friday, 31 August 2018

Time: 12.30 – 2.00 pm

Venue: KPMG, 8/F Prince’s Building, Central, Hong Kong

A light lunch will be served from 12.15 pm onwards.

The discussion: Anti-money laundering rules in Hong Kong impose a high standard of customer due diligence/know-your-customer procedures on banks, securities firms, insurers, trustees, corporate services providers and other professionals when establishing new customer relationships. In addition, service providers are required to satisfy themselves as to the source of funds owned by new clients. The industry has learned to deal with those requirements, but customers from Mainland China give rise to special issues and difficulties.

In this seminar, a panel will discuss these issues and share their experiences when dealing with Mainland Chinese customers. This is an important session for all industry players.

The panel and mediator:

Alex Duperouzel is the Managing Director of AML Services Ltd, a ComplianceAsia company. He has been involved in work connected to anti-money laundering and various aspects of investigating financial crime since 1991. His practice advises clients on policies and procedures with respect to AML/CFT and is engaged to assist firms meet their responsibilities under Hong Kong, Singapore and Cayman Islands legislation.

Catherine Ng has a legal background and has been working for major international banks in Singapore and Hong Kong since the early 1990's in roles that span the risk management and compliance functions in Corporate & Investment Banking and Private Banking. Catherine was instrumental in the setting up and running of the compliance function in several banks from 1998 and has held Head of Compliance and MLRO positions in the region overseeing regulatory compliance, AML/CFT and compliance controls. In her last role, Catherine was the Regional Head of Compliance for a global private bank. She currently runs her own compliance advisory and consultancy business and actively contributes to the enhanced competency framework for private wealth management and AML/CFT by the Hong Kong Monetary Authority (HKMA) through The Hong Kong Institute of Bankers (HKIB).

Amy Zhang has over 15 years of experience working in the finance industry in both London and Hong Kong servicing high net-worth individuals and prestigious family offices and providing investment advice and wealth planning solutions. She worked in Barclays Wealth London, Pictet & Cie London and UBS HK before she turned to the wealth planning area and obtained LLM in 2015 and TEP in 2017. She is currently working in Bank of East Asia Trustee Limited. She has advised many local Hong Kong families on their family succession planning, as well as many Chinese mainland business owners on the Pre-IPO trust and Employee Benefit Trust in the last few years. Amy is fluent in Mandarin, Cantonese as well as English.

Michael Olesnicky is an Australian trained lawyer who left legal practice in 2014 and joined KPMG as a Special Advisor. He has experience in general corporate tax advice, tax disputes and litigation, and stamp duty matters. With a focus on Asia generally and Hong Kong specifically, Michael has also focused on estate and succession planning for high net worth individuals in Asia.

Those interested should register using the attached seminar enrolment form.

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SEMINAR ENROLMENT FORM

A LUNCH-TIME PANEL DISCUSSION ON “KYC” AND CDD ISSUES FOR MAINLAND CLIENTS

Panel: Catherine Ng (Coutts, Hong Kong), Alex Duperouzek (AML Services Ltd) and Amy Zhang (Bank of East Asia Ltd)

Mediator: Michael Olesnicky (KPMG)

Date: Friday, 31 August 2018

Time: 12.30 – 2.00 pm

Venue: KPMG, 8/F Prince’s Building, Central, Hong Kong

For “early bird” payments received on or before 28 August 2018, the cost per person will be HK\$350 for members of STEP and the HK Trustees’ Association Ltd, and HK\$400 for non-members. Applications for ten or more members can enrol at a special discount fee of \$325 per person. For payments received after 28 August 2018 the cost will be \$400, \$450 and \$375 respectively. Student members of Hong Kong University and Chinese University can enrol at a special rate of \$150.

A light lunch will be served from 12.15 pm onwards.

Please complete this form and return it to us at PO Box 8493, GPO Hong Kong with your cheque made payable to **HK Trustees’ Association Ltd**. Alternatively, you can deposit cash/cheque to the HKTA bank account (Standard Chartered Bank, A/C No. 447-0-024582-3) and send us a copy of the deposit slip and registration form.

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