



**PEAK**

## PEAK AML/CFT Programme Series 高峰進修學院打擊洗錢及恐怖分子資金籌集課程系列



### **Anti-Money Laundering and Counter-Terrorist Financing Ordinance and Relevant Regulatory Requirements** (5 Modules)

打擊洗錢及恐怖分子資金籌集條例和相關監管要求 (5個單元)

HKCAAVQ Ref. Code: 80/07/167



### **AML/CFT Series** (4 Modules)

打擊洗錢及恐怖分子資金籌集系列 (4個單元)

HKCAAVQ Ref. Code: 80/07/178

All the above modules are Qualified CPD Activities under the category of "Ethics or Regulations" approved by HKCAAVQ.  
以上各單元已獲香港學術及職業資歷評審局批准為合資格持續專業培訓活動的「道德或規例」類別。

# Anti-Money Laundering and Counter-Terrorist Financing Ordinance and Relevant Regulatory Requirements

## 打擊洗錢及恐怖分子資金籌集條例和相關監管要求

HKCAAVQ Ref. Code: 80/07/167



### Module 1: AML/CFT Regulatory Requirements

#### 單元一：打擊洗錢/恐怖分子資金籌集-監管要求

Programme Code 課程編號: 761F2

Duration時數 : 2 hours/小時

#### Programme Contents 課程內容

- What is Money Laundering and Terrorist Financing? 打擊清洗黑錢及恐怖分子籌資活動定義重溫
- Legislation on Money Laundering & Terrorist Financing 打擊清洗黑錢及恐怖分子籌資活動法例
- Money laundering & Insurance industry 洗黑錢與保險的關係
- Practice with reference to Insurance Industry/Guideline on Anti-Money Laundering and Counter-Terrorist Financing issued by the Office of Commissioner of Insurance/New AMLO (Apr 2012) 保險業實務/保險業監理處發出的「打擊洗錢及恐怖分子資金籌集指引」和相關條例(2012年4月1日起生效)
- Know Your Client (KYC) Rule and Customer Due Diligence (CDD) 認識你的客戶(KYC)規則和客戶盡職審查(CDD)
- Principles of client identification and beneficial ownership 客戶的身份證明及實益擁有權原則
- The Screen-Ask-Find-Evaluate (SAFE) approach SAFE評估方法
- Recognition & Reporting of suspicious transactions (STR) 舉報可疑交易(STR)
- Indicators of suspicious activities 可疑活動的評估指標
- Money laundering cases 洗錢案例
- Record keeping 記錄保存
- Guideline on Exercising Power to Impose Pecuniary Penalty issued by the Office of Commissioner of Insurance 保險業監理處的「行使施加罰款權力指引」



### Module 2: Tax Evasion

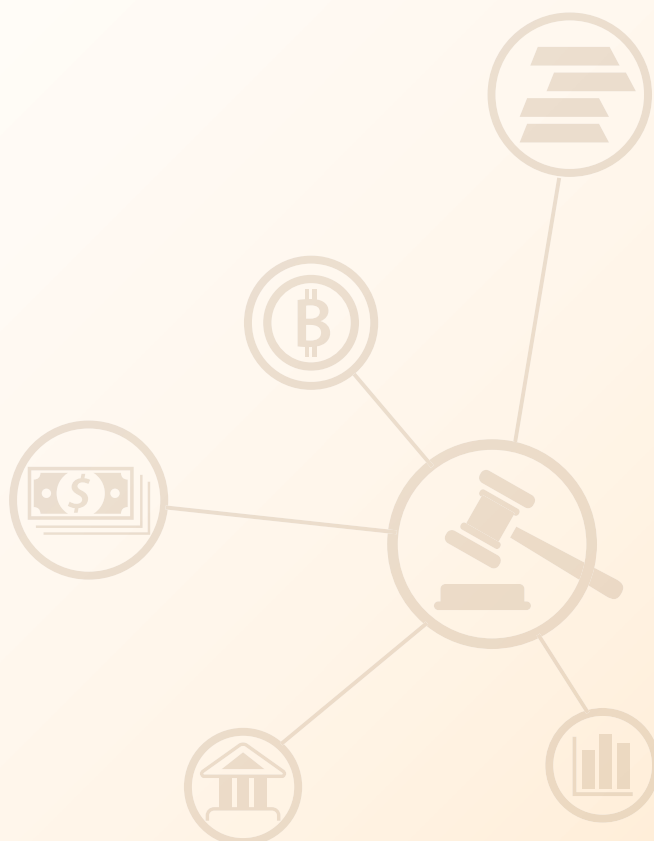
#### 單元二：逃稅

Programme Code 課程編號: PE4200223

Duration時數 : 2 hours/小時

#### Programme Contents 課程內容

- Background 背景
- Legal Status 法律地位
- Risk Culture 風險文化
- Risk Assessment 風險評估
- Customer Due Diligence Process 客戶盡職調查過程
- Foreign Tax Offense 外國稅務
- Ongoing Review 恒常審查
- Training 培訓
- Independent Reviews 獨立評估
- Red Flag Indicators 紅旗指示





### Module 3: AML/CFT Compliance - Potential High Risk Areas

#### 單元三：打擊洗錢/反恐怖分子資金籌集合規 - 潛在高風險區域

Programme Code 課程編號: PE4200224

Duration時數: 2 hours/小時

##### Programme Contents 課程內容

- Introduction 簡介
- Inadequate Customer Risk Assessment 評估客戶風險不足
- Inadequately Detailed AML/CFT Policies and Procedures 打擊洗錢/反恐怖分子資金籌集政策和程序不夠詳細
- Failure to Implement Certain AML/CFT Requirements 未能貫徹執行某些打擊洗錢/反恐怖分子資金籌集要求
- AML/CFT Self-assessment Checklist 打擊洗錢/反恐怖分子資金籌集自我評估清單
- Transactions Monitoring 交易監控
- Frequently Asked Questions on Customer Due Diligence 客戶盡職審查的常見問題



### Module 4: AML/CFT Compliance Update & Personal Data Protection Privacy

#### 單元四: 打擊洗錢/恐怖分子資金籌集合規更新和保護個人資料私隱

Programme Code 課程編號: PE4200631

Duration時數: 3 hours/小時

##### Programme Contents 課程內容

- Responsibilities of Sales/Advisory Personnel and the Company Staff 銷售/顧問人員和公司員工的職責
- Risk-based Approach 基於風險的考量
- Customer Due Diligence 客戶盡職調查
- Record Keeping 備案
- Ongoing Monitoring 持續監察
- Sector-specific Guidance Notes for Long-term Insurance Business 長期壽險業務的特定行業指導說明
- Sector-specific Guidance Notes for Trust Business 特定領域的信託業務指南
- Data Protection Principles 保護個人資料原則
- Direct Marketing with Case Study 直接營銷與案例研究
- Some Practical Tips 實用技巧



### Module 5: Compliance update on the AML/CFT, Corruption Prevention & Handling Personal Data Privacy

#### 單元五: 打擊洗錢/恐怖分子資金籌集合規更新, 防止貪污和保護個人資料私隱處理方法

Programme Code 課程編號: PE4200632

Duration時數: 3 hours/小時

##### Programme Contents 課程內容

- Prevention of Money Laundering and Terrorist Financing 打擊洗錢和恐怖分子資金籌集
- Corruption Prevention Guide for Insurance Companies (Case Study) 保險公司防貪指南(案例研究)
- Personal Data Privacy 個人資料隱私
- Protecting Personal Data under Work-from-home Arrangements: Guidance for Employees 在家工作安排下保護個人資料: 員工指南



## AML/CFT Series

### 打擊洗錢及恐怖分子資金籌集系列

HKCAAVQ Ref. Code: 80/07/178



#### Module 1: AML/CFT: Global Trends on AML and HK's Latest Regulatory Developments

##### 單元一：環球打擊洗錢新趨勢及香港最新的監管發展

Programme Code 課程編號: PE4200565

Duration時數：3 hours小時

##### Programme Contents 課程內容

- Virtual Assets and Red Flag Indicators 虛擬資產和紅旗指標
- Digital Identity: Risks and Benefits 數碼認證：風險和好處
- Counter Financing of Proliferation of Weapons of Mass Destruction 打擊資助生產大規模毀滅性的武器
- A Global Framework on Financial Crime 環球金融犯罪體系
- FATF's Mutual Evaluation Report on HK FATF對香港的共同評估報告
- Deficiencies found in AML/CFT Controls in HK 香港的AML/CFT監控缺陷



#### Module 2: eKYC-The Future of Know Your Customer in Digital Era

##### 單元二：數碼時代下的eKYC - 認識你的客戶

Programme Code 課程編號: PE4200566

Duration時數：3 hours小時

##### Programme Contents 課程內容

##### Executing AML in the Digital World 數碼紀元下的防洗錢監測

- The Argument in Brief 序言
- AML Challenges in the Digital World 數碼紀元時代監控清洗黑錢活動的挑戰
- AML Risk Assessment 清洗黑錢風險評估
- Customer Due Diligence in the Digital World 數碼紀元時代進行盡職審查
- Adverse Media Screening in the Digital World 數碼紀元時代檢測負面名單
- Transaction Monitoring in the Digital World 數碼紀元時代監察可疑交易
- Case Studies 個案剖析

##### eKYC and Online Onboarding 數碼化瞭解你的客戶

- KYC-Back to Basic 瞭解你的客戶之本質
- Layers of KYC 瞭解你的客戶之類別
- eKYC 數碼化瞭解你的客戶的發展
- eKYC Process 數碼化瞭解你的客戶的程序

##### Online Authentication 數碼驗證

- The Mega Trend 數碼驗證的發展趨勢
- Biometric Authentication 生物驗證
- Industry Application- Tap-and-Go Payment 個案分享





## Module 3: AML/CFT: How Regtech can Improve Compliance Performance?

### 單元三：合規科技如何能夠改善合規表現

Programme Code 課程編號: PE4200567

Duration時數：3 hours小時

#### Programme Contents 課程內容

- Regtech is the Correct Device 監管科技是正確手段
- Adopting Regtech on Financial Crime 以監管科技應對金融犯罪
- Case Studies on AML Regtech Application AML的監管科技應用個案
- Opportunities and Challenges 機遇與挑戰
- A Robust Regtech Ecosystem 強勁的監管科技生態系統
- Key Insights 關鍵的洞察力



## Module 4: Regulatory Update for Insurance and Financial Practitioners in Hong Kong

### 單元四：香港保險和金融從業員的監管新知

Programme Code 課程編號: PE4200659

Duration時數：3 hours小時

#### Programme Contents 課程內容

- Insurance Authority (IA): Legislative and Regulatory Framework 保險業監管局(保監局)：立法和監管框架
- IA Guidelines for Licensed Insurance Intermediaries 保監局：持牌保險中介人的指引
- Securities and Futures Commission (SFC): Supervision of Intermediaries 證券及期貨事務監察委員會(證監會)：對中介人的監管
- SFC Guideline on Anti-Money Laundering and Counter-Financing of Terrorism (For Licensed Corporations) 證監會：打擊洗錢及恐怖分子資金籌集的指引(適用於持牌公司)
- Corruption Prevention Guide for Insurance Companies (Case Study) 保險公司防貪指南(案例研究)
- Sanctions regimes and regulatory effects on businesses 制裁制度和對企業的監管影響



Institute of Professional Education And Knowledge (PEAK) is a member of VTC Group and with over 20 years of experience in professional training and corporate human resources development. We are one of the leading in-service training organisations and qualifying bodies in Hong Kong. We provide a variety of professional programmes covering the areas of financial services, management, information technology, languages, construction and real estate to suit various levels of ability, experience, proficiency and aspirations of learners. In the area of corporate training, since 2003 more than 200 well-established companies have adopted our products and services to enhance the technical competency and professional expertise of their employees.

高峰進修學院(PEAK)是VTC機構成員，擁有超過20年專業及企業人才培訓經驗，實力及規模皆處於領導地位。為配合社會的發展和需要，我們提供的專業課程，涵蓋財經事務、管理、資訊科技、語文、建築及地產等不同範疇，切合不同能力、不同資歷人士的需要及期望。本學院亦積極為僱主提供培訓服務。由2003年至今，已有超過200家大型企業採用本學院的培訓產品或專業服務，藉以提升員工的專業知識和技能。

Enquiry 查詢

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