

Rundown and Speakers

22 November 2019 P.M. (English), 25 and 27 November 2019 A.M. (Cantonese)

Each session will cover the same topics, as follows:

Time (A.M. sessions)	Time (P.M. session)	Topic	Speakers
09:15-09:30	13:30-13:45	Registration	
09:30-10:30	13:45-14:45	<ul style="list-style-type: none"> ▪ Key findings and areas for improvement from the Mutual Evaluation Report of Hong Kong published by the Financial Action Task Force as they relate to the securities sector ▪ Update on major AML/CFT regulatory developments 	<ul style="list-style-type: none"> ▪ Mr Raymond Wong, Director ▪ Ms Irene Pou, Associate Director <p>Intermediaries Supervision Intermediaries Securities and Futures Commission</p>
10:30-10:50	14:45-15:05	Break	
10:50-11:35	15:05-15:50	<ul style="list-style-type: none"> ▪ Inspection findings and other supervisory observations on AML/CFT 	<ul style="list-style-type: none"> ▪ Ms Irene Pou, Associate Director ▪ Ms Sharon Wong, Manager <p>Intermediaries Supervision Intermediaries Securities and Futures Commission</p>
11:35-12:10	15:50-16:25	<ul style="list-style-type: none"> ▪ Legal obligations, case study and trend analysis, and feedback on the suspicious transaction reporting of the securities sector 	<ul style="list-style-type: none"> ▪ Mr Shingo Lai, Chief Inspector of Police, and Ms Yan Leung, Senior Inspector of Police – 22 November 2019 ▪ Ms Alice Chau, Senior Inspector of Police – 25 November 2019 ▪ Mr Vincent Lo, Senior Inspector of Police – 27 November 2019 <p>Joint Financial Intelligence Unit</p>
12:10-12:30	16:25-16:45	<ul style="list-style-type: none"> ▪ Q & A session 	<ul style="list-style-type: none"> ▪ All speakers