



Annual ACAMS Country Conference / Symposium Series:  
“Enhanced AML and Financial Crime Tools & Techniques”

## ACAMS 10<sup>th</sup> Annual Hong Kong Symposium

22 October 2018 | Hong Kong

Renaissance Hong Kong Harbour View Hotel

1 Harbour Road, Wanchai, Hong Kong

08:00 – 09:00

Registration and Morning Tea

09:00 – 09:15

### Welcome Remarks

Hue Dang, CAMS-Audit, Head of Asia, **ACAMS**

09:15 – 10:30

### Regulatory Update: Analyzing Regional AML Trends and New Developments

- Assessing recent regulatory actions and guidance to establish best practices for meeting evolving regulatory expectations
- Integrating new FMLIT developments and detailing the future path of private-public partnership
- Updating on the developments around the 4th-Round of FATF Mutual Evaluations that may be useful for your Compliance program

### Moderator:

Hue Dang, CAMS-Audit, Head of Asia, **ACAMS**

### Speakers:

David J. A. Cope, Managing Director and Head of Financial Crime Compliance, **Goldman Sachs Asia LLC**

David James, HMRC Fiscal Crime Liaison Officer, **British High Commission (Singapore)**

10:30 – 10:50

Networking and Refreshment Break

10:50 – 12:00

### DNFBPs Safety Check: Understanding the New Era of Financial Crime Compliance for Designated Non-Financial Businesses and Professions

- Reviewing the DNFBP regulation across Asia to meet prevailing international standards to combat money laundering and terrorist financing
- Examining the rising requirement for casinos, solicitors, accountants, real estate agents and TCSPs and building awareness around their risk appetite and risk tolerance
- Building an effective system for tackling AML/CFT risks in the DNFBP sectors while balancing the regulatory burden with the higher compliance costs

### Moderator:

Aub Chapman, CAMS-Audit, Director, **Aub Chapman Consulting Services**

**Speakers:**

William Wong, CAMS, Consultant, **Clifford Chance**

Nigel Kot, CAMS, Executive Manager, Anti-Money Laundering and Financial Crime Risk, **The Hong Kong Jockey Club**

12:00 – 13:15

Networking Luncheon

13:15 – 14:15

**Overcoming TBML Issues using Private-Public Collaboration to Improve Effectiveness**

- Reviewing the recent accomplishments in Private-Public Partnership (PPP) to develop awareness throughout the financial industry further
- Tackling TBML typologies with PPP to address mis-invoicing pricing challenges and other maritime issues
- Providing illustrations and case study examples of recent PPP successes

**Moderator:**

Kenneth Pemberton, CAMS-FCI, Regional Head of Intelligence of Greater China and North Asia, Financial Crime Compliance, **Standard Chartered Bank**

**Speakers:**

Christopher Pater, Attaché, **Homeland Security Investigations - Hong Kong, Macau & Taiwan**

Michael Clarkson, APAC Regional Head - Global Investigations Unit, **Citibank**

14:15 – 15:10

**Developing a Better Culture of Compliance for Insurance Companies**

- Assessing current culture of compliance on factors that directly relate to products and services offered at your insurance company ensuring that your written risk assessment includes products offerings, financial transactions and customers
- Fortifying culture of compliance with AML policies, employee training, and product reviews
- Reviewing current insurance case studies to enhance AML oversight and highlight red flags

**Moderator:**

Dr. William Scott Grob, CAMS, AML Director – APAC, **ACAMS**

**Speakers:**

Lionel King, CAMS, CEO, **Professional Investment Advisory Services Pte Ltd (PIAS)**

Niall Grady, Chief Compliance Officer, Asia, **Prudential Corporation Asia**

15:10 – 15:30

Networking and Refreshment Break



15:30 – 17:00

**INTERACTIVE WORKSHOP: Wrestling with the new Wolfsberg Correspondent Banking Questionnaire and Its Internal Implications**

- Reviewing the new Wolfsberg Due Diligence Questionnaire and providing practical advice on how to coordinate the 110 questions internally
- Contrasting the simplified CDD process against Enhanced Due Diligence requirements through a practical exercise
- Resolving AML issues and conflicts to ensure mutually beneficial correspondent relationships

**Moderator:**

Dr. William Scott Grob, CAMS, AML Director – APAC, **ACAMS**

**Speaker:**

Soumen Sircar, Managing Director, Regional Head - Banks, NBF and Public Sector, **Bank of America Merrill Lynch**

17:00 – 17:10

**Closing Remarks**

Hue Dang, CAMS-Audit, Head of Asia, **ACAMS**

*(Program is subject to change)*

## **SPEAKER FACULTY** (Surname in Alphabetical Order)



Aub Chapman, CAMS-Audit  
Director

**Aub Chapman Consulting Services**

Mr. Aub Chapman, was a career banker with over 42 years of professional experience. In his last role at Westpac Banking Corporation, he was responsible for managing a number of functions including Group Fraud Control, Physical Security, Business Continuity Services, Cash and ATM Services as well as managing the group's compliance with AML/CTF legislation. Since his retirement, Mr. Chapman has been consulting in both the public and private sectors, not only in Australia, but also internationally. He specializes in controls against financial crime and management of cash services. His international experience includes assignments for the United Nations, the Asian Development Bank, The Eurasian Group on Money Laundering (on behalf of the FSVC), Bank Negara Malaysia, Institut Bank-Bank Malaysia and the Labuan Offshore Financial Services Authority. He has been a guest speaker at a number of international AML/CTF conferences and international conferences associated with the cash services industry.



Michael Clarson  
APAC Regional Head - Global Investigations Unit  
**Citibank**

Michael Clarson leads Citibank's Global Investigations Unit (GIU) in Hong Kong as APAC GIU Regional Head (aka Regional Director). In his role, Michael will lead the GIU across the region, including teams in Hong Kong, Malaysia, and Indonesia. GIU is a global team with responsibility for AML investigations involving complex and cross jurisdictional matters. Michael came to Citibank from Deloitte, where he was a Director in Deloitte Forensics, assisting clients by performing investigations related to money laundering, bribery and corruption and major fraud. In this role Michael worked with clients in China, Indonesia, Malaysia, Hong Kong, Russia, Eastern Europe and the Pacific. Michael is a qualified Certified Practicing Accountant (CPA), having worked in wealth management prior to joining the Australian Federal Police (AFP) as a Federal Agent. Michael's focus in the AFP was multinational organized crime and money laundering investigations. After completing nearly 13 years in the AFP, Michael completed his MBA at the Australian Graduate School of Management and then moved to Deloitte Forensics.



David J. A. Cope  
Managing Director & Head of Financial Crime Compliance  
**Goldman Sachs LLC**

Mr. Cope has over 25 years of experience in the financial crime and anti-money laundering space. Prior to joining Goldman Sachs, he was the Asia Pacific Head for Global Financial Crimes Compliance at Bank of America Merrill Lynch, previous to his time at Bank of America, he was the Regional AML/CTF Compliance Manager for Morgan Stanley Asia. Mr. Cope was also briefly a Partner at KPMG based in Hong Kong in the forensic practice dealing with AML/CTF and sanctions issues. In his Compliance roles Mr. Cope led multinational teams dealing with all aspects of financial crime risk management, including client on boarding, sanctions and corruption issues, suspicious activity detection and reporting, and financial crime risk assessments, as well as providing advice and counsel to bank senior management and business leaders for financial crime issues arising in the region. Prior to joining the private sector, Mr. Cope's 17-year long career in the Hong Kong Police was mainly focused on the investigation and prosecuted serious complex financial crime and money-laundering, with postings to the Commercial Crime Bureau, Organized Crime and Triad Bureau and Narcotics Bureau. He was also part of the formulation and execution of the Hong Kong Police's financial investigation policy and training including dealing with the Financial Action Task Force Mutual Evaluation process. Mr. Cope is a Member of the Hong Kong Chapter Board.



Hue Dang, CAMS-Audit  
Head of Asia  
**ACAMS**

Ms. Dang is the Head of Asia of ACAMS, having established its regional head office in Hong Kong in 2008. Ms. Dang has more than 20 years' experience in banking and finance. Prior to ACAMS, she was a Bank Examiner at the Federal Reserve Bank of Boston, Manager with Barclays Capital's Investment Banking Division in Singapore, Director for Business Development at Citibank's Global Consumer Banking Group in Singapore and Director of Business Development, Asia/Pacific, for Thomson Financial in Hong Kong. Ms. Dang holds educational degrees from the US, with a Bachelor of Arts Degree with honors from Amherst College and a Master in Public Policy from Harvard University, John F. Kennedy School of Government.



Niall Grady  
Chief Compliance Officer, Asia  
**Prudential Corporation Asia**

Niall Grady was appointed Chief Compliance Officer, Prudential Corporation Asia (“PCA”) in January 2017. Prior to his appointment Niall was Chief Risk Officer of Eastspring Investments, Singapore Ltd, the Asian asset management business of Prudential plc, where he was responsible for Legal, Risk & Compliance. Before joining Eastspring Investments in 2013 Niall was Regional Director of Enterprise Risk Management (“ERM”) for PCA responsible for the Risk Management Framework, the Solvency II project and Operational Risk. Niall joined Prudential Plc in 2007. Niall has 20 years of financial industry experience and a degree in Financial Services from the University of Manchester (UK) business school and is a Chartered Associate of Institute of Financial Services (ACIF).



Dr. William Scott Grob, CAMS  
AML Director – APAC  
**ACAMS**

Dr. Grob has over 25 years of financial and banking expertise. His most recent role was as Regional Head of Affiliates Management, HSBC, where he worked on mitigating financial crime and correspondent banking risks across Asia. His 12-year career at the bank also included managing risk within the Equity/FX prime brokerage business, Structured Funds business, and Hedge Fund units.

Dr. Grob earned a Bachelor’s degree from Boston University, a Master of Arts from George Mason University, a certificate from Harvard Business School’s General Management Program, and a Doctorate of Management from SMC University (USA), where his dissertation was focused on correspondent banking- “IMPACT OF CORRESPONDENT BANK ENHANCED DUE DILIGENCE PRACTICES.” Also, he has designations from the Chartered Alternative Investment Analyst (CAIA) Association, and Global Association of Risk Professionals (FRM).



Lionel King, CAMS  
CEO

**Professional Investment Advisory Services Pte Ltd (PIAS)**

Lionel King is the CEO of PIAS, one of the largest and most respected and fastest growing network of advisers in Singapore which is regulated by the MAS. Lionel King joined Prudential Assurance Company Singapore (Prudential Singapore) as Executive Vice President and Chief Risk Officer on 2 April 2012. He heads the Legal, Risk and Compliance division.

Lionel's career with Prudential spanned more than two decades. From 1991 to 1999, he was working in the company's Group Head office. He moved to Prudential Singapore in 2000 and spent the next four years in various roles - Finance Director, Life Operations Director and Chief Operations Director. In 2004, he left Singapore for Prudential Services Asia (PSA), Malaysia, where for the next four years he held the role of Chief Finance Officer till his return to the United Kingdom in 2008.

Lionel also spent three years with the UK Financial Services Authority (FSA). He started as a Supervisor in Wholesale Insurance, then became a Supervisor in the UK Life Insurers Department, and finally, was a Risk Specialist in the Risk Specialists Division, focusing on Solvency II. Lionel is an Electrical Engineering graduate of Imperial College and a Chartered Accountant and is CAMS certified.



Nigel Kot, CAMS  
Executive Manager, Anti-Money Laundering and Financial Crime Risk

**The Hong Kong Jockey Club**

Nigel is an Executive Manager in the Security and Integrity department of The Hong Kong Jockey Club. He currently leads the AML and Financial Crime Risk team and is responsible for implementing the policies and frameworks to address such risks across the organisation. His role oversees transaction monitoring, betting analysis, enhanced due diligence, reporting of suspicious transactions, training, and risk assessments. Nigel has over 10 years of experience in the Risk and Compliance field and he holds a Master's degree in Engineering Science from the University of Oxford, UK.

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Christopher Pater  
Attaché

**Homeland Security Investigations - Hong Kong, Macau & Taiwan**

Christopher Pater has 29 years of federal law enforcement experience. He is currently the Homeland Security Investigations (HSI) Attaché Hong Kong. HSI Hong Kong's area of responsibility includes Hong Kong, Taiwan, and Macau. Prior to being selected as the Attaché Hong Kong, Attaché Pater was the HSI Associate Deputy Assistant Director (ADAD) for the Western Hemisphere. As an ADAD, Attaché Pater provided programmatic and operational oversight for 7 Attaché offices. Before being promoted to ADAD, he was the HSI Operations Chief overseeing North America.

During his career, Attaché Pater was assigned to the Office of Professional Responsibility (OPR) for 15 years. While with OPR, he held the following positions: Deputy Division Director, Assistant Special Agent in Charge Chicago, and Section Chief/Examiner of the Computer Forensic Group. Before the establishment of DHS, Attaché Pater was employed by the U.S. Customs Service (USCS). During his tenure with the USCS, he held the following positions in El Paso, Texas: Senior Special Agent and Special Agent. Attaché Pater began his federal law enforcement career as an USCS Air Interdiction officer in Albuquerque, New Mexico.



Kenneth Pemberton, CAMS-FCI  
Regional Head of Intelligence of Greater China and North Asia, Financial Crime Compliance  
**Standard Chartered Bank**

As the Regional Head of Intelligence, Greater China and North Asia, Financial Crime Compliance of Standard Chartered Bank, he leads a team of investigators, researchers and data analysts to identify and mitigate financial crime risks. With over 30 years of experience, he has directed and managed investigations of money laundering, financial fraud, and commercial crimes impacting Hong Kong and across Asia.

With a background as a regional Fraud Manager at Citibank and as the Detective Superintendent in charge of over 100 Detective Officers in the Central District of Hong Kong, Ken has worked on all aspects of investigations from research, analytics, and enforcement. He has experience in directing and managing investigation teams and preparing detailed and concise reports for prosecutors.

Ken is a qualified Barrister-at-Law, Master of Laws (University of London), BSc. Politics, Certified Advanced Financial Crimes Investigations Specialist (CAMS-FCI), Certified Anti-Money Laundering Specialist (ACAMS), Certified Fraud Examiner (ACFE), ICA Int. Diplomas in AML, Financial Crime Prevention, and Compliance.

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William Wong, CAMS  
Consultant  
**Clifford Chance**

William is a Consultant at Clifford Chance. He specialises in contentious regulatory work (market misconduct issues, compliance with financial rules and regulations, and financial and white-collar crimes such as AML/CTF, anti-bribery and corruption) and financial services litigation. He represents both institutional and individual clients in investigations by regulatory authorities and law enforcement agencies in Hong Kong (e.g. HKMA, SFC, CCB and ICAC). He also advises regularly in commercial and employment disputes involving High Court and Labour Tribunal proceedings, as well as anti-trust investigations by the Hong Kong Competition Commission.

After graduating with first class honours in Law from The University of Hong Kong in 2004, William trained and qualified with Simmons & Simmons (Hong Kong and London) as a contentious regulatory lawyer and commercial litigator. Before joining Clifford Chance, he had held in-house positions at Bank of America Merrill Lynch and Credit Suisse, covering regulatory and compliance advisory issues and litigation arising from their regional private banking and investment banking businesses.

William is recognised as a "Next Generation Lawyer" for Dispute Resolution in Hong Kong (Legal 500, 2017 and 2018), who is "knowledgeable" and has an "ability to deliver succinct and appropriate advice" (Legal 500 Asia Pacific: Regulatory: Anti-Corruption and Compliance, 2018).