

Expectation from the HKMA in respect of Sales of Green and Sustainable Investment Products by Authorised Institutions

Programme Code: HGSU00P25011

14 January 2025 (Tuesday)
7:00pm – 10:00pm


**3
HOURS**

HKIB ECF SFC
CPD CPD CPT

Programme Outline

1. Background and regulatory development in the ESG landscape
2. Product Due Diligence
3. Customer's sustainability preference
4. Green and sustainable investment products disclosures
5. Governance and controls in relation to ESG products
6. Scope of staff training
7. Capital market intermediaries in bookbuilding activities

Speaker Introduction

The speaker has 15 years in Compliance and Audit from banks, fintech company and Big 4 firm. She was Deputy Alternate Chief Executive ("ACE") in Hong Kong. She led functions including Compliance, Legal, Risk, Finance, Technology and Customer Service in 6 regions including Hong Kong and Southeast Asian countries. She has both in-house compliance knowledge and experience in dealing with various Hong Kong and overseas regulators. She also managed the on-site and off-site regulatory inspections. In addition, she worked in thematic reviews with the SFC.

Target Audiences

1. Banking Practitioners;
2. General Banking Practitioners to Middle Management from all banking divisions; and Individuals who are interested in sustainable investment and ESG development
3. HKIB Professional Qualification Holders :



Programme Delivery

Virtual Classroom (Zoom)
Cantonese

Application DEADLINE

7 January 2025 (Tuesday)



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