

# Money Laundering and Compliance



by

Mr. Jackson C.P. Poon,  
Barrister-at-Law,  
Cheng Huan Q.C., S.C.'s Chambers;  
Miss Ada Kam,

Former Chief Inspector of Police,  
Solicitor, Messrs. S.H. Chan & Co.

and

Mr. Nelson Tang,  
Head of Compliance Hong Kong,  
Chief Compliance Officer,  
North Asia ex-Japan,  
Manulife Asset Management



Mr. Jackson Poon was called to the Hong Kong Bar in 1986. He is experienced in dealing with civil and criminal cases. In 1994 and 1995, he sat as a Deputy Magistrate for the Judiciary. In 1995, he joined the then Legal Department (now Department of Justice) directly as a Senior Crown Counsel. In 2006, he returned to private practice. He is now in Cheng Huan Q.C., S.C.'s Chambers involved in civil cases and criminal litigation. In August 2015, he sat as a Deputy District Judge.



Mr. Poon has handled numerous personal injury cases and has given many lectures on personal injury. He has also handled cases involving Employees Compensation, Incorporated Owners disputes, Lands Tribunal trials, Trust, Commercial disputes, Sales of Goods, Manufacturing of Goods, Construction, Dishonoured Cheques, Defamation, Landlord and Tenant disputes, Conveyancing disputes, Employment disputes, Land disputes, Company matters and Judicial Reviews. He has handled various criminal cases and he is a listed mediator of the Bar Association.

Various law lectures had been delivered by him for the University of Hong Kong, Hong Kong Polytechnic University, City University, Law Society, Butterworths, Police Detective Training School and Criminal Advocacy Courses of the Department of Justice.

## Miss Ada Kam

*Former Chief Inspector of Police, Solicitor, Messrs. S.H. Chan & Co.*

Miss Ada Kam was a Chief Inspector of Police. She then joined the Department of Justice and is now a solicitor practicing at Messrs. S.H. Chan & Co. handling criminal and civil litigation.

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55 Des Voeux Road Central, Central, Hong Kong



Nelson Tang is Head of Compliance Hong Kong and Chief Compliance Officer, North Asia ex-Japan of Manulife Asset Management. He has been working as a compliance officer in various financial services firms, including Deutsche Asset Management, ABN AMRO Asset Management, Invesco, Kingsway Group and Daiwa Securities. Prior to specializing in compliance functions, Nelson started his career as an auditor at Price Waterhouse and then as a regulator at the Hong Kong Securities and Futures Commission. Nelson is an accountant and is a member of the HKICPA, ACCA, and ICAEW.

#### Education:

- Master of Laws, City University of Hong Kong
- Master of Science in Information Systems Management, Hong Kong University of Science and Technology
- Master of Business Administration, Hong Kong University of Science and Technology

### Money Laundering

- Sources of Law
- Offences
  1. Actus Reus
  2. Mens Rea
- 3. Possible Defences
  - Processes
  - Protections & Legal Professional Privilege
  - Cooperative Measures

### Compliance

- What is Compliance?
  1. 5 Key Functions of Compliance
- Overview of the Securities and Futures Commission Licensing Regime
  1. Exemption
  2. Basic Approval Criteria
  3. Responsible Officer Duties
- Anti-Money Laundering Requirements for Financial Institution
- Anti-Money Laundering Requirements
  1. Definition of Money Laundering
  2. 3 Stages in Money Laundering
  3. Anti-Money Laundering System for Financial Institution
  4. Customer Due Diligence
  5. Other Requirements

Scan to Calendar



Code: **EVT000000116**

Level: **Advanced**

Date: **21 May 2016 (Saturday)**

Language: **Cantonese  
(Course Materials in English)**

Time: **09:30 - 12:45**  
(Reception starts at 09:00)

Accreditation(s): **LSHK RME Elective Course  
LSHK 3.0 CPD Points**  
(LSHK Allocated Number: 20160821)

Venue: **Kornerstone Institute**  
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