

# Anti-Money Laundering Course for Money Service Operators - Customer Due Diligence and Case Studies

## 金錢服務經營者打擊洗錢課程 - 客戶盡職審查及個案分析



Member of VTC Group  
VTC 機構成員

Co-organizer 合辦機構



HONG KONG  
MONEY SERVICE OPERATORS  
ASSOCIATION  
香港金錢服務業協會

Sponsor 贊助機構



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### Programme Objectives 課程目標

This programme, which is jointly organized with the Hong Kong Money Service Operators Association ("MSOA")\* and Institute of Professional Education and Knowledge ("PEAK"), is designed for money service operators so as to enable them to better understand the latest statutory and regulatory requirements regarding Ongoing Monitoring of Anti Money Laundering and Counter Terrorist Financing. This will also raise participants' awareness of the importance of Ongoing Monitoring so that they can help to detect irregular or suspicious financial activities.

本課程由香港金錢服務業協會\*與高峰進修學院合辦。旨在幫助金錢服務經營者更了解《打擊洗錢及恐怖分子資金籌集（金融機構）條例》及《打擊洗錢及恐怖分子資金籌集指引（金錢服務經營者適用）》的要求，提高從業員對客戶盡職審查的意識，加深對客戶的了解及偵察異常或可疑活動，藉此提昇金錢服務經營者的合規水平。

### \* About Hong Kong Money Service Operators Association

#### 香港金錢服務業協會簡介 (MSOA)

Hong Kong Money Service Operators Association Limited as a non-profit organization, aims to represent and protect the interests of money service operators, maintain communication with government departments, strive to assist Hong Kong to align with requirements set out by international organizations, and at the same time provide members a platform to share market information and experiences as well as to provide AML courses for working and non-working force.

香港金錢服務業協會有限公司為一個非牟利機構，協會旨在代表和保障金錢服務業經營者權益，與政府部門保持溝通，竭力協助香港符合國際組織相關要求，同時提供一個讓會員分享市場資訊和經驗的平台，並已舉辦多個打擊洗錢培訓課程，供在職及非在職人士參加。

Code	Programme Information 課程資料	Medium of Instruction 教學語言
PE4200051	<b>金錢服務經營者打擊洗錢課程 - 客戶盡職審查及個案分析</b> <b>Anti-Money Laundering Course for Money Service Operators - Customer Due Diligence and Case Studies</b> 日期：3.12.15 時間：7:30pm - 10:00pm 時數：2.5小時 費用：HK\$450 Or HK\$350** (**licensed money service operators only)	Taught in English 英文授課

#### \*\* Fee Discount:

The fee for licensed money service operators is HK\$350 per person. To verify the eligibility to the special discount, licensed money service operators must enroll in the course through the Hong Kong Money Service Operators Association at Tel: 3176 2004, Fax: 3010 8582, Email: info@msoa.hk or its office address: A2/F, Dolford Mansion, 1-3 Chatham Court, Tsim Sha Tsui, Kowloon

#### \*\* 學費優惠：

金錢服務經營者報讀本課程只須每位HK\$350。惟必須經由香港金錢服務業協會報名，以核實資格。  
報名可聯絡香港金錢服務業協會  
電話：3176 2004、傳真：3010 8582、電郵：info@msoa.hk  
地址：九龍尖沙咀漆咸圍1-3號多福大廈2樓A室

### Speakers 講師



Mr. Dheeraj Bajpai

Mr. Dheeraj is the in-house Compliance Chief of City Foreign Exchange Ltd (CFEL). He has a vast experience of over 9 years in the MSO business and handling of day to day compliance related issues. He provides practical advice, ideas and strategies to identify the fraudulent activity, Customer Due-Diligence and other regulatory requirements. He is also responsible for AML training, involving in transaction monitoring as well as the filing of STRs for all sub-agents of Western Union under CFEL.

### Acknowledgement 特別鳴謝

HKMSOS / 合規找換系統

# 報名表

本院專用 Office use only ver 20130415

Received Date: \_\_\_\_\_ Handled by: \_\_\_\_\_

Remarks: \_\_\_\_\_

Application: ☐ Walk-in ☐ By Mail ☐ By Fax

Payment: ☐ Cash ☐ Cheque ☐ Credit Card

## 申請人資料 (請填寫香港身份證上之姓名)

姓名 (英文): Mr./Ms./Miss \_\_\_\_\_ (中文): \_\_\_\_\_ 先生/女士/小姐

香港身份證號碼: \_\_\_\_\_ 出生日期 (日/月/年): \_\_\_\_\_

通訊地址: \_\_\_\_\_

任職機構名稱: \_\_\_\_\_ 職位 / 部門: \_\_\_\_\_

電郵地址: (1) \_\_\_\_\_ (2) \_\_\_\_\_

日間聯絡電話: \_\_\_\_\_ 手提: \_\_\_\_\_ 傳真: \_\_\_\_\_

開課通知: 請以 ☐ 郵遞 ☐ 圖文傳真 ☐ 電郵 方式發出 (如無指定, 本院將以郵遞方式發出通知)

## 報讀課程資料

課程編號 / 名稱: \_\_\_\_\_ 開課日期 (日/月/年): \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

(只供報讀文憑 / 證書課程申請者填寫)

單元編號	單元名稱	開課日期

## 學歷背景

曾經修讀之課程	院校 / 考試	畢業年份	已完成的百分比 (%)

■ 若你希望以成年學生的身分申請入讀課程, 請「✓」此方格。(詳情請參考課程單張)

就業背景 請列寫與本課程有關的就業及職位資料。亦可附上相關僱主的推薦信副本。(若空格不敷應用, 請另頁填寫)

公司名稱	就業時期: 由 / 至	職位名稱	全職 或 兼職

\* 請連同相關的學歷證明副本與本表格一併遞交。

## 付款方式

如報讀之課程在報名當日起7個工作天內開課, 報名人必須以現金繳交學費。

☐ 現金 金額: 港幣 \_\_\_\_\_ 元

☐ 支票 (抬頭請寫: 職業訓練局) 支票號碼: \_\_\_\_\_

☐ 信用卡 ☐ 

信用卡號碼: \_\_\_\_\_ ☐ 

有效期 (MM/YY): \_\_\_\_\_ 付款額: \_\_\_\_\_

(持卡人姓名)

(持卡人簽署)

## 個人資料之使用

☐ 本人同意VTC及其機構成員使用我提供的個人資料, 包括姓名、電話號碼、手機號碼、電郵地址、通訊地址及教育程度, 提供有關VTC及其機構成員的任何課程、招生及活動推廣資訊。(如你日後希望停止接收上述資訊, 或更改個人資料, 請連同你已登記的姓名、電話號碼、手機號碼、電郵地址、通訊地址及教育程度資料, 電郵至peak@vtc.edu.hk或傳真至2891 5707通知我們。)

## 報名須知

- 每項課程請用一份表格, 如有需要可自行影印。
- 如選擇以支票繳付課程費用, 請將表格連同劃線支票郵寄或親身交回本院 (每項課程須獨立填寫一張支票), 支票抬頭請寫「職業訓練局」, 如以信用卡繳付學費, 請將表格傳真, 郵寄或親身交回本院辦事處。  
傳真: 2891 5707 地址: 香港灣仔活道27號職業訓練局大樓9樓高峰進修學院
- 如學員選擇以郵寄或傳真方式交回報名表及課程費用, 請致電2836 1906以便本院確認收到有關表格及費用。
- 所有課程名額均以先到先得方法分配, 任何未填妥之表格, 或未繳交學費, 本院將不會處理。
- 申請人/學員必須細閱及遵守載列於本院課程手冊內之「課程管理指引」, 申請人/學員亦可向本院辦事處索取或從本院網站下載「課程管理指引」。
- CPD分數將按出席時數按比例計算。如學員之出席時數未及課程長度的80%或以上, 學員將不能獲得SFC分數及MPFA分數。有關分數的最小單位為0.5分, 遲到或早退不足半小時亦作半小時計算 (時間計算以本院時鐘為準)。

## 持續進修基金

- ☐ 申請CEF\* (請連同持續進修基金申請表及身份證副本於開課前最少10個工作天交回本院代辦手續, 逾期遞交恕不受理)
- ☐ 已申請 / 不申請

## 請問您是從以下那途徑得知本課程?

- ☐ Yahoo ☐ Google ☐ PEAK網頁 ☐ 電郵
- ☐ 單張 ☐ 每季課程章程 ☐ 朋友 ☐ 教育展覽會
- ☐ 報紙 / 雜誌 (名稱: \_\_\_\_\_) ☐ 其他: MSA-W1

## 聯絡方法

如有需要, 本院將以電郵方式發出所有通知 (例: 更改上課時間) 如無提供電郵資料之學員, 本院將以電話聯絡。

## 聲明

- 本人聲明於本申請表所提供資料均屬真實, 並無遺漏。
- 本人知悉並同意高峰進修學院使用本人之個人資料作處理入學註冊及一切課程與行政之用途。
- 本人知悉並同意高峰進修學院於本人出席CPD/CPT課程時, 查閱本人之身份證明文件以核實身份。
- 本人明白並會盡量填寫足夠資料, 否則學院不能有效地處理本人的申請。
- 本人知悉並同意高峰進修學院以高峰進修學院的時鐘作為量度本人遲到或早退與否的準則。並同意報名須知第6項有關 CPD 分數、SFC分數及MPFA分數的扣減方式。
- 除學員之申請不獲接納或所選的課程取消外, 所有已繳學費恕不退還。學費及學額亦不可作任何更改 (包括不可轉班) 或轉讓他人。

本人已細閱、明白並同意遵守高峰進修學院載於「課程管理指引」、「報名須知」及「聲明」內的規則, 以及高峰進修學院在處理申請人個人資料的部分。

申請人簽名

日期

# ENROLLMENT FORM

本院專用 Office use only

ver 20130415

Received Date: \_\_\_\_\_ Handled by: \_\_\_\_\_

Remarks: \_\_\_\_\_

Application: ☐ Walk-in ☐ By Mail ☐ By Fax

Payment: ☐ Cash ☐ Cheque ☐ Credit Card

## PARTICULARS OF APPLICANT (Please fill in name as it appears on your HKID card)

Name (Eng) : Mr./Ms./Miss (surname) \_\_\_\_\_ (given name) \_\_\_\_\_ (Chinese) : \_\_\_\_\_ 先生 / 女士 / 小姐

HKID No : \_\_\_\_\_ Date of Birth: (dd/mm/yyyy) \_\_\_\_\_

Mailing Address : \_\_\_\_\_

Company of Employment : \_\_\_\_\_ Position / Department : \_\_\_\_\_

E-Mail Address : (1) \_\_\_\_\_ (2) \_\_\_\_\_

Telephone (day-time) : \_\_\_\_\_ Mobile : \_\_\_\_\_ Fax : \_\_\_\_\_

Confirmation : Please specify how you would like to be notified: ☐ By mail ☐ By fax ☐ By email (If not specified, we will notify you by Mail)

## PROGRAMME APPLIED FOR

Programme Code / Name : \_\_\_\_\_ Commencement Date (dd/mm/yyyy) : \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

## FOR DIPLOMA / CERTIFICATE APPLICANTS ONLY

Module Code	Module Name	Commencement Date

## Education History

Programme	Institution / Exam	Year of Graduation	Percentage of Completion(%)

■ Please "✓" this box if you want your application to be considered as mature student application. (Please refer to programme leaflet for details)

## Employment History

If employed, please list out your employment history and positions you have held, which you consider relevant to the course for which you are applying. You may include certified copies of relevant references from employers. (Please use separate sheet if necessary)

Company Name	Duration: From / to	Position	Full time / Part time

\* Please submit relevant qualification documents together with your application.

## PAYMENT METHOD

For a programme commencing within 7 working days at the time of enrollment, trainees are required to settle the programme fee by cash.

☐ Cash Amount: HK\$ \_\_\_\_\_

☐ Cheque (payable to "Vocational Training Council")

Cheque No.: \_\_\_\_\_

☐ Credit Card

Card Number : \_\_\_\_\_



Expiry Date : \_\_\_\_\_ Amount: \_\_\_\_\_



Cardholder's Name

Authorized Signature

## USE OF PERSONAL DATA

☐ I agree that my personal data provided, including my name, phone number, mobile number, email address, correspondence address and education level may be used by the VTC and its member institutions for providing direct marketing information in relation to any programmes, admission and events of VTC and its member institutions. (If you would like to unsubscribe from receiving the said information or update your personal data, please send your request with registered name, phone number, mobile number, email address, correspondence address and education level to peak@vtc.edu.hk or by fax to 2891 5707.)

## NOTES FOR APPLICANTS

- Please use one form for each programme and photocopy the form if necessary.
- If you pay the programme fees by cheque, please return the form to us by mail or in person with a crossed cheque (one cheque for one course) payable to "Vocational Training Council". If you pay the programme fees by credit card, please return the form to us by fax/ by mail/ in person.  
Fax: 2891 5707 Address: PEAK, 9/F, VTC Tower, 27 Wood Road, Wanchai, Hong Kong
- If you choose to return the enrollment form and cheque payment to PEAK by fax or by mail, please call us at 2836 1906 to confirm our receipt of your application and payment.
- All places are allocated on a first-come-first-served basis. Incomplete forms and forms received without payment will be regarded as unsuccessful applications.
- Applicants/Trainees must read carefully and observe the Programme Administration Guidelines stipulated in PEAK's Programme Prospectus. The Programme Administration Guidelines are also available from PEAK Office and on PEAK Website.
- CPD/CPT credits will be deducted for late trainees on a pro-rata basis. MPFA & SFC credits will be given only when students attend more than 80% of the programme. Minimum unit of above mentioned credits is 0.5 credit. Lateness or early leave which is less than 0.5 hour will still be counted as 0.5 hour (according to PEAK's clock).

## CONTINUING EDUCATION FUND (CEF)

☐ Apply for CEF\* (Please submit with CEF application form and HKID card copy at least 10 working days before commencement of course. No late submission will be accepted)

☐ CEF Applied / Not applying CEF\*

## Where did you learn about this course?

☐ Yahoo ☐ Google ☐ PEAK Website ☐ Email ☐ Leaflet

☐ Prospectus ☐ Friend ☐ Newspaper/Magazine (Name: \_\_\_\_\_)

☐ Education Expo

☐ Other MSOA-W1

## CONTACT METHOD

For all further notice (e.g. Class reschedule), we will contact you by email. Students without email will be contacted by phone.

## DECLARATION

- I declare that all information provided in this enrollment form is, to the best of my knowledge, accurate and complete.
- I acknowledge and agree that my personal data will be used by PEAK for enrollment, programme and administrative purposes.
- I acknowledge and agree that PEAK may check my ID card to verify my identity while I am participating in CPD/CPT programme.
- I understand that I should provide as much information to PEAK as I can so that my application can be processed efficiently.
- I acknowledge and agree that PEAK may determine my lateness and early departure from a programme according to PEAK's clock. I also agree to Point 6 of the Notes for Applicants which defines the circumstance for deduction of CPD, SFC and MPFA credits.
- The programme fees paid are non-refundable, except for cases of unsuccessful applications and programme cancellation. Fees paid and places enrolled are not transferable, and request for programme swapping will not be entertained.

I have read, understood and agreed to follow PEAK's rules and guidelines stipulated in "Programme Administration Guidelines", "Notes to Applicants", and "Declaration", and PEAK's policy on handling applicants' personal data.

Applicant Signature

Date