



CSI FINANCIAL CRIMES SYMPOSIUM 2011

CSI 金融罪案研討會 2011

20 - 21 September 2011, Novotel Century Hong Kong



Financial crime is constantly evolving in today's globalised economy. Whether it is currency counterfeiting or cyber-terrorism, financial crimes are a critical threat to an organization's bottom line and reputational currency. Like a hit-the-beaver game, new ways to defraud an organization keep popping up just as one threat is resolved. In today's evolving marketplace complexities, organizations need to be well prepared to deal with the danger of white collar crimes.

SOME TOPICAL ISSUES TO BE ADDRESSED:

- ✓ Effective Fraud Risk Management Framework
- ✓ Corporate Fraud Litigation and Prosecution
- ✓ Best Practice: Fraud Prevention, Detection and Investigation

**Group Discounts apply!
Find out more inside.**

**INDUSTRY EXPERTS SHARE ON FRAUD RISK;
PREVENTION, DETERRENCE, INVESTIGATION**

READ MORE INSIDE!

CSI World HQ members

Get 14 CPD points by attending this conference

CSI World Headquarters membership fee waiver

Current Members - 2 years | New Member - 1 year

SYMPOSIUM SPECIAL !

Every delegate will be given free exclusive copies of the Anti-Procurement Fraud Toolkit and The SEATA™ Fraud Risk Management Program for Financial Institutions handbook.

This toolkit and handbook will become your most effective anti-fraud tools.

所有參會者將獲贈一份獨家的反採購欺詐圖表以及一本金融欺詐風險管理手冊。這圖表與手冊將會是您前所未有的反欺詐工具。



Jointly Organised By:



ICFE Group of Companies

WELCOME TO CSI FINANCIAL CRIMES SYMPOSIUM 2011

Message From Tommy Seah, Symposium Chairperson

It gives me great pleasure to welcome you to the CSI Financial Crimes Symposium 2011, proudly organised by the CSI World Headquarters and ICFE Group of Companies. Financial fraud results in insurmountable losses globally and this has led to an increasing need for the necessary training in the prevention, detection, investigation and prosecution of white collar crimes.

This multidisciplinary symposium represents a unique gathering of people representing a diverse range of organisations affected by financial crime. Helmed by an engaging programme comprising insightful presentations and distinguished speakers who are leading industry practitioners, this event promises immense opportunities. From exchanging experience to establishing contacts, these will undoubtedly prove invaluable to stay ahead of the criminally inclined in the fight against financial crime.

I welcome you in advance to this bustling city and look forward to a symposium that will empower delegates and corporations to fight white-collar crimes in the challenging economic landscape.



About the Symposium

As recognition of the need to combat white collar crimes grows, so does the need for information exchange. An increasing number of institutions and corporate companies are involved in addressing fraud and have developed a range of strategies for counteracting the problem in varying contexts. With this in mind, the CSI Financial Crimes Symposium (FCS) brings together industry practitioners and experts to exchange information and ideas.

The agenda of this Symposium is to explore and impart techniques in Fraud Detection, Investigation and Litigation, in the face of evolving complexities of white collar crime prevention.

Through a series of case studies and group discussions, delegates will be able to master the skills and techniques in establishing policy and procedures, to identify fraud risk exposures, to design fraud risk specific responses, to investigate fraud allegations in a timely fashion in accordance with local laws and regulations and to take appropriate remedial actions.

Who Should Attend:

- Management & Executive Staff
- Company Directors
- Risk Management Professionals
- Finance Professionals
- Legal Officers
- Human Resource Professionals
- Accountants/Internal or External Auditors
- Compliance Officers
- Fraud Investigators/Anti Fraud Managers

Conference Objectives:

- International best practices in the prevention and detection of fraud.
- Building an effective Fraud Risk Management Programme compatible with the Internal Control Framework and in accordance with the well established best practice known as "Managing the business risk of fraud: A Practical Guide" see Note 1.
- Effective fraud prevention, detection and assets recovery to be illustrated by case studies and real life examples.
- Law, evidence and procedures relating to control of fraud and anti-money laundering in Hong Kong and China. Reference will be made to major fraud cases in Hong Kong and China.
- Effective Investigative skills, including recording of evidence and interviewing technique and the ability to detect deception
- Effective management of an internal investigation into suspected fraud & illegality with focus in fraudulent activities in the financial sectors and Chinese companies.
- Identifying the differences between a criminal, administrative and disciplinary investigation
- Effective communication on investigation or compliance monitoring outcomes and recommend action.
- Preparing a brief of evidence to the standard of a criminal investigation and develop the skills to present evidence and giving evidence in court.

Why FCS is a must attend

EQUIP with the necessary skills to protect your organisation

LEARN from subject matter experts on the latest anti-fraud tips

IMPEDE exploitation of your organisation by money launderers

DEVELOP vital investigative techniques that are aimed at remedies

UNDERSTAND the legislative framework by which white collar crime litigation procedures operate

DAY 1 - AGENDA

0800am **REGISTRATION AND MORNING COFFEE**

0900am **WELCOME ADDRESS**

0915am - 1700pm **SESSIONS ***



SESSIONS



SESSION 1 - Prevention & Deterrence

Fraud Risk Analysis and Assessment

- ◆ Assessing your fraud risk exposure and identifying specific potential events or situations
- ◆ Assembly of a risk assessment team
- ◆ Fraud risk brainstorming
- ◆ Response to those risks

SESSION 2 - Developing an Effective Fraud Risk Management Framework

- ◆ Drafting a fraud risk management policy and systems
- ◆ Developing effective mitigation strategies that strike a balance between operational efficiency and control
- ◆ Fraud Prevention Committee

SESSION 3 - Creating a Culture of Compliance and Transparency

- ◆ Ensuring top to bottom awareness of internal and external frauds
- ◆ Educating the workforce to fraud risks
- ◆ Documenting and distributing policies and procedures
- ◆ Monitoring feedback from employees, customers and suppliers

SESSION 4 - Whistleblowing and Protection Plans

- ◆ Encouraging employees to come forward and report suspected incidents without fear
- ◆ Forming independent hotline for reporting suspected incidents of fraud or misconduct
- ◆ Establishing of confidential fraud reporting mechanisms

SESSION 5 - Detection & Investigation

- ◆ The latest fraud threats and deception techniques
- ◆ Common types of fraud schemes, including procurement fraud, ghost workers, skimming, theft, deception, false accounting corruption, money laundering, rigging of tenders and computer related frauds and the appropriate prevention strategies

* Includes morning coffee break, lunch and afternoon tea break

DAY 2 - AGENDA

0800am **REGISTRATION AND MORNING COFFEE**

0900am - 1600pm **SESSIONS ***

1600pm - 1700pm **PANEL SESSION**



SESSIONS



SESSION 6 - Fraud Detection and Deterrence

- ◆ Fraud and misconduct can occur at every level within an organisation, it is essential that appropriate prevention and detection mechanisms are put in place
- ◆ Establishing and adhering to detailed prevention and detection guidelines
- ◆ Utilising best practices fraud detection and deterrence tools and techniques
- ◆ Data analysis and mining
- ◆ Internal Controls review
- ◆ Continuous monitoring services
- ◆ Documentation of detection and techniques
- ◆ Internal auditing assistance
- ◆ Development of measurement techniques

SESSION 7 - Identifying and Utilising available Indicators from the Perspective of an IT Auditor

- ◆ Exploring avenues of inquiry
- ◆ Testing and evaluating service delivery / disciplines
- ◆ Service evaluation / integrity testing
- ◆ Auditing for detection - taking hunches seriously
- ◆ Due diligence on key personnel, major transactions and suppliers

SESSION 8 - Conducting Corporate Fraud Investigation and Preparing Structured Fraud Response Plan

- ◆ Developing a reporting process and coordinated investigation approach
- ◆ Establishing a system for prompt, competent and confidential review, investigation and resolution of allegations
- ◆ Evaluating the allegation
- ◆ Investigation protocols
- ◆ Measurement of potential damages / loss
- ◆ Reporting results and expert witness testimony
- ◆ Recovery / Corrective actions

SESSION 9 - How to Conduct Effective Confidential Internal Investigation

- ◆ Detection of deception - body languages and verbal responses
- ◆ Recording of statement and evidence
- ◆ Preparing an investigation report
- ◆ Collection of evidence and related legal matters
- ◆ Preserving Integrity of evidence
- ◆ Effective use of computer forensic experts and other external experts such as surveillance agents
- ◆ Giving of evidence in court / disciplinary tribunal

SESSION 10 - Detection & Investigation

- ◆ Legal profession privilege on investigation reports
- ◆ Personal data privacy issues
- ◆ Rules of evidence on "unused materials" in a criminal trial and its impact upon the effectiveness of an independent internal investigation
- ◆ Civil proceedings to recover stolen assets or to sue responsible officers in respect of professional negligence for breach of due care, skills and diligence

* Includes morning coffee break, lunch and afternoon tea break

SPEAKERS

Course Master and Lecturer



Mr C.K. Cho

Barrister, LLB (Hons.) London CFE, DMS, FCMI, MIMC, MIoD

Mr Cho is a former senior member of the Hong Kong Independent Commission Against Corruption (ICAC), and investigated corruption, fraud, money laundering and related offences at first as a Chief Investigator and then Head of the Legal Research and Management Services Unit.

Mr Cho was also a former President of Association of Certified Fraud Examiners, Hong Kong a position he held during 2007 to 2008 and is an expert consultant on fraud and internal control.

He is a popular speaker on subjects such as prevention and detection of computer related fraud, personal data privacy, commercial law and fraud risk management and was a speaker at the World Congress of Accountants 2010 on forensic accounting.

Session Speakers



Benny K B Kwok

Mr Kwok is a reputable independent forensic expert with three decades of experience in the Big-Four accounting firms, the UK Government, banks and real estate companies. Mr Kwok has a unique combination of expertise with 16 professional qualifications, including Chartered Surveyor, Chartered Builder, Chartered Accountant and CPA (Practising), and has delivered more than 100 lectures and seminars for the Hong Kong Government, the Chinese University of Hong Kong, the Hong Kong Polytechnic University, the University of Hong Kong and a number of law firms and organisations.

Mr Kwok is the author of over 100 papers and three authoritative titles published worldwide: Forensic Accountancy – First and Second editions (LexisNexis Butterworths 2002 & 2008); Accounting Irregularities in Financial Statements (Gower Publishing UK 2005); and Financial Analysis in Hong Kong (The Chinese University Press 2008).



Leon Hill

Mr Hill is a corporate counsel for APA Group, Ltd. as well as the executive producer launching SCP, Ltd. He graduated from the Michigan State University with a degree in Psychology, and went on further to obtain his Juris Doctor from University of San Diego School of Law. Since 2003 till present, Mr Hill has been a trainer for a number of Training Institutions, Association and Corporate companies. He is also an experienced Course writer, Teacher and Editor. Before he became a Corporate Trainer, Mr Hill was an attorney from 1986 to 2004.

Dr. Charles Lau

DBA, CA, CIA, FCCA, FCGA, CFE, CISA, CMC

Charles Lau, vice president of the Canadian Association of Certified General Accountants in Hong Kong, is a chartered accountant specialized in internal control and corporate governance. He graduated from the University of New Castle (Australia) with a doctorate degree in Business Administration.

Charles is also holder of a number of professional designations, certified internal auditor, chartered accountant (New Zealand), fellow certified general accountant, chartered certified accountant, certified management consultant and membership of the Hong Kong Institute of Directors. He has gained over 20-year experiences in internal auditing and corporate control from various blue chip conglomerates in Hong Kong. Currently, Charles is the senior executive of a blue chip company listed in Hong Kong.


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Date: 20 - 21 September 2011


Venue: Novotel Century Hong Kong

HOW TO REGISTER

Ms Joanne Su

 Telephone : (65) 6222 9780

 Complete and fax this : (65) 6222 9865
registration form to

 Email : joanne@csi-world-hq.org

 Mail this completed form to : ICFE Hong Kong Co. Ltd - 20/F, Wellable Commercial Building, 513 Hennessy Road, Causeway Bay, Hong Kong

YES! Please register the following delegate(s) for this Conference

Name (Dr/Mr/Mrs/Ms) : _____ Name (Dr/Mr/Mrs/Ms) : _____
Job Title : _____ Job Title : _____
Email : _____ Email : _____
Company : _____ Company : _____
Company Website : _____ Company Website : _____
Address : _____ Address : _____
Tel: _____ Fax : _____ Tel: _____ Fax : _____
Booking Contact : _____ Business Nature : _____ Booking Contact : _____ Business Nature : _____

Name (Dr/Mr/Mrs/Ms) : _____ Name (Dr/Mr/Mrs/Ms) : _____
Job Title : _____ Job Title : _____
Email : _____ Email : _____
Company : _____ Company : _____
Company Website : _____ Company Website : _____
Address : _____ Address : _____
Tel: _____ Fax : _____ Tel: _____ Fax : _____
Booking Contact : _____ Business Nature : _____ Booking Contact : _____ Business Nature : _____

YOUR INVESTMENT FOR ATTENDING:

Event	COURSE FEE
2-Day	HK\$5,900

The fee include lunch, refreshments and symposium documentation.

I wish to claim special discount as a member of:

	ACSI	CSI	Membership No.
2-Day	HK\$5,750	HK\$5,600	

GROUP DISCOUNT: Enjoy a group discount of 5% for 3 or more delegates registered at the same time from the same organisation and of the same billing source.

CONFERENCE VENUE & ACCOMMODATION INFORMATION

Hotel Novotel Hong Kong Century
238 Jaffe Road, Wanchai Hong Kong, Hong Kong
Tel: (+852) 25988888 Fax: (+852)25988866

For reservations, please make your bookings directly with the hotel. Hotel bills are to be settled by delegates directly with the hotel. Hotel reservations and travel arrangements are the responsibilities of the registrant. Please note that rooms are available on a first-come-first-served basis.

PREFERRED MODE OF PAYMENT

BY CHEQUE:

Please cross cheque made payable to:

ICFE Hong Kong Co. Ltd

(Mail to): 20/F, Wellable Commercial Building, 513 Hennessy Road, Causeway Bay, Hong Kong

TELEGRAPHIC TRANSFER

The Hongkong & Shanghai Banking Corporation Limited

Account Name: **ICFE Hong Kong Co. Ltd**

Account No.: 808-739213-838

Please quote your Company's name in your payment instructions.

IMPORTANT NOTICE: Payments are required with registration and must be received prior to the Symposium to guarantee your place. Walk-in delegates will only be admitted on the basis of space availability at the Symposium and with immediate full payment.

CANCELLATIONS AND TRANSFERS

If you are unable to attend, a substitute delegate is welcomed at no extra charge. Please provide the name and the title of the substitute delegate at least 2 working days prior to the Conference. A refund less HK\$1,900 administration charge will be made for cancellation received in writing on or before 6 September 2011. Regrettably, no refund can be made for cancellation received after this date. A complete set of documentation will however be sent to you.

The organiser reserves the right to make any amendments and / or changes to the programme, venue, speaker replacements and/or topics if warranted by circumstances beyond its control.