

**Overview of Complex Investment Products and Selling Guidelines
under HKMA and SFC Regulations**

5 September 2016

Mandatory CPD Event with 2.5 CPD awards to FDRC Mediators/Arbitrators

Objectives

After the completion, participants will be able to acquire core knowledge of complex investment products as well as their respective selling procedures as required by regulatory bodies.

Programme Outline

- i. Accumulators (in particular the CNY related products)
 - Building Blocks of Structured Products
 - Knock-Out Equity/Currency Linked Note (ELN/CLN)
 - What Comprises an Accumulator?
 - Contract Specifications of an Accumulator
 - Areas of Financial Disputes with Bank Customers
- ii. Banks / Securities Policy of Close Out Shares and FX of Customers' Margin Positions, the Practical Procedures and Operations
 - Introduction of Trading Cycle for Shares and FX
 - Functions of a Dealing Room / Treasury Management of Banks / Securities
 - Risk Management and Control of Banks / Securities
 - Practical Procedures and Operations
- iii. The HKMA and SFC regulation in (i) and (ii) above
 - Regulatory Requirements imposed by the HKMA and the SFC
 - Complex Investments Product Due Diligence
 - Investment Sales, Advisory Process and Disclosures to Customers
 - Professional Investors and Private Banking Customers

Target Audience

- Mediators on the FDRC List of Mediators (FDRC Mediator) and Arbitrators on the FDRC List of Arbitrators (FDRC Arbitrator)
- Other participants who are interested

CPD Requirement

2.5 Mandatory CPD is granted to FDRC Mediators and FDRC Arbitrators upon completion.

(Please refer to the *Standards and Procedures for Admission to the FDRC List of Mediators and FDRC List of Arbitrators* and the attached *Training Courses Regulations* for detail.)

Enquiries

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Speaker

Dr. Raymond Lee has over 10 years' experience in conducting training courses and seminar for various banks and financial institutions in the areas related to financial market including financial planning, investment management. Foreign exchange, etc. He also focus on wealth management business for high-net-worth customers, including asset portfolio design via private banks' product platform such as structured products. Meanwhile, he is the senior consultant of the Hong Kong Institute of Bankers.

Programme Details

- Language** : Cantonese (supplemented with English materials)
- Date** : 5 September 2016 (Monday)
- Time** : 18:00 – 20:30
(registration from 17:45)
- Duration** : 2.5 hours
- Venue** : 3/F Guangdong Investment Tower, 148 Connaught Road Central. (Sheung Wan MTR Station Exit C)
- Fee** : HK\$250 for FDRC Mediators and FDRC Arbitrators
HK\$350 for other participants
- Enrollment** : Please email the Registration Form to Fdrc@fdrc.org.hk.
- Payment Method** : (1) Crossed cheque: payable to "Financial Dispute Resolution Centre" and post to FDRC, Unit 3701-04, 37/F, Sunlight Tower, 248 Queen's Road East, Wan Chai, Hong Kong; or
(2) Bank transfer:
 - Bank Name: The Hongkong and Shanghai Banking Corporation Ltd
 - A/C Name: Financial Dispute Resolution Centre
 - A/C No.: (004)-848-218731-838

Registration Form

Overview on Banking Investment Products and Respective Selling Procedures

Full Name : Mr / Ms / Miss /Dr _____
 FDRC Mediator FDRC Arbitrator Other
 Organization : _____ Position : _____
 E-mail : _____ Mobile / Phone No : _____
 (Confirmation will be sent via e-mail upon receiving the payment)
 Payment Method : Cheque (Cheque no. _____) Bank Transfer (bank-in slip attached)