

Fraud Investigation in Hong Kong

Four-Session Training Course (Part 1 of 2)
in a face-to-face and online hybrid format



Saturday mornings in July and August
2021 in Hong Kong

~ Visit Us Online: www.hkacfe.com ~

Fraud Investigation Training (Part 1 of 2)

CPE Hours:

12 (3 per session)

Date & Time:

24th & 31st July

7th & 14th August 2021

9am - 12noon

Live and by Webinar:

Limited seating at HKU campus
at Pokfulam, Hong Kong

- OR -

Zoom webinar

(details to be announced)

Organized by:



In Partnership With:



About the Course:

- Brought to you by the Hong Kong Chapter of the Association of Certified Fraud Examiners.
- We offer two major training events per year, each provides a four-session training course at HKU campus. This year's first event is presented on Saturday mornings in July and August 2021 and is tailored to the needs of Hong Kong fraud examiners and offers 12 CPE hours.
- The training covers areas specific to Hong Kong and mainland China which are not covered elsewhere in ACFE training materials.
- The content will assist candidate CFEs preparing for their CFE examination and draws on the experience of locally based CFEs and experts in fraud, law, and risk management, considering topics that will broaden the expertise of our certified members.
- We can now offer this course in a hybrid format; on-line and live at the HKU campus. A limited number of seats will be available at the HKU campus.

Who Should Attend?

- Fraud investigators and fraud examiners in both the private and public sectors, as well as compliance officers, accountants, auditors, regulators, financial analysts, bankers, lawyers, risk and internal control managers.

About ACFE:

- The Association of Certified Fraud Examiners is the world's largest anti-fraud organization and premier provider of anti-fraud training and education. ACFE's 90,000 members combat business fraud worldwide and inspire public confidence in the integrity and objectivity of fraud examiners.
- The ACFE Hong Kong Chapter holds regular social and training activities to connect anti-fraud professionals and promote professional advancement in the prevention, detection, and investigation of fraud in Hong Kong.

Investigations - Hunting Dishonesty

24th July 2021 (Saturday), 9am - 12noon, 3 Hours / 3 CPE Credits

Presenter: Ian Barlow, CFE, Softly Softly Consulting Limited

Ian Barlow is an experienced security risk management consultant with specialist knowledge of fraud investigations gained during a career in the Commercial Crime Bureau of the Hong Kong Police and working in Asia in the financial services and advanced technology industries. He is a Certified Fraud Examiner and board member of the Hong Kong Chapter of the Association of Certified Fraud Examiners, an ISACA Certified Information Security Manager, ASIS Certified Protection Professional, and a member of the Business Continuity Institute. He now works as an independent security risk management consultant.

Outline:

Money. At its simplest, fraud is about money. You used to have it, and now someone else has taken it from you. That simple equation is at the heart of fraud affecting an individual or a major financial institution, or even a country. The hunt for that money (and trying to bring it back home) is at the heart of fraud investigation.

This presentation will use case studies to examine a selection of Hong Kong and international fraud cases to highlight common points of investigative focus, common principles and practices, the limitations that law and ethics place on the fraud investigator and the limits that borders put on finding and recovering the stolen cash. Fraud doesn't always start and end with a criminal offence; commercial organisations of all sizes have to consider other factors in tackling a dishonest loss. Those considerations affect how to approach an investigation and where that investigation leads. Spoiler alert: there are few happy endings in fraud investigation.

Convergence between cyber and fraud investigations

31st July 2021 (Saturday), 9am - 12noon, 3 Hours / 3 CPE Credits

Presenter: Paul Jackson, APAC Regional Managing Director, Kroll

Paul Jackson is the APAC Regional Managing Director for Kroll's Cyber Risk Practice. Paul started his career with the Hong Kong Police in 1988 and was a founder and leader of the first Technology Crime Division within the police. Paul also led training and capacity building on behalf of Interpol with law enforcement around the APAC region. More recently, Paul was global head of Cyber and Internal Investigations for JP Morgan in New York, before returning to Hong Kong four years ago to assume his current role.

Outline:

This session will give an overview of trends in how technology is being (ab)used in illegal and unauthorised activities. The presentation includes:

- Case studies highlighting how technology can greatly assist with employee fraud and corruption investigations.
- Best practices in addressing insider threats.
- Overview of tools used to enhance investigations, and an introduction to KAPE (Kroll Artifact Parser and Extractor), a free software tool which enhances investigation work, including a demonstration and practical exercise.

What to do if your Bank account funds have been inadvertently frozen?

7th August 2021 (Saturday), 9am - 12noon, 3 Hours / 3 CPE Credits

Presenters: Annie Chan, Partner, Mazars and Dominic Wai, Partner, ONC Lawyers

Annie Chan has specialised in forensic accounting, regulatory compliance consulting, fraud investigation, dispute consulting, anti-money laundering, and corporate recovery services for over 20 years. Annie's specific focus and expertise are in the areas of forensic accounting, internal control review and litigation support. She has also been a Senior Manager, Enforcement Division, at the Securities and Futures Commission and a Partner and Managing Director of a big-four accounting firm.

Dominic Wai worked in the banking sector and the Independent Commission Against Corruption (ICAC) before joining the legal profession. Dominic's practice focuses on advising clients on matters relating to anti-corruption, white-collar crime, law enforcement, regulatory and compliance matters in Hong Kong, including anti-money laundering. Dominic also handles cases involving corporate litigation, shareholder disputes and insolvency, defamation, domestic and international arbitration, cybersecurity, data security, privacy law, competition law, e-discovery, forensic investigations, and property litigation.

Outline:

The outbreak of COVID-19 last year resulted in a drastic surge in fraud globally. Hong Kong has seen many email, telephone and investment scams involving stock market manipulation. Hong Kong's Securities and Futures Commission (SFC) has made this its top enforcement priority in 2021. Against this backdrop, where funds held in bank and securities accounts are caught-up in investigations and are frozen due to anti-money laundering or fraud-related concerns, what is the role of forensic accountants and lawyers in investigating and assisting in the unfreezing process?

This session will cover:

- Legal and regulatory basis for freezing of funds and bank/securities accounts
- What legal remedies do you have if your funds or bank/securities accounts have been frozen
- The role of forensic accountants in investigating fraud and in remediating regulatory non-compliance
- How forensic accounting could assist lawyers and clients in the unfreezing process

Cyber-fraud and corporate fraud in listed companies – a legal perspective

14th August 2021 (Saturday), 9am - 12noon, 3 Hours / 3 CPE Credits

Presenters: Ian Lo, Partner, Ince & Co. and Eric Lui, Partner, Ince & Co.

Ian Lo is a Partner at Ince & Co and is in charge of the Insolvency and Criminal litigation practices. Ian and his team regularly advise on complex commercial disputes, corporate insolvency and cross-border restructuring matters involving high-profile HKEX listed companies. Ian's clients include listed companies, liquidators, and bankers. He and his team have extensive and rounded experience in advising parties at various stages of proceedings in restructuring and winding-up, including acting for provisional liquidators, petitioning creditors and shareholders, defending winding up petitions, as well as acting for former management against a liquidator's actions.

Eric Lui is a Partner at Ince & Co and the Head of Corporate Finance, China. He is a banking and corporate finance specialist and has extensive experience in corporate-finance and cross-border project finance. On corporate finance front, Eric advises companies on their restructuring and subsequent IPOs in the Hong Kong and foreign securities markets, both pre and post listing. He also works on numerous joint ventures and M&A transactions in Hong Kong and China. Additionally, Eric represents leading Chinese companies and organisations doing business in Hong Kong and provides advice in a range of areas including banking, insurance, securities, and real estate investment. Eric is familiar with China business, and he is a China Appointed Attesting Officer appointed by the Ministry of Justice of the People's Republic of China.

Outline:

This session will cover:

Cyber-fraud

- Common types of fraud
- Immediate recovery actions
- Mareva and proprietary injunctions
- Disclosure orders
- Court actions against a fraudster
- Legal remedies

Corporate Fraud in Listed Companies

- Fraud by false representation
- Fraud by failing to disclose instructions
- Fraud by abuse of position
- Corporate Governance
- Fraud reporting mechanisms and the role of external auditor

Registration Guide

A maximum of 100 places are available for this course, which is offered in a hybrid format; on-line and live at the HKU campus. A limited number of seats will be available at the HKU campus, please indicate your preference below.

Seats will be reserved on a first come first-served basis and will be confirmed only after both a completed Registration Form and payment are received. Pricing is shown in the attached registration form.

Substantial discounts are offered for members of the Hong Kong Chapter, members of ACFE and students and members of supporting organizations, including ACAMS, ASIS, ACCA, CIMA, HKICPA, IIA, ISACA, HKSI, HKAFA, HKiNEDA, and HKU.

In addition to member discounts, participants are also entitled to a 10% discount for groups with at least 5 participants.

CPE Credits

- Each three-hour session will earn 3 CPE points. Members attending all the sessions can earn 12 CPE points.
- Participants must view/attend the entire event to be eligible for a course certificate and CPE.

Terms and Conditions:

- Registration will be confirmed upon receipt of Registration Form and payment.
- Confirmation of the registration will be sent closer to the training date.
- Payment is non-refundable, but transfer to another person of the same category will be accepted.
- Participants may be refused admission if payment is not received prior to the event.
- A receipt for payment, together with the certificate of attendance (if applicable) will be sent upon completion of the training course.
- The organisers reserve the right to substitute speakers and alter the programme and venue for reasons beyond their control.
- Updated information about course arrangements will be available on www.hkacfe.com.
- CPE Points will be awarded for attendance confirmed by signing in on each day of the course.
- 3 CPE points will be awarded for each day of the course with a possible maximum credit of 12 CPE points.

Bad weather:

- If typhoon signal No. 8 or Black Rainstorm Warning is hoisted 2 HOURS before training course commencement the training course will be RESCHEDULED, and all participants will be notified later about the revised arrangements.

How to Register

- 1) Register online at <https://www.hkacfe.com/training/2021-part1> 
- OR -
- 2) Complete and send the Registration Form and Payment to "Association of Certified Fraud Examiners Hong Kong Chapter Limited":

By post:
GPO Box 8412, Central, HK
By fax: (852) 3019 2251
By email: events@hkacfe.com

How to Pay

- 1) Online payment
By Visa / Master via Paypal (available for online registration only; not applicable for group discount)
- 2) By Direct Deposit:
Pay to the Bank of East Asia
A/C No. 015-514-40-67876-7
Account Name: "**Association of Certified Fraud Examiners Hong Kong Chapter Limited**"
- 3) By Cheque:
Payable to "**Association of Certified Fraud Examiners Hong Kong Chapter Limited**" *

** No payment will be received or accepted without full name stated in the cheque and/or bank transfer and/or bank remittance documents.*

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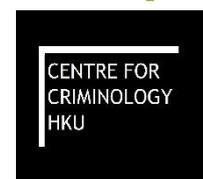
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To: Association of Certified Fraud Examiners Hong Kong Chapter Limited
fax: (852) 3019 2251
email: events@hkacfe.com
post: GPO Box 8412, Central, Hong Kong

Registration Form

Categories of Participants	24 July 2021	31 July 2021	7 August 2021	14 August 2021	All Sessions
ACFE HK / ACFE Members, Students / Members of ACAMS, ASIS, ACCA, CIMA, HKICPA, IIA, ISACA, HKSI, HKAFA, HKiNEDA, HKU	HK\$500	HK\$500	HK\$500	HK\$500	HK\$1,600
No. of Participants					
Sub-total:					
Non-Members	HK\$850	HK\$850	HK\$850	HK\$850	HK\$2,600
No. of Participants					
Sub-total:					
10% Group Discounts (5 or more persons)					
GRAND TOTAL:					

Name:	Employer:
Email:	Phone:
Registration for: <input type="checkbox"/> 24 Jul <input type="checkbox"/> 31 Jul <input type="checkbox"/> 7 Aug <input type="checkbox"/> 14 Aug <input type="checkbox"/> All sessions Attend live presentation at HKU campus (limited number of seats available) : <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Member of ACFE HK / ACFE (non-HK Chapter) Member * (ACFE Membership No. _____) <input type="checkbox"/> Member of ACAMS, ASIS, ACCA, CIMA, HKICPA, IIA, ISACA, HKSI, HKAFA, HKiNEDA, and HKU * <i>* Please circle as appropriate</i> (Membership No. _____)	
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(Please duplicate this sheet for additional participants)

Venue of live session:

Room CBA, Ground Floor, Chow Yei Ching Building, The University of Hong Kong, Pokfulam, Hong Kong

