

Monetary Disputes of Small Enterprises with Banks and Securities Firms (2.5 hours)

FDRC Mandatory CPD Event on 19 July 2018 & 21 July 2018

Course Objectives

In view of the service enhancements of the Financial Dispute Resolution Scheme (FDRS) to cover monetary disputes of small enterprises with effect from 1 July 2018, the course aims at providing the latest information about monetary disputes between small enterprises and financial institutions.

Speaker

– Dr. Raymond Lee, the Principal Trainer of the Hong Kong Institute of Bankers, has about 30-year experience in the investment and financial planning industry. He has also been as a lecturer and visiting professor at local and foreign universities. His academic qualifications include BBA (Hons.), Ph.D. (Finance), M.Phil. (Accounting and Law) and M.Phil. (Economics and Finance).

Outline

A. Financial Products and Services Offered by Banks and Securities Firms to Small Enterprises

- Small Enterprises under the Definition of the FDRS
- Description of financial products / services to small enterprises

B. Types of Disputes Between Banks/Securities Firms with their Small Enterprises Customers

- Non-monetary disputes such as account operation delay, complaints of attitude, etc.
- Monetary disputes involving actual/ potential monetary losses

C. Nature of Disputes Between Banks/Securities Firms with their Small Enterprises Customers

- HKMA/SFC regulatory requirements
- Misrepresentation, mis-selling, operational issues, system malfunction, etc.

D. Process of Resolution of Disputes

Target Audience

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

Seats are limited and priority will be given to the FDRC Mediators and FDRC Arbitrators.

CPD / CPT – FDRC: 2.5 mandatory CPD; CPT: 2.5 ; HKIAC (pending)

Programme Details

- Language** : Cantonese (supplemented with English materials)
- Date** : 18:00 – 20:30, 19 July 2018 (Thursday) / 10:00 – 12:30, 21 July 2018 (Saturday)
- Venue** : Financial Dispute Resolution Centre
Unit 3701-04, 37/F, Sunlight Tower, 248 Queen's Road East, Wan Chai, Hong Kong
- Fee** : HK\$250
- Enrollment** : Please email the Registration Form to pr@fdrc.org.hk.
- Payment Method** : (1) Crossed cheque: payable to "Financial Dispute Resolution Centre" and posted to FDRC,
Address: Unit 3701-04, 37/F, Sunlight Tower, 248 Queen's Road East, Wan Chai, Hong Kong; or
(2) Bank transfer to the "The Hongkong and Shanghai Banking Corporation Ltd"
- A/C Name: Financial Dispute Resolution Centre
 - A/C No.: (004)-848-218731-838

Enquiry – Please contact Ms. Sophie Shek (Tel: 3199 5166) or email Fdrc@fdrc.org.hk

Registration Form

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Session : 18:00 – 20:30, 19 July 2018 (Thursday) or 10:00 – 12:30, 21 July 2018 (Saturday)

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 pay-in slip or ATM advice attached)