



A TPSB

銀行業核心人才培訓計畫國際課程

Advanced Training Program for Senior Bankers



Organizer  中華民國銀行公會
Bankers Association of R.O.C.

Executive Unit  台灣金融研訓院
Taiwan Academy of Banking and Finance

2019 年銀行業核心人才培訓計畫國際課程



一、 舉辦背景：

本系列課程邀請具有豐富國際金融實務及教學經驗之專家擔任講座，依據銀行業核心人才職能發展需要，設計法令遵循、貿易融資、企業金融、風險管理、財務金融等五大領域課程，透過觀念講授、個案研討及模擬演練等多元化教學方式，強化銀行業人士專業能力，建立新觀念與新技巧。

二、 舉辦地點：台灣金融研訓院 (台北市羅斯福路三段 62 號)

三、 參加對象：

1. 金融監督管理委員會、中央銀行等主管機關人員。
2. 銀行公會研訓基金提撥機構之從業人員，具 5~8 年金融實務經驗者。

四、 參加費用與人數：

本系列課程開放前述參加對象**免費參加**，每機構**正取 1 名**、**候補人數以 3 名為限**，每門課程上限 40 人。分配名額非保證錄取名額，本院保留統籌分配之權利。

五、 報名方式：

1. 由機構薦派線上報名，網址: <https://service.tabf.org.tw/site/talent/>
2. 每機構僅提供一組報名專用帳號，即日起開放註冊帳號，建請指派專人統籌辦理報名事宜。
3. **4 月 2 日上午 10 點統一開放報名**，詳細報名方式與步驟請詳**附件 2**。
4. 帳號註冊、報名操作諮詢請洽(02)3365-3666 分機 605、612、614、615，
Email：regosd@tabf.org.tw

六、 其他事項：

1. 標示**中**為中文授課，未標示之研習班均採**英語**授課，不提供口譯服務。各班次上課時間為 09:00-17:00。
2. 本院保留變更課程內容、講座、時間安排等權利。

風險管理人才

日期	時數	課程主題	報名截止日
5/6(一) – 5/7(二)	14	信用風險模型建置與規範	4/22
7/8(一) – 7/9(二)	14	交易對手信用風險管理實務	6/24
8/26(一) – 8/27(二) <暫定>	14	銀行簿利率風險(IRRBB)實務與 Basel 規範	8/12

貿易融資人才

日期	時數	課程主題	報名截止日
6/24(一) – 6/25(二)	14	ISBP 與 UCP 實務案例解析 中	6/10
8/12(一) – 8/13(二)	14	ISP98、UCP600、URDG758 差異分析與實務案例解析 中	7/29
10/3(四) – 10/4(五)	14	信用狀詐騙實例與國際商會最新意見解析 中	9/19

財務金融人才

日期	時數	課程主題 & 認證時數	報名截止日
6/12(三) – 6/13(四)	14	利率結構型商品實務 ※符合衍生性金融商品法定持續進修時數認可 14 小時	5/29

企業金融人才

日期	時數	課程主題	報名截止日
7/1(一) – 7/2(二) <暫定>	14	國際聯貸實務	6/17
8/1(四) – 8/2(五) <暫定>	14	國際聯貸合約文件擬定與審閱	7/18

法令遵循人才

日期	時數	課程主題 & 認證時數	報名截止日
5/20(一) – 5/21(二)	14	金融犯罪防制與國際制裁(Sanction)實務 ※符合銀行業防制洗錢及打擊資恐在職訓練 14 小時進修認可	5/6
5/30(四) – 5/31(五)	14	衍生性金融商品合約與 ISDA 規範契約條款及爭議協商 ※符合衍生性金融商品法定持續進修時數認可 14 小時	5/16
7/15(一) – 7/16(二)	14	國際銀行業法令遵循最新規範 (一) ※符合法令遵循人員之持續進修時數認可 14 小時	7/1
7/17(三)	7	國際銀行業法令遵循最新規範 (二) ※符合法令遵循人員之持續進修時數認可 7 小時	7/3
7/24(三) – 7/25(四) <暫定>	14	如何有效防範貿易融資洗錢活動 ※符合銀行業防制洗錢及打擊資恐在職訓練 14 小時進修認可	7/10
9/18(三) – 9/19(四)	14	國際洗錢防制實務 ※符合銀行業防制洗錢及打擊資恐在職訓練 14 小時進修認可	8/12

四大教學特色

國際講師

國際師資英語教學
拓展視野

小組演練

與同業切磋討論
強化學習縱深

個案討論

個案導向討論式研習
更上層樓

專業交流

結識海外優秀金融專家
建立專業人脈



「課程內容與提供案例非常精采」

「課程內容多元且有趣」

「講師知識豐富，教學態度認真」

—2018 年參訓人員心得節錄



風險管理人才

參加人員

課程大綱

講師簡介

Craig Williams

信用風險模型建置與規範

Credit Risk Management: Modelling and Regulation

5/6(一) – 5/7(二) 09:00-17:00

具 5~8 年稽核、風險管理、法令遵循、企業金融、消費金融等實務經驗之銀行從業人員

- Credit Risk Modelling
- Loss Distribution of a Credit Portfolio
- Credit Risk Data
- Data Extraction
- Case Study: AnaCredit (Analytical Credit Dataset)
- Risk-Adjusted-Return-on-Capital (RAROC)
- Using RAROC as a credit risk approach
- IFRS9-Impairment and Expected Credit Loss (ECL) model
- Calculating Expected Credit Losses

Craig's wide ranging banking and commercial experience provide him with a broad platform to deliver training across an extensive curriculum. He has trained the majority of global banks that have operations in Asia, and also regulators in the main financial centres. His global markets products programmes cover cash and derivatives, including securitisation, up to advanced levels. Spreadsheet modelling and VBA programming together with financial writing and editorial courses provide the desktop tools for analysts. His proficiency in fixed income trading, new issue financing and asset management ensure that he delivers practical and engaging courses.

金融犯罪防制與國際制裁 (Sanction)實務

Financial Crime Prevention and International
Sanction

銀行業防制洗錢及打擊資恐在職訓練 14 小時進修認可

5/20(一) — 5/21(二) 09:00-17:00

具 5~8 年稽核、風險管理、法令遵循等實務經驗
之銀行從業人員

- International Money Laundering Frameworks and Conventions
- Overview of the Risk-Based Approach
- The need for Internal Controls
- KYC Due Diligence
- On-Boarding and Beneficial Ownership
- Emerging AML Trends and Threats
- Global sanctions architecture
- Terrorist resourcing & Proliferation finance
- Understanding Bribery & Corruption

Sam Gibbins is the Founder of complilearn, providing specialist and advanced Compliance learning to clients globally. He has extensive experience delivering content across a wide range of Governance, Risk, and Compliance areas, to a variety of industry sectors. Sam has been based in Singapore for nearly nine years working on consulting, learning and development across a range of public and private institutions. Previously Sam was the General Manager, Asia, for Governance Risk & Compliance Solutions, building the corporate presence in the Asian market across a wide and varied client base, for both facilitated workshop and online legal and compliance training solutions.

衍生性金融商品合約與 ISDA 規範契約條款及爭議協商

Analysis of ISDA Master Agreement and Credit Support Annex and Negotiation Skills

衍生性金融商品法定持續進修時數 14 小時認可

5/30(四) — 5/31(五) 09:00-17:00

參加人員

具 6~8 年從事衍生性金融商品及結構型商品推介、衍生性商品之交易、行銷業務、金融商品交易設計、風險管理等業務之銀行從業人員

課程大綱

- ISDA Documentation Architecture
- Types of Transactions covered by the ISDA Master Agreement
- Exercise: Case Study - ISDA Schedule
- Background of collateral
- The ISDA Credit Support Annex (English law)
- Credit Input in Collateral Arrangements
- Legal issues relating to collateral
- Exercise: Case Study - Par. 11 of Credit Support Annex

講師簡介

Mark C. Olie

Mark has worked for and advised all major Dutch financial institutions (Rabobank, ING Bank and ABN AMRO Bank) and energy companies (Nuon and Essent) on financial and energy derivatives agreements and ancillary documentation.

In 2009, Mark co-drafted a suite of derivative contracts, related policies and procedures for the "new" ABN AMRO Bank that was separated from Royal Bank of Scotland and organized and supervised the novation of hundreds of ISDA Master Agreements in view of the legal demerger of the bank.

參加人員

課程大綱

講師簡介

Pete Carpenter

利率結構型商品實務

Interest Rate Structured Products

衍生性金融商品法定持續進修時數 14 小時認可

6/12(三) – 6/13(四) 09:00-17:00

具 5~8 年從事衍生性金融商品及結構型商品推介、衍生性商品之交易、行銷業務、金融商品交易設計、風險管理等實務經驗之銀行從業人員

- Structured Products in a Modern Environment
- Protection Vs Yield
- Types of Derivatives – The Building Blocks
- Interest Rate Swaps (IRS)
- Exotic Option-Embedded Structured Product
- Barrier Options (Knock-In & Knock-Out)
- Case Study: Digital Caps & Floors
- Exercise: Compare and Contrast Range Structures

Pete has 34 years of financial markets experience with major banks in Singapore, London, Hong Kong, and Stockholm; where he has traded FX, FX Options, Interest Rates and Derivatives, Equities and Equity Derivatives, Fixed Income and Money Market products. He has set up and managed numerous trading teams and in his last role was Regional Treasurer and Head of Capital Markets in Singapore. He is experienced in Risk and Compliance in PB in Asia and is also in communicating with other Branches and Head Offices that are abroad.

In his various roles, Pete has gained deep experience in most aspects of financial products including market making, proprietary risk, sales, advisory and treasury management.

ISBP 與 UCP 實務案例解析

Latest ISBP and UCP Revision and Case Study

6/24(一) — 6/25(二) 09:00-17:00

具 5~8 年稽核、風險管理、法令遵循、企業金融、消費金融等實務經驗之銀行從業人員

- ISBP 與 UCP 的關係
- ISBP745 對商業發票和貨物檢驗證明書在貨物品質的接受程度有不同的標準
- 簽發信用狀應考慮的事項
- 審單標準
- 繼續審單標準
- 開狀銀行與指定銀行的關係
- 審單與付款的時限
- 拒付通知：案例討論
- 提示之有效期：案例討論
- DOCDEX 案例
- 法院判例與討論

蘇志成博士為貿易融資權威

經歷：

- 新加坡 DCTrade 顧問公司總裁
- 新加坡大華銀行副總裁及貿易服務總監
- 馬來西亞崇僑銀行副總裁及國際貿易服務及匯兌總監
- ICC 國際商會銀行技術及實務委員會新加坡銀行公會代表
- UCP600 起草委員會成員

國際聯貸實務

International Syndicated Loan: Case studies and applications in Asia

7/1(一) – 7/2(二) 09:00-17:00 <暫定>

具 5~8 年企業金融、企業徵授信等實務經驗之銀行從業人員

- Introduction of International Syndicated Loan
- Structural Analysis
- Documents and Analyzing Borrower's Cost
- Risks in Syndicated Loan and How to Manage the Risks
- Considerations for the Arranger

Principal of MarlinHouse Partners Limited

- Assisting with capital raising/trade finance for SME clients in ASEAN and India, packaged together with credit insurance.

- Assisting with capital raising for a project finance client based in Canada.

- Establishing receivables financing programmes, backed by credit insurance, for a HK based client with banks in Vietnam, Thailand and India.

- Assisting with sourcing distressed paper (trade claims and credit insured loan participations) from insurance companies based in Asia and UK for hedge funds and distressed debt traders.

Asia Pacific Loan Market Association - Secondary Loan Market Committee Chairman, Feb 2009 – July 2013

交易對手信用風險管理實務

Counterparty Credit Risk Management

7/8(一) – 7/9(二) 09:00-17:00

具 5~8 年 金融商品交易、金融商品企劃、風險管理、財務操作 等實務經驗之銀行從業人員

- PFE and AEE Overview
- PFE and AEE Exercise (ASEAN & China DCCR)
- SGD Interest Rate Swap Case Study
- MYR Rate Options Case Study
- THB NDF Case Study
- CSA & IM, VM
- Credit Risk Mitigation Techniques
- USDCNH FX Structure Case Study

Philip Eden is the EVP (Asia) for Intuition and a Senior Learning Consultant, specializing in capital and wholesale markets. In his EVP role Philip is responsible for leadership and strategy, growing our offering within the region.

As a Senior Learning Consultant, Philip creates and delivers courses that are aimed at increasing knowledge and enhancing performance in the workplace. He believes education should be interactive, collaborative, fun and practical.

Philip entered the financial markets in 1979 and has 27 years of front office experience with major banks in London, Sydney, Tokyo and Singapore. His most recent post was as Director of Global Money Markets with CSFB Tokyo & Singapore; prior to that he was Director and Head of Trading, Rates for UBS Singapore and Chief Dealer for Mitsubishi Bank London.

法令遵循人才

參加人員

課程大綱

講師簡介

Nicholas Walmsley

國際銀行業法令遵循最新規範(一)

International Banking Compliance I

法令遵循人員之持續進修時數 14 小時認可

7/15(一) – 7/16(二) 09:00-17:00

具 5~8 年稽核、風險管理、法令遵循等實務經驗之銀行從業人員

- Review of the international compliance regime: EU and the US, and the impact of Brexit
- Governance: how well is your firm managed
- Being a Compliance Officer: the role and responsibilities of the Compliance Function
- Working with senior management, business lines, control functions, and regulators
- Risk identification, measurement, assessment
- Maintaining policies and procedures, systems and controls
- Managing conflicts of interest

Nicholas is a highly experienced regulatory, compliance and anti-financial crime training professional. Nicholas has been training financial services staff and senior management globally for thirty years.

Working with the business lines, Nicholas has conducted global training needs analyses; designed training programmes; and developed engaging training solutions including classroom presentations, e-Learning courses, videos, and documentary materials.

Until August 2017, Nicholas was global head of compliance, financial crime and risk culture training at Deutsche Bank and he previously held the same role at Dresdner Kleinworts.

法令遵循人才

參加人員

課程大綱

講師簡介

Nicholas Walmsley

國際銀行業法令遵循最新規範(二)

International Banking Compliance II

法令遵循人員之持續進修時數 7 小時認可

7/17(三) 09:00-17:00

具 5~8 年稽核、風險管理、法令遵循等實務經驗之銀行從業人員

- Review of the impact of MiFID and MiFIR upon the conduct of business and the duties owed to customers
- Should firms be doing more to combat financial crime
- Case Study: US Department of Justice and HSBC
- Customer due diligence
- Suspicion reporting – when should you be suspicious? What are the red flags?
- Investigations, enforcement and litigation
- Is your staff training and awareness effective?

Nicholas is a highly experienced regulatory, compliance and anti-financial crime training professional. Nicholas has been training financial services staff and senior management globally for thirty years.

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Until August 2017, Nicholas was global head of compliance, financial crime and risk culture training at Deutsche Bank and he previously held the same role at Dresdner Kleinworts.

如何有效防範貿易融資洗錢活動

Combating Trade-based Money Laundering

銀行業防制洗錢及打擊資恐在職訓練 14 小時進修認可

7/24(三) — 7/25(四) 09:00-17:00 <暫定>

具 5~8 年稽核、風險管理、法令遵循等實務經驗之銀行從業人員

- How to Enhance Transaction Monitoring and CDD of TBML
- Variable Pricing of Goods
- Terrorist Financing and Resourcing
- Trade-based Frauds and Money Laundering Case Studies
- How to Cooperate with the Law Enforcement on combating TBML



Representative from Deloitte –敬邀中–

國際聯貸合約文件擬定與審閱

International Syndicated Loan: Preparation and Review of the Agreement

8/1(四) — 8/2(五) 09:00-17:00 <暫定>

具 5~8 年企業金融、企業徵授信、法務等實務經驗之銀行從業人員

- Terms and Conditions
- Information Memorandum: Preparation and Review
- Loan Documentation: Preparation and Review
- Covenants
- Events of Default

Tan Sok Kuan has possessed about 28 years of banking experience. These include trade finance operations and policy; trade finance marketing; credit & marketing (SME lending); corporate banking lending; structured trade and commodity financing; oil financing; structured back-to-back trade finance; aircraft financing; ship financing; loan restructuring and loan syndications.

At the request of The Institute of Banking & Finance together with leading universities in Australia and the UK since 1988, Jack has been concurrently involved in training bankers based on his areas of banking experience and expertise. In collaboration with the World Bank, Jack was an invited program consultant and trainer to train senior bankers in China from 1997 to 1999 in Credit Risk Management, in China, representing the Singapore government. At the request of banks in Singapore, Malaysia, Indonesia and China, he devotes a total of 27 years to date training bankers. Jack has received commendable compliments from bankers attending his training programs.

ISP98、UCP600、URDG758

差異分析與實務案例解析

Latest ISP98, UCP600 and URDG758 Comparison and Case Study

8/12(一) – 8/13(二) 09:00-17:00

具 5~8 年企業金融、貿易融資、OBU、外匯、財管等實務經驗之銀行從業人員

- Independent Undertakings
- Obligations of Parties to an Independent Undertaking
- Timely Presentation of Documents
- Examination and Compliance of Documents Presented
- Honour and Dishonour
- Miscellaneous Issues

蘇志成博士為貿易融資權威

經歷：

- 新加坡 DCTrade 顧問公司總裁
- 新加坡大華銀行副總裁及貿易服務總監
- 馬來西亞崇僑銀行副總裁及國際貿易服務及匯兌總監
- ICC 國際商會銀行技術及實務委員會新加坡銀行公會代表
- UCP600 起草委員會成員

銀行簿利率風險(IRRBB)實務與 Basel 規範

IRRBB and Basel Regulations

8/26(一) – 8/27(二) 09:00-17:00 <暫定>

具 5~8 年風險管理、資產負債管理等實務經驗
之銀行從業人員

- Definition of IRRBB
- Measurement and Calculation of IRRBB
- Related Basel Regulations and Requirements
- Case Studies



課程講師敬邀中

國際洗錢防制實務

International Anti-Money Laundering Practices

9/18(三) – 9/19(四) 09:00-17:00

銀行業防制洗錢及打擊資恐在職訓練 14 小時進修認可

具 5~8 年稽核、風險管理、法令遵循等實務經驗之銀行從業人員

- Analysis of the FATF Mutual Evaluation of Taiwan
- Threat of Organised Crime to Taiwan
- Building an Effective AML/CFT Team
- Customer AML/CFT Profiling
- High Risk Customers
- Group Exercise Presentations

Chris is a former Australian police officer who served for 31 years with the Australian Federal Police (AFP), Australia's national police agency. With the AFP, Chris Douglas worked in intelligence and operational units initially in Sydney and later in Perth where he was involved in the conduct of investigations into drug trafficking, people smuggling, human trafficking, corruption, organised crime and fraud.

In 2014 Chris worked in the Financial Crime Services area of the National Australia Bank Ltd, reviewing Anti-Money Laundering & Counter-Terrorism Financing (AML/CTF) policy and designing and delivering training on money laundering, corruption, sanctions, terrorist financing and fraud to staff engaged in CDD/KYC and sanctions monitoring and reporting.

信用狀詐騙實例與國際商會 最新意見解析

Letter of Credit Fraud and the Latest ICC Opinions

10/3(四) — 10/4(五) 09:00-17:00

參加人員

具 5~8 年企業金融、貿易融資、OBU、外匯、財管等實務經驗之銀行從業人員

課程大綱

- Common Types of LC Fraud
- Inspection on LC Fraud
- How to Prepare and Present Evidence on Court
- Case Studies on the Latest ICC Opinions

講師簡介

蘇志成

蘇志成博士為貿易融資權威

經歷：

- 新加坡 DCTrade 顧問公司總裁
- 新加坡大華銀行副總裁及貿易服務總監
- 馬來西亞崇僑銀行副總裁及國際貿易服務及匯兌總監
- ICC 國際商會銀行技術及實務委員會新加坡銀行公會代表
- UCP600 起草委員會成員