



2024

INTRODUCTION TO FINTECH: AUDITING FINTECH

PROGRAM OVERVIEW

FinTech is a catch-all term for technology used to augment, streamline, digitize or disrupt traditional financial services.

Fintech refers to software, algorithms, and applications for both desktop and mobile.

Auditors must know these areas. The facilitator will help you use your existing knowledge of internal audit to do a competent assurance engagement of the Fintech strategy and operations.

- What are the benefits of Fintech innovations?
- Who will benefit most from Fintech innovations?
- What banking products and services are ready for fintech enhancements?
- What are the critical risks and challenges?
- How is the technology deployed?
- How do Fintech companies create new services quickly?
- Replace old services or create new ones?
- Is your corporation culture a good fit?
- What are the critical factors for successful fintech operations?

Answers to: What is the Correct Strategy for FinTech Deployment?

- What industries?
- What Should Banks Do?
- What Partnerships are best? Who will succeed?
- What Skills and Talents?
- How to best retain these?

Get to Know the Terminology

- Bitcoin, Blockchain, Big Tech, Big Data, AI, Machine Learning, Artificial Neural network, Algorithm, Ethereum, Smart Contracts, NFT, Tokens, Sandbox, CBDC, etc.,

Understand how these relate to or affect each other.

Attendees will learn:

- What is Fintech and its trends?
- Where is Fintech best suited for?
- What is Fintech's Critical Success Factors?
- Who is doing it right?
- What are the foremost challenges?
- What is a Fintech Audit?
- How to plan and conduct a Fintech Audit?
- Learn the New Approach in Fintech Audit.





WHO SHOULD ATTEND?

Experienced Internal Auditors, Risk Managers, Compliance Managers and Operations Managers.

Why The Need for Internal Audit of Fintech Strategy and Operations?

Because technology is a “black box”, and governance calls for an evaluation of its appropriateness, design, risks, and evaluation in a new dynamic way.

Is Fintech Really Mandatory?

There is no escape. Almost every industry (especially financial institutions) is being thrust into a new competition, to reduce costs and create new value to its customers and stakeholders. But is the company’s strategy correct?

LEARNING OUTCOMES

- The most important objectives of Fintech,
- How Financial Inclusion is important for economic growth;
- Introduce the most important uses of Fintech;
- Reveal the main mistakes in employment of Fintech
- Increase the Chances of successful Fintech implementation;
- Make sensible and valuable insights to the Board on Fintech deployment.
- Examples of successful deployment.

ABOUT THE TRAINER

DAVID S K LEONG

CA (M), ACIB, MBA (Henley), CMIIA, CIA. Former CIA, Risk Manager & Author of Internal Audit Textbooks.

David Leong trained as a chartered accountant and qualified as a member of the Chartered Institute of Banks, UK. He acquired his Henley MBA in 1996 in which he also emerged as the top graduate for his cohort Malaysia. He then went on to pass the Certified Internal Auditor (CIA) examinations in 2003.

After 17 years in branch banking operations, David became the risk and strategic planning manager of his employer (a large international bank). This successful stint set him off spending the next 15 years as the chief internal auditor of four banks and as adviser on internal auditing to a development bank. He has authored two textbooks which are currently being used as the syllabus for the Certified Bank Auditor (CBA) examinations conducted by the Asian Institute of Chartered Bankers.

He has conducted several courses for banks, multinationals, on risk management, internal auditing, and financial analysis. He is well known for his well-researched, systematic thinking and logical analysis of existing and future economic environments.



ADMINISTRATIVE DETAILS

TARGET AUDIENCE	LEVEL I-III
MEMBER'S FEE	RM2,916.00 <i>Fee is inclusive of 8% SST</i>
NON-MEMBER'S FEE	RM3,348.00 <i>Fee is inclusive of 8% SST</i>
EARLY BIRD FEE	10% discount for registration received one (1) month prior to respective workshop dates
DATE	19 & 20 August 2024
TIME	9:00 am – 5:00 pm <i>(Registration on Day 1 at 8:30am)</i>
DELIVERY MODE	Physical Class
LOCATION	KUALA LUMPUR
PROGRAMME CODE	2024/KL39
TRAINER	David Leong
CPD POINTS	16

Disclaimer

This course has been planned as a classroom training session. In the event that the training session is converted to virtual format, a rebate of RM300 will be given for each participant. T&C apply.

COURSE DETAILS

Course Title 2024 Introduction to Fintech: Auditing Fintech

Course Code 2024/KL39 Course Date(s) 19 & 20 August 2024

DELEGATE 1

Full Name (as per IC) _____

Designation _____

NRIC _____ Gender Male Female Race _____

Mobile No. _____ Email Address _____

Member Non-Member Membership No. (only applicable for members) _____

Dietary Preferences Vegetarian Non-Vegetarian

DELEGATE 2

Full Name (as per IC) _____

Designation _____

NRIC _____ Gender Male Female Race _____

Mobile No. _____ Email Address _____

Member Non-Member Membership No. (only applicable for members) _____

Dietary Preferences Vegetarian Non-Vegetarian

If you are sending more than 2 delegates, kindly send the delegates details in an Excel File format.

CORPORATE DETAILS (only applicable for corporations)

Corporate Member Corporate Membership No: _____

Corporate Non-Member

CONTACT DETAILS

Organisation Name _____ Company Registration No. _____

Mailing Address _____

Contact Person _____ Designation _____

Telephone _____

Fax _____ Email Address _____

BILLING DETAILS

please tick if billing details are the same as contact details.

Contact Person _____ Designation _____

Billing Address _____

Telephone _____ Fax _____

Email Address _____

For non-member, would you like to be contacted to know more about IIA Membership programme? Yes No

ENQUIRY & REGISTRATION

1-17-07, Menara Bangkok Bank, Berjaya Central Park, 105 Jalan Ampang, 50450, Kuala Lumpur, Malaysia
Tel: +603 2181 8008 ext 210/211/212/213 Fax: +603 2181 1717 Email: training@iiam.com.my Website: www.iiam.com.my

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PAYMENT DETAILS

Payment Details	Member Rate (per person) for KL-code related courses	Non-Member (per person)	8% SST	Total with SST
Fee (per pax) RM				
No. of pax				
Subtotal				

All registrations **MUST** be accompanied with full payment. Upon receipt of your registration, you are deemed to have read and understood the registration procedures and accepted the terms and conditions contained therein. (Please tick (✓) the chosen method)

Enclosed is a cheque/bank draft no. _____ for the sum of RM _____ payable to **THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA**

LOCAL PAYMENTS BY CHEQUE / INTERBANK GIRO

All payments should be crossed and made payable to **THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA**

Bank Details: United Overseas Bank (M) Bhd. USJ Taipan Branch, No.7, Jalan USJ 10-1, USJ Taipan Triangle, 47620 UEP Subang Jaya, Selangor
Account No.: 165-301-514-9 Bank Swift Code: UOVBMKML

OVERSEAS PAYMENTS BY WIRE TRANSFER (USD only)

Beneficiary: **THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA**

Address: 1-17-07, Menara Bangkok Bank, Berjaya Central Park, 105 Jalan Ampang, 50450 Kuala Lumpur, Malaysia

Beneficiary's Bank: STANDARD CHARTERED BANK MALAYSIA BERHAD

Beneficiary's Bank Address: Level 18, Menara Standard Chartered, No.30 Jalan Sultan Ismail, 50250 Kuala Lumpur

Account No.: 312-170-024-235 Bank Swift Code: SCBLM-YK-XXXX

All wire transfer payments should include USD\$30.00 (overseas) and RM25.00 (local) for wire transfer processing fee. For GIRO, please include RM1.00 as bank charges. (Please fax the bank-in slip to +603 2181 1717 or email to training@iiam.com.my)

CREDIT CARD

I hereby authorise **THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA** to charge to my credit card. to the value of

RM _____ Card Type: VISA MASTER

Card Number:

Expiry Date: _____ Cardholder's Name _____

I understand that any amount drawn from my credit card will first be cleared with the credit card authorisation facility.

Signature (As per credit card) _____ Date _____

TERMS & CONDITIONS

FEE

- Fee is payable to "THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA". Please state your name, payment advice number, phone number and Workshop Code number at the back of the cheque/bank-in slip. Admittance will only be permitted upon receipt of full payment
- The fee covers a copy of course material*, lunches, refreshment, and Certificate of Attendance.
- Full payment is to be made before the date of the course. Fee is inclusive of 8% SST.
- Walk-in delegates will only be allowed if full payment is made, subject to the availability of the seat.
- This course has been planned as a classroom training session. In the event that the training session is converted to virtual format, a rebate of RM300 will be given for each participant. T&C apply.

HUMAN RESOURCE DEVELOPMENT CORPORATION (HRDC) SBL KHAS CLAIM(S) [APPLICABLE TO HRDC SBL KHAS CLAIMABLE COURSE(S) ONLY]

- Claimants are fully responsible:
 - To provide IIA Malaysia with the HRDC grant approval notification (letter or email) minimum 7 working days before the commencement of the course(s).
 - To provide IIA Malaysia with Letter of Undertaking (LOU) for full settlement of the course fees if grant approval notification is received from HRDC prior to the commencement of the course(s).
 - To adhere to all terms and conditions set by HRDC (i.e., full attendance of the courses).
 - For timely completion and submission of all required HRDC documents as per their requirement.
 - To follow up and respond to any queries from HRDC and attain the approval of grant claim(s) within 60 days from the completion of the course(s). If no grant claim approval is attained within 60 days, claimants are responsible to arrange for an immediate full settlement of the course fees(s). Should a late approval is attained post the full settlement, IIA Malaysia will arrange for the reimbursement accordingly based on the approved grant claim.
 - The HRDC Grant Approval Amount falls within the purview of HRDC. IIA Malaysia is obligated to adhere to the HRDC procedure and permissible cost matrix. In the event that the approved amount is less than the total training cost, the participant or attending corporate entity is required to cover the remaining balance.

CANCELLATION

- Upon registering, participant(s) are considered successfully enrolled in the course. Should participant(s) decide to cancel/transfer their registration, a cancellation/ transfer policy shall be applied as follows.
 - Written cancellations should be received by 14 working days before the workshop date to get the refund.
 - Written cancellations should be received by 7 working days before the workshop date to get a partial refund after deduction of 50% administrative charge. Unpaid registrations will also be liable for 50% administrative charge.
 - Written cancellations/no-show on the day of the workshop.
 - No refund will be entertained.
 - Unpaid registrations will also be liable to full payment of the registrations fee. Partial cancellation is not allowed.
 - You can substitute an alternate delegate(s) if you wish to avoid cancellation charges. Any differences in fees will be charged accordingly.

RESERVATION

- The Institute reserves the right to make changes to the venue, date, topic, speaker including cancellation if warranted by circumstances beyond its control.
- The Institute reserves the right to utilize any recordings or photographs taken during the delivery of the course(s) for marketing and advertising purposes.
- The Institute is not responsible for the action, advice or representations of the trainer / speaker.
- Registration will be on first-come, first-serve basis.
- Certificates of Attendance will be issued an "E-certificate" via email. For this purpose, it is COMPULSORY to fill in the email address clearly. Certificate will only be given to participant who attended the session in full.
- Upon signing this form, you have deemed to have read and understand the registration term and condition and therefore have accepted the terms contained herein.

DATA PROTECTION

Personal Data is gathered in accordance with the Personal Data Protection Act 2010 (Act 709). The Institute of Internal Auditors Malaysia (IIA Malaysia) hereby inform you that your personal data will be processed, retained and used by IIA Malaysia in relation to this Workshop. Your personal data may also be retained and used by IIA Malaysia to market and promote other training programmes conducted by IIA Malaysia.

DISCLAIMER

The Institute of Internal Auditors Malaysia (IIA Malaysia) reserves the right to change the speaker(s), date(s) or to cancel workshop(s) should circumstances beyond its control arise. IIA Malaysia also reserves the right to make alternative arrangements without prior notice should it be necessary to do so. IIA Malaysia is not responsible for any incidental cost of participants (i.e. return flights, accommodation and etc) due to changes or cancellation of course(s). Upon submitting the registration form, you are deemed to have read and accepted the terms and conditions.

* Subject to approval of the proprietor.

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