



Hong Kong Institute of CPAs

Regulatory Update on Securities Market

[Event code: SCPD16101801]

Date	18 October 2016 (Tuesday)
Time	6:30 p.m. – 8:00 p.m.
Venue	Hong Kong Institute of CPAs, 27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong
Speakers	<p>Mr. Stephen Po Senior Director Intermediaries Supervision Securities and Futures Commission</p> <p>Mr. Frankie Fan Senior Manager Intermediaries Supervision Securities and Futures Commission</p> <p>Mr. Ivan Wan Senior Manager Intermediaries Supervision Securities and Futures Commission</p>
Language	English
Fee	HK\$190 for members / HK\$330 for non-HKICPA member
CPD Credit hours	1.5 hours
Application Deadline	11 October 2016
Competency	Industry Knowledge, Risk Management
Rating	Intermediate Level* - Sound understanding of the knowledge area. The ability to apply knowledge and skills to a range of situations and able to deal with new situations.

* Please refer [here](#) for descriptions of other competencies and ratings

ABOUT THE SEMINAR

This seminar will cover regulatory update relating to the intermediaries in the securities market with particular reference in the following areas:

- OTCD Financial Resources Rules Consultation
- Online trading risk
- Regulatory issues regarding introducing brokers
- Internal controls issues related to client assets protection
- Anti-money laundering and counter-terrorist financing

REGISTRATION

- Online registration is recommended, please click [here](#) or visit www.hkicpa.org.hk
- To register offline (by post or by fax), please complete the enclosed enrolment form and return it with full payment to the Institute.
- Enrolments will be accepted on a first-come-first-served basis with priority given to the Institute's members.

Confirmation of registration will be sent by e-mail. If confirmation has not been received on 12 October 2016, please email to: tls@hkicpa.org.hk

Regulatory Update on Securities Market

(18 October 2016)

Finance & Operations
Department,
Hong Kong Institute of CPAs
37th Floor, Wu Chung House,
213 Queen's Road East, Hong



Hong Kong Institute of
Certified Public Accountants
香港會計師公會

Name: (*Mr. / Mrs. / Ms.) _____ HKICPA Membership No.: _____
(if applicable)

Company name: _____

Position held: _____ Email: _____

(for enrolment confirmation purpose)

Telephone No.: _____ Fax No.: _____

[Contact information is used solely for communication of this particular event, without update to your member profile.]

Please mark a "✓" against the session(s) for which you wish to apply

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Admission Fee: ☐ HK\$190 per person (HKICPA members) for each session
☐ HK\$330 per person (Non-HKICPA members) for each session

☐ Cheque (no. _____) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA"

☐ BOC HKICPA VISA ☐ BOC HKICPA UnionPay card ☐ Other VISA / MasterCard

Card Number: _____ Card Expiry Date (MM/YY): _____

Cardholder's Name (block letters): _____ Cardholder's Signature: _____ Date: _____

Payment receipt will be sent to your email address provided above once the payment is confirmed.

Notes:

- Please complete the Enrolment Form and return it to the Finance & Operations on or before the deadline, together with full payment.
- Enrolment is accepted on a first-come-first-served basis. No telephone reservation will be accepted.
- Registration by fax will ONLY be processed when payment is made by credit card. Cash is strictly NOT accepted. For credit card payment, the credit card should be valid with expiry date at least 1 month from the date of event. For payment by cheque, the enrolment will only be processed upon receipt of full payment.
- Confirmation of enrolment will be sent to you via email. You can check your enrolment status at "MyCPA" at www.hkicpa.org.hk. Unsuccessful enrolment will be notified with full refund.
- If typhoon signal no.8 or above / Black rainstorm warning is hoisted at or 2:30 p.m. on the date of event, the activity will be cancelled. Your admission fee will be refunded in the event of cancellation due to bad weather.
- In normal circumstances, the seminar fee is non-refundable or non-transferrable upon receipt of payment by HKICPA. Should the seminar be cancelled or postponed due to unforeseeable circumstances, refund will be made according to your payment method. For credit card payment, refund will be made directly to your credit card account. For cheque payment, refund will be mailed to your correspondence address.

Personal Data: Your personal data collected from the enrolment process and administration of courses/events/activities will be used for the purpose of the administration of the course on which you are enrolled. Such data collected may be accessible by the Institute's officers, persons or committees processing the application and related matters. In addition, the Institute may use the collected data for statistical research and analysis. The Institute intends to use the personal data of your name, email address and correspondence address to inform you, where relevant, of members' benefits, goods, services, facilities and events organized or provided by the Institute or other organizations. Members and registered students may opt out of receiving such materials at any time by logging in via the following link <https://www.hkicpa.org.hk/en/members-area/comm-preference/>. Non-members may opt out of receiving such materials at any time by sending an email to the Institute at privacyofficer@hkicpa.org.hk or a letter to the Institute's privacy officer. For more information about the privacy policy of the Institute, please go to <http://www.hkicpa.org.hk/en/service-tools/privacy-policy/>.

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Event Information Enquiry: 2287-7012
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For non-member and firm payment by cheque, please fill-in your postal address for refund:

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