

## Compliance Series (April 2018)



HKICPA will continue to launch the Compliance Series of seminars to assist members in acquiring the relevant knowledge and updates. Experts from different professions will share insights and experiences in respect of regulatory compliance matters in Hong Kong that have impacts on general businesses.

Topic/ Programme code	Date and time	Language	CPD hours	Speakers
How would Discrimination Laws Affect the Professional Accountants and the Commercial Industry? (SCPD18041601)	Monday, 16 April 2018 6:30 p.m. – 9:30 p.m.	Cantonese	3	<b>Mr. Albert So</b> Practising Solicitor, Certified Anti-Money Laundering Specialist, Certified Financial Crime Specialist
Proposed Changes on the Corporate Governance Code and Related Listing Rules (SCPD18041801)	Wednesday, 18 April 2018 7:00 p.m. – 8:30 p.m.	Cantonese	1.5	<b>Ms. Alva Lee</b> Partner, Risk Consulting, KPMG
General Data Protection Regulation's Impact in Asia (SCPD18042501)	Wednesday, 25 April 2018 7:00 p.m. – 8:30 p.m.	English	1.5	<b>Mr. Pierre Folk</b> Manager, Financial Services, Sia Partners <b>Ms. Justine Laprun</b> Manager, Financial Services, Sia Partners

**Venue** Hong Kong Institute of CPAs,  
27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong

**Format** Seminar

<b>Fee (for each)</b>	<u>1.5 hours</u>	<u>3 hours</u>
HKICPA member or student:	HK\$190	HK\$430
HKICPA member or student (online enrolment):	HK\$180	HK\$420
IA/ HKIAAT member or student:	HK\$190	HK\$430
Non-member:	HK\$330	HK\$700

**Participants** Company directors; INED; Finance executives; Company secretaries; Anyone who are interested in understanding more about the rules in Hong Kong

**Competency\*** Corporate governance

**Rating\*** Intermediate level

\* Please refer to the [Institute's online CPD Learning Resource Centre](#) for descriptions of competency and rating.



## About the programme

### How would Discrimination Laws Affect the Professional Accountants and the Commercial Industry? (SCPD18041601)

#### Course outline

- Illustrate the following with real-life cases
  - What is sexual discrimination? (Cap. 480)
  - What is disability discrimination? (Cap. 487)
  - What is family status discrimination? (Cap. 527)
  - What is race discrimination? (Cap. 602);
- Preventing and dealing with sexual harassment at professional firms/ workplace
- Legal liability of accounting firms and principals
- Real cases sharing (e.g. Tsang Helen 訴 國泰航空、楊忠偉 訴 聖保祿醫院) on sexual harassment and discrimination disputes (e.g. discrimination in pregnancy, staff injuries, employment/ service providing process, staff jokes, ex-employee complaints)

#### Speaker

**Mr. Albert So** *BEng(Hons); LLB(Hons); PCLL(HKU); PGCert(Cambridge); ExeEd(Harvard); MHKIoD; FHKMAAC; FHKI Arb; FRAS; Fellow of International Bar Association*

Practising Solicitor, Accredited Mediator, Accredited Family Mediator, Arbitrator of Hong Kong Mediation and Arbitration Centre, Certified Anti-Money Laundering Specialist, Certified Financial Crime Specialist

Mr. So has over 15 years of professional experience in Hong Kong, China and England legal industries. He had held different in-house legal positions in global financial groups, in-charging of the global legal and compliance team and being responsible for handling various legal, compliance and litigation issues in the Asia Pacific region.

During the time of the global financial crisis, Mr. So had also been one of the investigation team members of regulatory authority, responsible for conducting investigations on suspicious fund movements, Know-Your-Client procedures, handling prosecutions and disciplinary-related professional proceedings.



## Proposed Changes on the Corporate Governance Code and Related Listing Rules (SCPD18041801)

### Course outline

The Stock Exchange of Hong Kong Limited (the Exchange) has reviewed the Corporate Governance Code and related Listing Rules and issued a consultation paper in November 2017 to seek views and comments on proposed changes from the market. The proposed changes aim to address certain corporate governance concerns and to raise the overall standards of corporate governance amongst issuers and directors, having taken into account relevant international practice and recent market developments.

This seminar aims to highlight the major proposed changes on the Corporate Governance Code and related Listing Rules, their potential impact and to share the hot topics and latest trend on corporate governance. Key areas covered include INED, board diversity, nomination policy and dividend policy.

After joining this seminar, participants will learn about:

- The proposed changes on the Corporate Governance Code and related Listing Rules and their potential impact on companies and the market
- The general market trend and best practices around the areas with the proposed changes
- Practical considerations to implement best practice

### Speaker

**Ms. Alva Lee**, Partner, Risk Consulting, KPMG

Ms. Lee has over 18 years of business and professional experience in corporate governance, board advisory, enterprise risk management (ERM), compliance, risk and control advisory experience across different industries.

Ms. Lee has served different types of organizations including Hong Kong and China listed companies, MNCs and NGOs. She has provided various types of risk advisory projects for her clients including but not limited to corporate governance review, internal audit outsourcing, main board listing rules – PN21, ERM framework assessment and implementation, internal control review, internal audit function effectiveness review, etc.

Ms. Lee also has board advisory responsibilities that include advising organizations of all sizes on their board and governance structures, leading corporate governance reviews, conducting board effectiveness reviews and the development and oversight of KPMG's Director Training.



## General Data Protection Regulation's Impact in Asia (SCPD18042501)

### Course outline

How will Hong Kong companies be impacted by the General Data Protection Regulation (GDPR)?

GDPR is a European data protection regulation coming into force in May 2018 which will have an important impact in Asia, across all industries. Indeed, GDPR focuses on protecting the personal data of European Residents and provides for extra-territorial impact outside of Europe. Within that context, Asia companies storing or processing personal data of European Residents will have to comply. Airlines, financial institutions such as private banking or insurance, retail websites, etc. are examples of businesses potentially impacted across all industries.

To comply with GDPR requirements, the operational impacts are manifold: set up an appropriate governance framework, adapt data management processes and reporting, adjust the IT systems accordingly...

The organizations have few months left to be compliant. Is your Hong Kong business in scope of GDPR? What will be the precise impact to your operations? In this seminar, the speakers will discuss this with participants.

After joining this seminar, participants will learn about:

- An overview of GDPR and why it is important even in Asia
- The impacts on Hong Kong companies based on the gaps with Personal Data (Privacy) Ordinance (PDPO)
- How should Hong Kong companies prepare to comply with this regulation: what are the operational and organizational impacts and key recommendations

### Speakers

**Mr. Pierre Folk**, Manager, Financial Services, Sia Partners

Mr. Folk has led many regulatory-driven assignments with strong data implications covering a broad range of financial institutions in both Asia and Europe over the past 10 years. In particular, he participated in developing Sia Partners' proven data management methodologies and is currently co-leading the GDPR efforts in Asia, including fostering a close dialogue with regulators.

**Ms. Justine Laprun**, Manager, Financial Services, Sia Partners

Ms. Laprun has over 7 years of experience in consulting and has assisted clients in major transformation projects, mainly in risk management, group restructuring, and regulatory programmes. In the past 3 years, she has specialized in data management topics such as data quality and data privacy protection, serving major organizations in Hong Kong. She has been organizer and speaker at a GDPR event organized in collaboration with the Hong Kong Chamber of Commerce in October 2017.



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<http://www.hkicpa.org.hk>**

## HKICPA Event Enrolment Form (For Support Programme)

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

Payment & Enrolment Status Enquiry: 2287 7381  
e-mail: [finance@hkicpa.org.hk](mailto:finance@hkicpa.org.hk)  
Fax : 2893 9853

Course Information Enquiry:  
2287 7386 / 2287 7253  
e-mail: [cpd@hkicpa.org.hk](mailto:cpd@hkicpa.org.hk)

**FOR OFFICE USE**

**Deadline: 7 working days before the date of the programme**

No.	Membership		Full Name of Participant(s) (Block Letters)	Company	Email address <sup>(2)</sup> (Block Letters)	Programme Code	Fee (HK\$)
	No.	Status (1)					
1							
2							
3							
						Total (HK\$)	

☐ I am unemployed and not working. I am planning to rejoin the workforce.

The Institute reserves the right to allocate places to enable the enjoyment of more members in this event.

The Institute's decision is final. Applicant must submit the enrolment form 10 working days before the event.

Contact Person : \_\_\_\_\_ Tel No. : \_\_\_\_\_ Fax No. : \_\_\_\_\_ E-mail : \_\_\_\_\_

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

**Payment Method** (Please tick the appropriate box)

<input type="checkbox"/> Cheque (no. _____) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA" <sup>(7)</sup>											
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- Notes:**
- Membership Status: **NP** = Non-Practising, **P** = Practising, **IA** = International Affiliate, **S** = Student, **HKIAAT** = HKIAAT Student or Member, **GAA** = GAA Passport holder, **NM** = Non-Member.
  - Confirmation of enrolment will be sent to you via email. You can check your enrolment status at "MyCPA" at [www.hkicpa.org.hk](http://www.hkicpa.org.hk). Unsuccessful enrolment will be notified with full refund.
  - NO ADMISSION TICKET will be issued. Please bring your HKICPA membership card or confirmation email for admission purpose.
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  - Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly not accepted. Please ensure all the particulars relating to payment are completed, otherwise the application cannot be processed. There is NO need to send in the enrolment form again if it has already been faxed to the Institute.
  - For credit card payment, the card should be valid with expiry date at least 1 month from the date of event.
  - Please issue SEPARATE CHEQUE for each event.
  - In normal circumstances, the event fee is non-refundable or non-transferrable upon receipt of payment by HKICPA. Should the event 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.
  - All scheduled events will be cancelled and postponed to a date to be announced in the event of typhoon signal no. 8 or above or if a Black Rainstorm warning is hoisted. For details of bad weather arrangement for CPD programmes, please refer to the Institute's homepage.
  - The Institute reserves the right to change the venue, date, speaker or to cancel the event due to unforeseen circumstances.
  - No unauthorized audio or video recording is allowed at CPD events.

**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

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