



## Compliance Series (June 2018)



HKICPA continues to run 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 businesses.

Topic/ Programme code	Date and time	Language	CPD hours
Legal Principles under Competition Ordinance (Cap. 619) (SCPD18062001)	Wednesday, 20 June 2018 6:30 p.m. – 9:30 p.m.	Cantonese	3

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

**Format** Seminar

**Fee** HKICPA member or student: HK\$430 (online enrolment: HK\$420)  
IA/ HKIAAT member or student: HK\$430  
Non-member: HK\$700

**Speaker** **Mr. Albert So**  
Practising Solicitor, Certified Anti-Money Laundering Specialist, Certified Financial Crime Specialist

**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



## About the programme

### Legal Principles under Competition Ordinance (Cap. 619) (SCPD18062001)

#### Course outline

- Background and overview of Competition Ordinance
- Concept of *1st Conduct Rule*: "Prevent Anti-Competitive Agreement in the course of business operations"
- Concept of *2nd Conduct Rule*: "Prevent abuse of Market Power in the industry"
- Concept of "*Merger Rule*"
- How to apply for exemptions under the ordinance
- Investigation and enforcement by the Competition Commission
- Remedies for non-compliance
- Legal impacts with case studies
  - Legal implications for business owners, firms and employees
  - "Dos and Don'ts" in the course of daily operations
  - Legal case studies and discussions

#### Speaker

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

Mr. So is also a 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 has held different in-house legal positions in global financial groups, in charge 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 was also 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.



**To confirm your CPD booking,  
just log on to "My CPA" at  
<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 7230  
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>											
<input type="checkbox"/> BOC HKICPA VISA <input type="checkbox"/> BOC HKICPA UnionPay card <input type="checkbox"/> Other VISA / MasterCard											
Card Number:										Card Expiry Date (MM/YY):	
Cardholder's Name (block letters):						Cardholder's Signature:				Date:	
<i>Payment receipt will be sent to your email address provided above once the payment is confirmed.</i>											

- 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.
  - All applications are on a first-come-first-served basis.
  - 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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