



## Corporate Finance Series - Part 1

(October to November 2018)



Every choice a corporation makes has financial implications. Thus, every business decision fits under the general scope of corporate finance.

HKICPA's Corporate Finance Series of workshops is designed to facilitate a strategic understanding of a wide range of corporate finance topics and key financial decisions faced by organisations, the applications and practical issues in corporate financial management in the fast-changing capital market and their implications to accountants.

Topic/ Programme code	Date and time	Speakers
Option Strategies (WSHP18100601)	Saturday, 6 October 2018 9:30 p.m. – 12:30 p.m.	<b>Mr. M. K. Lai, PhD, CFA</b> Principal Consultant, Executive Training and Management Consultancy Company Limited
Continuing Obligations of Companies in Hong Kong and Disclosure of Inside Information (WSHP18101801)	Thursday, 18 October 2018 7:00 p.m. – 10:00 p.m.	<b>Mr. Ip Pui Sum</b> Associate Member, ICAS; Ordinary Member, HKICS  <b>Mr. Kenneth Tse</b> Business Consultant
FinTech Market Landscape and Robo Advisor Analysis (WSHP18112801)	Wednesday 28 November 2018 7:00 p.m. – 10:00 p.m.	<b>Mr. Byron Wong</b> Head of Robo-Advisory, Yunfeng Financial Group

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

**Format** Workshop

**Language** Cantonese

**Fee (For each)** HKICPA member or student: HK\$750 (online enrolment: HK\$740)  
IA/ HKIAAT member or student: HK\$750  
Non-member: HK\$1,500

**Participants** CFOs; Accountants; Auditors; Bank officers; Credit analysts; Equity analysts; Bond analysts; Company secretaries; Financial advisers; Compliance officers; Finance professionals

**Competency\*** Corporate finance; Corporate governance; Industry knowledge

**Rating\*** Intermediate to advanced level

**CPD hours (For each)** 3

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



## About the programme

### Option Strategies (WSHP18100601)

This workshop aims to provide participants with the knowledge in understanding option strategies. It will focus on the fundamental concepts in option strategies, which include "capital-protected" investment, extraction of cash, directional trading strategies, volatility trading strategies, hedging and arbitrage.

After joining this workshop, participants will learn:

- The fundamental concepts in option strategies
- How to use options to create "capital-protected" investments
- How to use options for cash extraction
- Directional trading strategies of options
- How to hedge with options
- How to carry out an arbitrage strategy with options

### Continuing Obligations of Companies in Hong Kong and Disclosure of Inside Information (WSHP18101801)

This workshop is specially designed for accounting and management professionals who are responsible for compliance work in Hong Kong. It will cover practical tips in the areas of continuing obligations of companies in Hong Kong and disclosure of inside information for companies listed in Hong Kong.

Topics include:

- Continuing obligations for companies in Hong Kong under:
  - Hong Kong Companies Ordinance
  - The rules governing the listing of securities on The Stock Exchange of Hong Kong Limited
- Practical guidance and tips for the above including timetable, forms and sample documents
- Disclosure of inside information by listed companies in Hong Kong under Part XIVA of the Securities and Futures Ordinance, including:
  - Examples of inside information
  - Procedures in handling inside information disclosure

After joining this workshop, participants will:

- Understand the key requirements of continuing obligations for companies in Hong Kong and gain relevant practical guidance and tips on this subject
- Have a clearer picture about the statutory requirements for disclosure of inside information and get ready to establish appropriate internal control procedures to handle inside information disclosure



### FinTech Market Landscape and Robo Advisor Analysis (WSHP18112801)

FinTech is an emerging industry in which information technology and finance are integrated. The rapid development of science and technology has changed the traditional financial service model substantially from both supply and demand perspectives. With the growing diversity of investment products, asset allocation has gradually become popular.

Some FinTech companies have started to provide investment consulting services, and have gradually involved in automated and intelligent investment product recommendation and management, which have evolved into currently pop Robo Advisor. An in-depth understanding of FinTech and Robo Advisor will help you broaden your horizons, increase your understanding of the financial investment, and grasp the direction of personal development.

Topics include:

- FinTech market landscape
- Business model of wealth management
- Traditional Advisor vs Robo Advisor
- Comparative advantages of different Robo Advisor platforms
- Future development space of Robo Advisor
- Robo Advisor 2.0
- Real life application of Robo Advisors

After joining this workshop, participants will gain knowledge about:

- FinTech landscape and the impact on traditional financial services industries
- Different business models of wealth management
- Development of Robo Advisor
- Connection and difference between traditional advisor and Robo Advisor
- Comparative advantages of different Robo Advisor platforms
- Robo Advisor 1.0 & 2.0
- Application scenarios and development trends of Robo Advisor



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

## About the speakers

**Mr. M. K. Lai**, *PhD, CFA*, Principal Consultant, Executive Training and Management Consultancy Company Limited

Mr. Lai provides professional consulting services and quality training programmes to different financial institutions, business firms, professional bodies and academic organizations. He obtained a doctorate in finance at London Business School. He is a CFA charterholder. He has published a number of professional books and articles.

**Mr. Ip Pui Sum**, Associate Member, ICAS; Ordinary Member, HKICS

Mr. Ip is a service provider of company secretarial services for a number of companies with its shares listed in Hong Kong.

By acting as the company secretary of these listed companies, Mr. Ip is familiar with the compliance requirements of the listing rules in Hong Kong. As he also renders company secretarial services to small to medium-sized companies in Hong Kong, he got practical experience in fulfilling the obligations and requirements under the Hong Kong Companies Ordinance.

**Mr. Kenneth Tse**, Business Consultant

Mr. Tse has practical experience in compliance services for company secretarial matters.

**Mr. Byron Wong**, Head of Robo-Advisory, Yunfeng Financial Group

Mr. Wong is one of the Type 1, 4, 9 Responsible Officers (ROs) of the Group's licensed subsidiaries. Prior to joining Yunfeng, Byron has been with Goldman Sachs for more than 10 years and was an Executive Director. His clients included some of the most influential ultra high net-worth families in Hong Kong. Before his relocation to Asia, he was a Buy-Side Quantitative Strategist at Goldman Sachs New York, responsible for building from 0 to 1 the mathematical and technological engine of the global asset allocation system.

In addition to technical understanding in investing and models, Mr. Wong also possesses a charismatic, client-facing personality which enables him to be an unbiased advisor to his clients. He graduated with First-Class Honors from the University of Edinburgh, majoring in Artificial Intelligence. He was also a Visiting Scholar of the University of Pennsylvania during his university year, and a medalist of Hong Kong Olympiad in Informatics. Mr. Wong is a Chartered Financial Analyst holder.



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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 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							
<b>Total (HK\$)</b>							

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)

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.
  - 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.
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  - 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.

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