



## Audit of Licensed Corporations

Programme Code: WSHP18111203

This workshop will provide an introduction to audits of licensed corporations which are regulated by the Hong Kong Securities and Futures Commission. Topics include:

- Overview of the Hong Kong Securities and Futures Ordinance requirements
- Highlights of HKICPA Practice Note 820 (Revised) "The Audit of Licensed Corporations and Associated Entities of Intermediaries"
- Application of Securities and Futures (Financial Resources) Rules (FRR) for the preparation of financial returns
- Sharing of key future developments in rules and regulations

After joining this workshop, participants will gain knowledge about:

- Audit considerations for licensed corporations
- Auditor's responsibilities under the Hong Kong Securities and Futures Ordinance
- Common pitfalls in applying FRR
- Key future developments in rules and regulations

**Date** **Monday, 12 November 2018**

**Time** **6:30 p.m. – 9:30 p.m.**

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

**Format** Workshop

**Language** Cantonese

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

**Speaker** **Ms. Simmy Ko**, Partner, Financial Services, KPMG

Ms. Ko has over 15 years of experience in providing assurance and business advisory services to securities and asset management clients. She is a member of the Securities Regulatory Advisory Panel in the HKICPA.

**Mr. Derrick Chiu**, Senior Manager, Financial Services, KPMG

Mr. Chiu has over 10 years of experience in providing assurance and advisory services to brokerage firms and asset managers. He is experienced in the audits of licensed corporations and has conducted training courses in this area.

**Participants** Professional accountants of licensed corporations

**Competency\*** Auditing and assurance

**Rating\*** Foundation

**CPD hours** 3

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



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

- 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.

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