



# Corporate fraud enforcement work and lessons learnt

Event code: SCPD19112802

## About the topic

We have invited Mr. Kenneth Luk, Senior Director, Enforcement at the Securities and Futures Commission (SFC), to be our speaker again this year. He will share his practical experience in carrying out his corporate fraud enforcement work.

His presentation will cover the following:

- SFC's latest strategic review of its enforcement division, its enforcement priorities and strategy
- SFC's latest cases involving corporate fraud and misconduct
- Lessons that directors and officers can learn from these cases on how to mitigate risks

## About the programme

<b>Date &amp; Time</b>	28 November 2019, Thursday 1:00 – 2:00 pm
<b>Venue</b>	HKICPA training centre, 27th Floor, Wu Chung House, 213 Queen's Road East, Wanchai
<b>Fee</b>	HK\$230 per person for RIF/ ForensIG/ CFIG and FSIG members; HK\$330 per person for non-RIF/ non-ForensIG/ non-CFIG/ non-FSIG members  <i>Priority is given to RIF and ForensIG members</i>
<b>CPD credit</b>	1 hour (subject to actual attendance)
<b>Law Society CPD credit</b>	Being applied for
<b>Language</b>	English
<b>Competency</b>	Insolvency *
<b>Rating</b>	Intermediate/Advanced level*
<b>Application Deadline</b>	<b>25 November 2019</b>

### Rundown

<b>12:30 pm</b>	Registration (Sandwiches and drinks provided)
<b>1:00 pm</b>	Introduction
<b>1:05 pm</b>	Presentation
<b>1:50 pm</b>	Q&A / Discussion
<b>2:00 pm</b>	Closing

### Speaker

**Kenneth Luk**  
Senior Director, Enforcement,  
Securities and Futures Commission

### Chair

**Glen Ho**  
Member, RIF Executive Committee;  
and Financial Advisory Functional  
Leader, Southern Region, Deloitte  
China

\* Please refer [here](#) for descriptions of the various ratings and competencies.



## About the speaker

### Kenneth Luk

Senior Director, Enforcement, Securities and Futures Commission

Mr. Kenneth Luk is a Senior Director of the Enforcement Division of the Securities and Futures Commission. He joined the SFC in 1988 and has over 20 years of experience in securities regulation and enforcement. He currently heads a team of investigators specialising in corporate fraud and misconduct investigations.

## Registration

### By post or fax:

Complete the attached reply slip and return it to the Institute by **25 November 2019**, together with full payment. Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA". Fax registration will be accepted for payment by any VISA/ Master card or the BOC HKICPA UnionPay card.

**You may consider your registration to be successful unless you receive notification from us to the contrary.**

**Event Code: SCPD19112802**

## RIF seminar - Corporate fraud enforcement work and lessons learnt

**Finance & Operations Department  
Hong Kong Institute of CPAs  
37th Floor, Wu Chung House  
213 Queen's Road East  
Wanchai, Hong Kong  
Fax no: 2893 9853**

# 28 November 2019

*(Reply on or before 25 November 2019)*

**FOR OFFICE USE**

Seq. no.: .....

Handled by: .....

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.

**Please type or print:-**

Name: (\*Mr./ Mrs. /Ms.) Institute membership no.:

Company name:

Position held: \_\_\_\_\_ Email: \_\_\_\_\_

Telephone no.: \_\_\_\_\_ Fax no.: \_\_\_\_\_

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

**You may use a separate sheet to list out the name, position and Institute membership no. (if applicable) of additional participant(s) from the same firm/company as the above applicant.**

**Please “✓” as appropriate**

**Admission Fee:** ☐ RIF/ ForensIG/ CFIG/ FSIG members: HK\$230 per person x \_\_\_\_\_ person(s) = HKD \_\_\_\_\_  
☐ Non-RIF/ non-ForensIG/ non-CFIG/ non-FSIG members: HK\$330 per person x \_\_\_\_\_ person(s) = HKD \_\_\_\_\_

**Payment by:** ☐ Cheque (no. \_\_\_\_\_) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA"  
☐ BOC HKICPA Visa ☐ BOC HKICPA UnionPay card ☐ Other VISA / Master card

Card Number:																	Card Expiry Date (MM/YY):				
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Cardholder's Name (block letters):	Cardholder's Signature:	Date:
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*Payment receipt will be sent to your email address provided above once the payment is confirmed.*

**Notes:**

1. Enrolments are accepted on a first-come-first-served basis. Telephone reservations will not be accepted.
2. Full payment must be made before applications will be processed. Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly NOT accepted.
3. The closing date for enrolment is 25 November 2019.
4. 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)
5. 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.
6. For credit card payment, the card should be valid with expiry date at least 1 month from the date of event.
7. Bad weather arrangement: The seminar will be cancelled if typhoon signal no. 8 or above / black rainstorm warning is hoisted, as announced by the Hong Kong Observatory, at or after 10 a.m. on the date of the event. In the event of cancellation due to bad weather, the admission fee will be refunded.
8. 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 <http://mas.hkicpa.org.hk/mycpa/communication/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](mailto: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/>.

**Payment & Enrolment Status Enquiry: 2287 7381**

e-mail: [finance@hkicpa.org.hk](mailto:finance@hkicpa.org.hk)

**Event Information Enquiry: 2287 7065**

e-mail: [stonetse@hkcipa.org.hk](mailto:stonetse@hkcipa.org.hk)

For non-member and firm payment by cheque, please fill-in your postal address for refund.

Name :	Name :
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Address :	Address :
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