

Jointly presented by MBIG & FSIG

Cocktail Reception:

Regulatory investigation of and enforcement against listed companies and their officers between Mainland China and Hong Kong – Principles and case studies

(Programme code: CKTL24071001)



Join us for an informative and engaging cocktail reception!

At this event, we are honoured to have **Mr. Jimmy Chan**, formerly Director of Enforcement and Head of International and Policy of Securities and Futures Commission (SFC) and currently Partner and Head of Financial Regulation, Jingtian & Gongcheng, as our guest speaker.

With over 20 years of experience in handling securities regulatory investigations, Mr. Chan will share his valuable insights on a wide range of topics including:

- ❖ Brief overview of HKEX's enforcement proceedings
- ❖ Recent trends in SFC enforcement
- ❖ Actions taken against listed companies and directors
- ❖ Types of enforcement proceedings and sanctions
- ❖ Strategies for dealing with SFC investigations
- ❖ Issues around secrecy obligations
- ❖ Handling cross-border investigations (e.g. Mainland-Hong Kong, US-Hong Kong)

Registration

Enrolment Deadline

7 July 2024

Registration

Enrol online or complete the enrolment form and return it with full payment by the enrolment deadline. Enrolment will be accepted on a first-come-first-served basis.

About the Event

Speaker

Mr. Jimmy Chan

Partner and Head of Financial Regulation
Jingtian & Gongcheng LLP

Date & Time

Wednesday, 10 July 2024

6:30 p.m. – 7:00 p.m. Cocktail

7:00 p.m. – 8:30 p.m. Talk

Venue

Hong Kong Institute of CPAs

27th Floor, Wu Chung House,
213 Queen's Road East, Wan Chai, Hong Kong

Language

Cantonese

Fee

\$240 (HKICPA member or student or IA)
\$410 (non-member)

CPD hour

1.5 hours

Competency*

Corporate Governance

Sub-competency*

Compliance with legal & regulatory requirements and CG best practices

Rating*

Foundation level

* Details of [Competency and Rating](#) information

About the Speaker



Mr. Jimmy Chan
Partner and Head of Financial Regulation
Jingtian & Gongcheng LLP

Mr. Chan is former Director of Enforcement and Head of International and Policy of Securities and Futures Commission (SFC) and currently Partner and Head of Financial Regulation of Jingtian & Gongcheng LLP. He is also a Council Member of the Law Society of Hong Kong.

Mr. Chan spent 14 years with the SFC (2003-2017) and served as a Director and Head of International and Policy of the Enforcement Division. He has twice been awarded the Outstanding Individual Award by the SFC for his efforts on the Lehman Brothers Minibond investigation/resolution and the securities and futures appellate work respectively.

Mr. Chan has substantial experience in cross-border financial investigations and SFC disciplinary proceedings involving financial intermediaries (banks, brokerage firms and sponsors). Since returning to private practice in 2018, he has been representing numerous listed companies, financial institutions and their senior management in financial regulatory investigations by the SFC and the HKEX.

Mr. Chan studied law at the University of Hong Kong and obtained further law degrees from University College London (British Chevening Scholarship), Harvard Law School (Harvard University-HKJC Graduate Scholarship) and Peking University. He is qualified as a solicitor in Hong Kong SAR, a lawyer in Greater Bay Area PRC, a solicitor in England and Wales (non-practising) and an attorney-at-law in the State of New York. He is also a China-Appointed Attesting Officer.



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Event Code: CKTL24071001

**Finance & Operations Department,
 Hong Kong Institute of CPAs**

37th Floor, Wu Chung House,
 213 Queen's Road East, Hong Kong

10 July 2024
 Enrolment deadlines: 7 July 2024

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Notes:

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7. The Institute reserves the right to change the venue, date, speaker, or to cancel the event due to unforeseen circumstances.
8. No unauthorized audio or video recording is allowed for the seminar.

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