

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

12:00 noon, 9 July 2024 (online) / 7 July 2024 (offline)

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: 12:00 noon, 9 July 2024 (online) / 7 July 2024 (offline)

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Admission Fee: HKICPA Member: \$240 non-HKICPA Member: \$410

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Notes:

1. Enrolment for the activity is accepted on a first-come-first served basis.
2. Full payment must be made before your enrolment will be processed. No telephone reservation will be accepted.
3. Application by email will ONLY be accepted when payment is made by credit card. Cash is strictly not accepted.
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5. In normal circumstance, the admission fee is non-refundable or non-transferrable upon receipt of payment by HKICPA. Should the event be cancelled or postponed due to unforeseen circumstance, 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. Bad weather arrangement: When the typhoon signal no. 8 or above / black rainstorm warning is hoisted, as announced by the Hong Kong Observatory, at or after 6:30 a.m. on the date of event, the event will be cancelled.
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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For non-member and firm payment by cheque, please fill in your postal address for refund in case the event is full or cancelled.

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