



Joint RIF-ForensIG seminar:

SFC's latest approach and update on corporate investigations

Event code: SCDP24090601

About the topic

The Securities and Futures Commission (SFC) has initiated a number of prosecutions and trading suspensions in 2024. These cases, including some high-profile cases, covered a variety of market misconduct activities, e.g., insider dealing and market manipulation, such as “ramp-and-dump”.

The Institute is pleased to invite Mr. Kenneth Luk and Ms. Denise Yip, senior director and associate director respectively of the SFC, to share their recent experience in carrying out corporate fraud enforcement work. Their presentations will cover the following:

- Latest trends in corporate fraud and corporate misconduct
- SFC's current strategies on corporate investigations
- Sharing of cases heard in Court or Market Misconduct Tribunal

About the programme

Date & Time **Friday, 20 September 2024** (*rescheduled from 6 September 2024, Friday, 1:00 p.m. – 2:00 p.m.*)
1:00 p.m. – 2:00 p.m.

Venue HKICPA training centre,
 27th Floor, Wu Chung House,
 213 Queen's Road East, Wanchai

Fee

- RIF/ ForensIG member/ ACFE member: HK\$300
- HKICPA member: HK\$400
- Non-member: HK\$470

Click [here](#) to join RIF. If you are a non-member of the Institute, please register as a new web member first before completing an online registration as an RIF member.

CPD credit 1 hour (subject to actual attendance)

Law Society CPD credit Being applied for

Language English

Competency Industry Knowledge and Insolvency*

Rating Intermediate level*

Application Deadline **18 September 2024**
 (offline enrolment by 17 September 2024)

Rundown

12:30 pm Registration (Note)
1:00 pm Introduction
1:05 pm Presentation
1:50 pm Q&A / Discussion
2:00 pm Closing

Note: Refreshments will be provided at the seminar

Speaker

Kenneth Luk
 Senior Director
 Enforcement
 Securities and Futures Commission

Denise Yip
 Associate Director
 Enforcement
 Securities and Futures Commission

Chair

Annie Chan
 Member, RIF Executive Committee
 and Managing Director, Annie Chan &
 Associates Limited

* 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 SFC. He joined the SFC in 1998 and has 26 years of experience in securities regulation and enforcement. He currently heads a team of investigators specializing in corporate fraud and misconduct investigations.

Denise Yip

Associate Director, Enforcement, Securities and Futures Commission

Ms. Denise Yip is an associate director of the Enforcement Division of the SFC. She joined the SFC in 2008 and currently specializes in corporate fraud and misconduct investigations.

Registration

- **Online enrolment by 18 September 2024; offline enrolment by post or e-mail by 17 September.**

Complete the enrolment form and return it to the Institute by 17 September 2024 together with full payment. Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA". E-mail 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.

- **Contact Ms. Zita Cheung at 2287-7057 for enquiry.**

Remarks

- Participants should maintain good personal hygiene and pay attention to their health condition. If you have any respiratory symptoms, please avoid attending this event and consult a doctor.

Disclaimer

- The opinions expressed by external guest speakers are, by their nature, those of the speaker. They are not necessarily endorsed by the Institute or reflect the official policies and views of the Institute or its members.
- The Institute does not endorse or recommend any products or services and is not responsible for any loss or damage arising from using such products or services.
- Participants are reminded that there is a wide range of products or services available in the market. Participants should carry out their own research and obtain independent advice before subscribing any products or services.
- The Institute also takes no responsibility for any loss associated to any person acting or refraining from acting as a result of participation in the event.