



Workshop: Audit of Licensed Corporations and Associated Entities of Intermediaries

COURSE HIGHLIGHTS:

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

- Overview of the Securities and Futures Ordinance requirements
- Highlights and reminders on HKICPA Practice Note 820 (Revised) "*The Audit of Licensed Corporations and Associated Entities of Intermediaries*"
- Latest Securities and Futures (Financial Resources) Rules (FRR) for the preparation of financial returns
- Sharing of latest developments in rules and regulations relevant to audit

After joining this workshop, participants will gain knowledge about

- Audit considerations for licensed corporations
- Auditor's responsibilities under the Securities and Futures Ordinance
- Common pitfalls in applying FRR
- Latest developments in rules and regulations relevant to audit

This workshop encourages interactive-learning. A Q&A session will be included during the seminar providing opportunities for participants to explore the topics in more detail and ask questions.

Date and Programme code	Venue	Language	CPD hour
14 November 2024 6:30 pm – 8:30 pm (WSHP24111401)	Hong Kong Institute of CPAs 27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong	Cantonese with English slides and terminology	2 CPD hours

Fee	HKICPA member or student / International Affiliate (IA): Non-member:	HK\$675 HK\$1,015
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Competency Industry Knowledge

Rating Foundation Level*

Participants Auditors, professional accountants of licensed corporations

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



ABOUT THE SPEAKERS:

Mr. Kenny Chu
Senior Manager, Financial Services, PwC

Mr. Chu has over 11 years of experience in assurance, specializing in the banking and capital market industry. He has extensive experience in providing audit services to listed financial institutions and SFC licensed corporations. He possesses in-depth knowledge in finance and operations, internal controls, regulatory compliance and financial reporting. He is a certified public accountant with the Hong Kong Institute of Certified Public Accountants.

Mr. Thomson Ng
Senior Manager, Financial Services, PwC

Mr. Ng specializes in the asset management sector with over 11 years of professional experience working in China and Hong Kong. He has extensive experience on audit and advisory services, including providing advice to clients on regulatory and compliance matters. His client base includes international and Chinese based SFC licensed corporations, listed financial institutions, SFC authorized funds, private equity funds and real estate funds. He is a certified public accountant with the Hong Kong Institute of Certified Public Accountants.

ABOUT THE REGISTRATION:

- Enrolment Deadline: Online/offline registration by **7 November 2024**
- Online registration is recommended, please [click](#) or visit www.hkicpa.org.hk
- To register offline (by post only), please complete the enclosed enrolment form and return it with full payment to the Institute.
- Enrolments will be accepted on a first-come-first-served basis with priority given to the Institute's members.

Payment & Enrolment Status Enquiry:

Phone: 2287 7381

e-mail: enrolment@hkicpa.org.hk

Course Information Enquiry:

Phone: 2287 7067

e-mail: tls@hkicpa.org.hk

Disclaimer:

- *The opinions expressed by external guest speakers are, by their nature, those of the speakers. They are not necessarily endorsed by the Institute nor do they necessarily reflect the official policies and views of the Institute, its staff or members.*
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Finance & Operations Department,
Hong Kong Institute of CPAs,
37/F, Wu Chung House, 213 Queen's Road East, Hong Kong

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Event Name	Fee: [HK\$675 for HKICPA member or student and International Affiliate(IA) /HK\$1,015 for non-member]	
Workshop: Audit of Licensed Corporations and Associated Entities of Intermediaries- (WSHP24111401)	Event date: 14 November 2024	HK\$
Total: HKD _____ X _____ =		HK\$

* Email address is for enrolment confirmation purpose. Please refer to note (2) for details.

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Notes:

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- Upon successful enrolment, the webinar URL and login password will be provided closer to the event date. You can check your enrolment status at "MyCPA" at www.hkicpa.org.hk. Unsuccessful enrolment will be notified with full refund. In order not to delay the process, please ensure payment is made together with your application. If you do not receive any confirmation email from the Institute, please contact 2287 7067.
- 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.
- Your login ID and password are for your exclusive use ONLY and you should not share them with anyone.
- No unauthorized audio or video recording and/or downloading is allowed for the online courses.

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