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## Live webinar: Industry Update Relating to Licensed Corporations

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### **COURSE HIGHLIGHTS:**

#### ***Securities and Futures Commission (“SFC”):***

- SFC regulatory regime for virtual asset trading platform operators and other virtual asset service providers – Under the Securities and Futures Ordinance (Cap. 571) (“SFO”) and the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615) (“AMLO”), centralized virtual asset trading platforms carrying on their businesses in Hong Kong, or actively marketing their services to Hong Kong investors, are required to be licensed and regulated by the SFC. Further, in June 2025, the Financial Services and the Treasury Bureau and the SFC jointly proposed to regulate virtual asset dealers and custodians. The proposals will empower the SFC to license and supervise virtual asset dealers and custodians, as well as enforce relevant regulations. This seminar will cover the regulatory framework for centralized virtual asset trading platforms and the proposed regulatory frameworks for virtual asset dealers and custodians.
- Updates on FRR requirements for OTCD products – The SFC launched a public consultation in July 2025 on draft amendments to the Securities and Futures (Financial Resources) Rules and related guidelines for implementing a set of internationally comparable capital requirements for licensed corporations (“LCs”) engaging in over-the-counter derivative activities (“OTCD capital requirements”). This seminar will provide an overview of the OTCD capital requirements.

**A Q&A session will be included at the end of the webinar providing opportunities for participants to explore the topics in more detail and ask questions.**

### **ABOUT THE EVENT:**

<b>Date and Programme code</b>	<b>Format</b>	<b>Language</b>	<b>CPD hour</b>
<b>12 November 2025</b> <b>7:00 pm – 8:00 pm</b> (EWEB25111203)	Live webinar	Cantonese with English slides and terminology	1 CPD hour (subject to actual attendance)



<b>Fee</b>	HKICPA member or student / International Affiliate (IA): Non-member:	HK\$270 HK\$490
<b>Competency</b>	Industry Knowledge	
<b>Rating</b>	Intermediate Level*	
<b>Participants</b>	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:**

### **Ms. Emma Tong** **Associate Director, Intermediaries, SFC**

As an Associate Director, Intermediaries of the SFC, Emma supervises and handles, among others, digital asset-related licensing applications and policy matters.

### **Mr. Anson Chan** **Senior Manager, Intermediaries, SFC**

Anson has more than 19 years of experience in the banking and securities industry. During his time with the SFC, Anson has been heavily involved in the formulation of capital standards for LCs carrying out over-the-counter derivative activities, particularly those related to counterparty credit risks. He worked at Big Four accounting firms and top-tier global investment banks before joining the SFC.

Anson is a fellow member of the Hong Kong Institute of Certified Public Accountants, an Australian practising lawyer, and holds a Financial Risk Manager certificate issued by the Global Association of Risk Professionals. He obtained a bachelor's degree in engineering from the Hong Kong University of Science and Technology and a Juris Doctor degree from the Chinese University of Hong Kong.

### **Mr. Clement Gu** **Senior Manager, Intermediaries, SFC**

Clement has more than 15 years of risk and modelling experiences in the banking industry. At SFC, he specialises in drafting regulatory standards for using model approaches and reviewing model related applications. Before joining the SFC, Clement was a senior manager in a global bank responsible for model development and model applications for market risk and counterparty credit risk capital calculations.

Clement holds a Financial Risk Manager certificate issued by the Global Association of Risk Professionals. He has a PhD degree in financial mathematics from the University of Manchester.



**Ms. Connie Lau**  
**Manager, Intermediaries, SFC**

Connie has played a key role in formulating capital standards for LCs carrying out over-the-counter derivative activities, particularly those related to market risks. She worked in the financial audit and internal audit sectors before joining the SFC.

**ABOUT THE REGISTRATION:**

- Online/offline registration by **5 November 2025**
- Online registration is recommended, please click [here](#) or visit [www.hkicpa.org.hk](http://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.

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