



# Regulatory and Compliance Series for Listed Issuers

(April to May 2026)



**LIVE WEBINAR**

In today’s dynamic regulatory landscape, listed issuers in Hong Kong face increasing regulatory scrutiny from the Hong Kong Stock Exchange and regulatory authorities, making it imperative for listed issuers to stay informed about their compliance obligations.

The Regulatory and Compliance Series for Listed Issuers is designed to provide directors and compliance officers of listed issuers and other participants who have to deal with regulatory and compliance issues of listed issuers with an overall view of major regulatory issues that listed issuers in Hong Kong will face post-listing. The Series will cover major compliance topics and legal and regulatory updates on major and proposed changes to Hong Kong Listing Rules during the relevant periods. Cases and relevant court judgments will be discussed as part of the training materials.

Topic/ Programme code	Date and time	Speaker
Disclosure of Inside Information and Continuing Disclosure Obligations Part 1: Disclosure of Inside Information (EWEB26041401)	<del>Tuesday, 14 April 2026</del> 7:00 p.m. – 9:30 p.m. <b>Wednesday, 20 May 2026</b>	<b>Mr. P.H. Chik</b> Former partner of Baker McKenzie, Beijing office and Linklaters, Beijing office
Disclosure of Inside Information and Continuing Disclosure Obligations Part 2: Continuing Disclosure Obligations (EWEB26041602)	<del>Thursday, 16 April 2026</del> <b>Wednesday, 27 May 2026</b> 7:00 p.m. – 9:30 p.m.	
Disclosure of Interests (DI) in Shares (EWEB26042401)	<del>Friday, 24 April 2026</del> 7:00 p.m. – 9:30 p.m. <b>Wednesday, 3 June 2026</b>	
Legal and Regulatory Updates 2026 (1) (EWEB26050601)	<del>Wednesday, 6 May 2026</del> 7:00 p.m. – 9:00 p.m. <b>Wednesday, 10 June 2026</b>	



<b>Format</b>	Webinar
<b>Language</b>	Cantonese
<b>Fee</b> <b>(For each session)</b>	HKICPA member or student or IA: HK\$160 Non-member: HK\$360 <i>(An email will be sent to you when your registration is accepted. You can access the webinar by tablet, smart phone or PC.)</i>
<b>Participants</b>	Accountants; Corporate finance professionals; Financial advisers; Investor relations professional; Compliance officers; Company secretaries
<b>Competency*</b>	Corporate and strategic finance; Corporate governance
<b>Sub-competency*</b>	Understanding of capital market and financial instruments/ hedging products; Compliance with legal and regulatory requirements and corporate governance best practices
<b>Rating*</b>	Intermediate level
<b>CPD hours</b> <b>(for each session)</b>	2-2.5

\* Please refer to the [competencies and ratings for CPD events](#).

## About the programme

### Disclosure of Inside Information and Continuing Disclosure Obligations

This webinar will combine disclosure of inside information and continuing disclosure obligations of listed issuers in one 5-hour session (to be delivered in two evenings in April 2026). In this combined session, the meanings of “inside information” and “false market” as well as the practices relating to disclosure of inside information and information to avoid a false market will be explained. Good practices on handling of inside information and a sample disclosure policy will also be discussed. As usual, case discussions will also be included. **Please note that this is a 5-hour session divided into two consecutive sub-sessions of 2.5 hours each. It is strongly recommended that you make yourself available for the entire combined session. However, you may just join any one of the sub-sessions as each of them is self-contained.**

Topics include:

#### Part 1: Disclosure of Inside Information (EWEB26041401)

- Introduction – disclosure principles
- Disclosure of inside information – principal laws, regulations and guidelines
- What is ‘inside information’?
- Materiality test – the case of Mayer Holdings
- Duty to disclose
- Safe harbours
- Specific disclosures (rumours, analyst reports)
- Sanctions and compensation
- Inside information disclosure vs insider trading

#### Part 2: Continuing Disclosure Obligations (EWEB26041602)

- Good practices for handling inside information
- Disclosure obligations under the LR
- Trading halt or suspension
- Fales market and trading halt
- Voluntary announcements
- Annual Report Explorer – disclosure repository
- Disclosure policy



### Disclosure of Interests (DI) in Shares (EWEB26042401)

In this **2.5-hour** webinar, the meanings of “interests in shares” and the basic principles for calculating and notifying interests in shares will be introduced. The differences in the disclosure and notification requirements between a “substantial shareholder” and a “director/CEO” will be analyzed and explained. Specific disclosure issues, such as spousal interests, controlled corporation etc. and, if time allows, some DI cases, such as sale and purchase of shares etc. will also be covered. The purpose of this webinar is to explain to you the basic principles in disclosure of interests in shares (DI) so that you will be able to handle DI reporting with greater confidence. Topics include:

- Substantial shareholder vs director / CEO – difference in their disclosure obligations
- Basic principles for calculating and notifying interests in shares
- Meaning of “interests in shares”
- How is a disclosure obligation incurred?
- Notifications and reporting
- Specific players and interests
- Specific disclosure issues
- DI reporting cases

### Legal and Regulatory Updates 2026 (1) (EWEB26050601)

This webinar will cover selected legal and regulatory updates for the six-month period from December 2025 to May 2026. Topics include:

- SFC’s guidance, circulars and enforcement actions
- HKEx’s market consultations and conclusions, changes to the Listing Rules and practices, disciplinary cases and relevant market transactions
- Court judgments and AFRC’s decisions relevant to corporate finance / accounting practices

### About the speaker

#### Mr. P.H. Chik

Former partner of Baker McKenzie, Beijing office and Linklaters, Beijing office

Mr. Chik is a former partner of several international law firms before his retirement in 2018. He has extensive experience in IPO and post-listing compliance work. After his retirement, he worked as an adjunct professor of the Department of Accountancy of City University of Hong Kong. From July 2021 to January 2023, he worked as a part-time consultant with the Hong Kong office of a US firm, providing training and advice on Hong Kong corporate governance and securities rules.



## CPD EVENT ENROLMENT FORM

*(The enrolment form must reach the Institute no later than 2 working days before the start of the event.)*

Please send the complete form **by e-mail** or **by post** together with the required payment

Email: [enrolment@hki CPA.org.hk](mailto:enrolment@hki CPA.org.hk)

By post: **HKICPA, 37/F, Wu Chung House, 213 Queen's Road East, Wanchai. Attn: F&O Dept.**

Payment & Enrolment Status Enquiry: 2287 7381 / <a href="mailto:enrolment@hki CPA.org.hk">enrolment@hki CPA.org.hk</a>	Course Information Enquiry: 2287 7253 / <a href="mailto:cpd@hki CPA.org.hk">cpd@hki CPA.org.hk</a>	FOR OFFICE USE
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**Section 1 – Personal Particulars**  where appropriate. All fields are mandatory unless specified otherwise.

Membership No.: \_\_\_\_\_, or please specify:  Non-member  GAA Passport Holder

Name of participant: \_\_\_\_\_ Organization: \_\_\_\_\_  
Family name Given name (optional)

Contact information provided below is used solely for communication of the particular event(s), without update to your member profile.

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**Section 2 – Event Registration** All fields are mandatory.

No.	Event code	Event name	Fees
1.			HK\$
2.			HK\$
3.			HK\$
Total:			HK\$

**Section 3 – Payment** Please fill in either 3A or 3B and  where appropriate. All fields are mandatory in either part.

<b>3A</b>	<input type="checkbox"/> Cheque (No. _____) payable to <b>HKICPA</b> or <b>Hong Kong Institute of Certified Public Accountants</b>		
	<input type="checkbox"/> BOC HKICPA VISA <input type="checkbox"/> BOC HKICPA UnionPay card <input type="checkbox"/> Other VISA / MasterCard		
	Card Number: _____ - _____ - _____ - _____      Card Expiry Date: (MM/YY) ____ / ____		
	Cardholder's Name:	Cardholder's Signature:	Date of completing the form:

**Complete this part only if "Support Programme" applies.**

<b>3B</b>	<input type="checkbox"/> I am unemployed and not working. I am planning to rejoin the workforce.	Date:	
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- 3.2 For cheque payment, please issue separate cheque for each event. For credit card payment, the card should be valid with expiry date at least 1 month from the date of event.
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- 3.4 Payment receipt will be sent to your email address provided above once the payment is confirmed.
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- 3.6 Members of HKICPA may access to "MyCPA" to check your enrolment status.

**Section 4 – Points to Note**

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- 4.2 Confirmation of enrolment and login information to access the event (if applicable) will be sent to you via email. Your login ID and password are for your exclusive use ONLY and you should not share them with anyone.
- 4.3 In the event of typhoon signal no. 8 or above or a Black Rainstorm warning is hoisted, all scheduled events will be cancelled/postponed. Further details of bad weather arrangement for CPD programmes, please refer to the Institute's homepage.
- 4.4 Your personal data collected from the enrolment process and administration of courses/events/activities will be used for the purpose of the administration of the course on which you are enrolled. The provision of personal data by means of this form is voluntary. However, insufficient information may result in an inability to process your application. Such data collected may be accessible by the Institute's officers, persons or committees processing the application and related matters. In addition, the Institute may use the collected data for statistical research and analysis. The Institute intends to use the personal data of your name, email address and correspondence address to inform you, where relevant, of members' benefits, goods, services, facilities and events organized or provided by the Institute or other organizations. Members and registered students may opt out of receiving such materials at any time by logging in via the following link <https://mas.hki CPA.org.hk/mycpa/communication/preference>. Non-members may opt out of receiving such materials at any time by sending an email to the Institute at [privacyofficer@hki CPA.org.hk](mailto:privacyofficer@hki CPA.org.hk) or a letter to the Institute's privacy officer. For more information about the privacy policy of the Institute, please go to <https://www.hki CPA.org.hk/en/Tools/Privacy-policy>.
- 4.5 No unauthorized audio or video recording is allowed at CPD events.
- 4.6 The Institute reserves the right to amend the above terms and conditions without prior notice, and to change the venue, date, speaker or to cancel the event due to unforeseen circumstances. In case of any disputes, the Institute reserves the right to make the final decision.

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