

WHAT LISTED-COMPANY FINANCE LEADERS AND PROFESSIONALS NEED TO KNOW

HKEX LISTING FRAMEWORK COMPETITIVENESS REVIEW (PHASE 2)

ESSENTIAL FOR

LISTCO CFOs,
FINANCE
DIRECTORS

SPONSORS +
FINANCIAL
ADVISERS

PROFESSIONAL
ACCOUNTANTS

Hear directly from HKEX. Understand what may change.

A focused briefing on proposals that could reshape how listed issuers plan, approve, disclose and execute corporate transactions, followed by an interactive Q&A with the HKEX Listing Division.

01 NOTIFIABLE TRANSACTIONS

- Transaction classification
- Percentage ratios
- Thresholds and disclosure requirements

02 CONNECTED TRANSACTIONS

- Proposed scope
- Exemptions and safeguards
- Board accountability.

03 SPIN-OFF TRANSACTIONS

- Potential refinements to process, timing and implementation considerations.

ABOUT THE EVENT

DATE	Monday, 12 October 2026
TIME	12:30 p.m. - 1:30 p.m.
VENUE	HKICPA, 27/F, Wu Chung House, 213 Queen's Road East, Wanchai
FORMAT	Face-to-face seminar
LANGUAGE	English with bilingual Q&A session
CPD hour	1 hour, subject to actual attendance
Law Society CPD credit	Being applied for
Competency	Corporate Finance *
Rating	Intermediate level*
Application Deadline	7 October 2026 (offline enrolment by 6 October 2026)

SPEAKERS FROM HKEX

Catherine Yien

Managing Director, Head of Listing
Regulation and Enforcement, HKEX

Dion Wong

Senior Vice President, Listing Regulation and
Enforcement, HKEX

Anna Chow

Senior Vice President, Listing Regulation and
Enforcement, HKEX

**INTERACTIVE Q&A
TO FOLLOW (BILINGUAL)**

* Details of [Competency and Rating](#) information

STAY AHEAD OF THE REFORM.

Fee: HK\$250 for CFIG members, HKICPA members, students
HK\$450 for non-HKICPA members
• Refreshments and drinks provided

About the speakers



Catherine Yien

Managing Director, Head of Listing Regulation and Enforcement, HKEX

Ms Catherine Yien is a Managing Director and Head of Listing Regulation and Enforcement Department of HKEX's Listing Division. She leads the team responsible for the frontline regulation of over 2,700 listed issuers in Hong Kong, supports issuer understanding and compliance with the Listing Rules and works with directors and senior executives from across the issuer community. Before joining HKEX in September 2023, Ms Yien was a Managing Director of Rothschild & Co, specialising in mergers and acquisitions and provision of financial advice. Ms Yien was a member of the Advisory Committee of the Securities and Futures Commission from 2019 to 2023, and she also served as a member and later Deputy Chairman of the Listing Committee of the Main Board and GEM of The Stock Exchange of Hong Kong Limited from 2015 to 2021.



Dion Wong

Senior Vice President of Listing Regulation and Enforcement, HKEX

Ms Dion Wong is a Senior Vice President in the Listing Regulation and Enforcement Department of HKEX's Listing Division. Her work focuses on listing regulation and related policy initiatives and market consultations. Prior to joining HKEX, Ms Wong worked in the audit practice of Ernst & Young.



Anna Chow

Senior Vice President of Listing Regulation and Enforcement, HKEX

Ms Anna Chow is a Senior Vice President in the Listing Regulation and Enforcement Department of HKEX's the Listing Division. Ms Chow oversees listed issuers and also work on policy initiatives within the Listing Division. Before joining HKEX, Ms Chow was a corporate lawyer in Hong Kong.

Registration

- **Online enrolment by 7 October; offline enrolment by post or e-mail also by 6 October:** Complete the enrolment form and return it to the Institute by 6 October, 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 Katelyn Chan at 2287-7057 for enquiry.**

Remarks

Disclaimer

- The opinions expressed by external guest speakers are, by their nature, those of the speakers. They are not necessarily endorsed by the Institute or reflect the official policies and views of the Institute or its members.
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- The Institute takes no responsibility for any loss incurred by any person acting or refraining from acting as a result of participation in the event.