



Hong Kong Institute of CPAs

Regulatory Update on Securities Market

[Event code: SCPD16101801]

Date	18 October 2016 (Tuesday)
Time	6:30 p.m. – 8:00 p.m.
Venue	Hong Kong Institute of CPAs, 27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong
Speakers	Mr. Stephen Po Senior Director Intermediaries Supervision Securities and Futures Commission Mr. Frankie Fan Senior Manager Intermediaries Supervision Securities and Futures Commission Mr. Ivan Wan Senior Manager Intermediaries Supervision Securities and Futures Commission
Language	English
Fee	HK\$190 for members / HK\$330 for non-HKICPA member
CPD Credit hours	1.5 hours
Application Deadline	11 October 2016
Competency	Industry Knowledge, Risk Management
Rating	Intermediate Level* - Sound understanding of the knowledge area. The ability to apply knowledge and skills to a range of situations and able to deal with new situations.

* Please refer [here](#) for descriptions of other competencies and ratings

ABOUT THE SEMINAR

This seminar will cover regulatory update relating to the intermediaries in the securities market with particular reference in the following areas:

- OTCD Financial Resources Rules Consultation
- Online trading risk
- Regulatory issues regarding introducing brokers
- Internal controls issues related to client assets protection
- Anti-money laundering and counter-terrorist financing

REGISTRATION

- Online registration is recommended, please click [here](#) or visit www.hkicpa.org.hk
- To register offline (by post or by fax), 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.

Confirmation of registration will be sent by e-mail. If confirmation has not been received on 12 October 2016, please email to: tls@hkicpa.org.hk

