



## Industry Update Relating to Licensed Corporations

[Event code: SCPD17110703]

<b>Date</b>	<b>7 November 2017 (Tuesday)</b>
<b>Time</b>	7:00 p.m. – 8:30 p.m.
<b>Venue</b>	Hong Kong Institute of CPAs, 27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong
<b>Speakers</b>	<b><i>Securities and Futures Commission</i></b> <ul style="list-style-type: none"><li>◇ Mr. Leo Lam, Director, Intermediaries Supervision, Intermediaries</li><li>◇ Ms. Michelle Leung, Associate Director, Intermediaries Supervision, Intermediaries</li><li>◇ Ms. Priscilla Ngan, Senior Manager, Intermediaries Supervision, Intermediaries</li><li>◇ Mr. Anson Chan, Manager, Intermediaries Supervision, Intermediaries</li></ul> <b><i>Hong Kong Institute of Certified Public Accountants</i></b> <ul style="list-style-type: none"><li>◇ Mr. Chris Joy, Executive Director, Standards and Regulation</li><li>◇ Ms. Eky Liu, Associate Director, Standard Setting</li></ul>
<b>Language</b>	English
<b>Fee</b>	<b>HK\$190</b> for members / <b>HK\$330</b> for non-HKICPA member
<b>CPD Credit hours</b>	1.5 hours
<b>Competency</b>	Industry Knowledge, Auditing and Assurance, Accounting and Financial Reporting
<b>Rating</b>	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

In July 2017, the Securities and Futures Commission (SFC) published consultation conclusions on the proposed regulatory capital regime for licensed corporations engaged in over-the-counter derivatives activities and other proposed changes to the Securities and Futures (Financial Resources) Rules (FRR). The SFC also consulted on a number of modified and additional proposals in view of recent market developments and on a set of draft amendment rules for implementing those proposals which were not specific to over-the-counter derivatives activities.

The seminar will give you an overview of the proposed changes to the FRR as set out in the conclusion and further consultation paper.

In addition, the seminar will also cover the following areas in relation to financial reporting and audit of licensed corporations:

- HKFRS 9 *Financial Instruments*
- Findings from Quality Assurance review

### REGISTRATION

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

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Finance & Operations Department,  
Hong Kong Institute of CPAs  
37th Floor, Wu Chung House,  
213 Queen's Road East, Hong Kong  
Fax no: 2893- 9853



Hong Kong Institute of  
Certified Public Accountants  
香港會計師公會

Name: (\*Mr. / Mrs. / Ms.) \_\_\_\_\_ HKICPA Membership No.: \_\_\_\_\_  
(if applicable)

Company name: \_\_\_\_\_

Position held: \_\_\_\_\_ Email: \_\_\_\_\_  
(for enrolment confirmation purpose)

Telephone No.: \_\_\_\_\_ Fax No.: \_\_\_\_\_

[Contact information is used solely for communication of this particular event, without update to your member profile.]

Please mark a "✓" against the session(s) for which you wish to apply	
Industry Update Relating to Licensed Corporations (7 November 2017) [Event code: SCPD17110703]	
<b>Admission Fee:</b> <input type="checkbox"/> HK\$ 190 per person (HKICPA members) per session <input type="checkbox"/> HK\$ 330 per person (Non-HKICPA members) per session	
<input type="checkbox"/> Cheque (no. _____) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA"	
<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 (block letters):	Cardholder's Signature:
	Date:
Payment receipt will be sent to your email address provided above once the payment is confirmed.	

**Notes:**

1. Please complete the Enrolment Form and return it to the Finance & Operations on or before the deadline, together with full payment.
2. Enrolment is accepted on a first-come-first-served basis. No telephone reservation will be accepted.
3. Registration by fax will ONLY be processed when payment is made by credit card.
4. Cash is strictly NOT accepted. For credit card payment, the credit card should be valid with expiry date at least 1 month from the date of event. For payment by cheque, the enrolment will only be processed upon receipt of full payment.
5. Confirmation of enrolment will be sent to you via email. You can check your enrolment status at "MyCPA" at <http://mas.hkicpa.org.hk/mycpa/login>. Unsuccessful enrolment will be notified with full refund.
6. If typhoon signal no.8 or above / Black rainstorm warning is hoisted at or after 2:30 p.m. on the date of event, the activity will be cancelled. Your admission fee will be refunded in the event of cancellation due to bad weather. For details, please refer to Typhoon / Black rainstorm arrangement.
7. In normal circumstances, the seminar fee is non-refundable or non-transferrable upon receipt of payment by HKICPA. Should the seminar be cancelled or postponed due to unforeseeable circumstances, refund will be made according to your payment method. For credit card payment, refund will be made directly to your credit card account. For cheque payment, refund will be mailed to your correspondence address.
8. No unauthorized audio or video recording is allowed at CPD events.

**Personal Data:** 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. 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 <http://mas.hkicpa.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@hkicpa.org.hk](mailto:privacyofficer@hkicpa.org.hk) or a letter to the Institute's privacy officer. For more information about the privacy policy of the Institute, please go to <http://www.hkicpa.org.hk/en/service-tools/privacy-policy/>.

**Payment & Enrolment Status Enquiry:** 2287-7381  
e-mail: [finance@hkicpa.org.hk](mailto:finance@hkicpa.org.hk)

**Event Information Enquiry:** 2287-7065  
e-mail: [tls@hkicpa.org.hk](mailto:tls@hkicpa.org.hk)

For non-member and firm payment by cheque, please fill-in your postal address in case of refund:

Name :	Name :
Address :	Address :