



Corporate Fraud and Misconduct – SFC’s Recent Cases and Approach

About the topic

Our speaker for this lunch seminar is Mr. Kenneth Luk, Senior Director, Enforcement at the Securities and Futures Commission (SFC). His presentation will cover the following:

- Some of SFC’s recent cases involving corporate fraud and misconduct.
- Through these recent cases, the speaker will explain SFC’s approach in tackling corporate fraud and misconduct and the wide spectrum of remedies that are available to the SFC.

About the programme

Date & Time	17 September 2018, Monday
Venue	HKICPA training Centre 27th Floor, Wu Chung House 213 Queen’s Road East, Wanchai
Fee	<ul style="list-style-type: none"> • HK\$230 per person for RIF, ForensIG and CFGI members • HK\$330 per person for non-RIF/ ForensIG/ CFGI members
CPD credit	1 hour (subject to actual attendance)
Law Society CPD credit	Being applied for
Language	English
Competency	Insolvency *
Rating	Intermediate/Advanced level*
Application deadline	12 September 2018

Rundown

12:30 pm	Registration <i>(Sandwiches & drinks provided)</i>
1:00 pm	Introduction
1:05 pm	Presentation
1:50 pm	Q&A / Discussion
2:00 pm	Closing remarks

Speaker

Mr. Kenneth Luk
 Senior Director, Enforcement,
 Securities and Futures Commission

Chair

Terry Kan
 Chairman, RIF Executive Committee,
 and Partner, Specialist Advisory
 Services, SHINEWING Specialist
 Advisory Services Limited

* Please refer [here](#) for descriptions of the various ratings and competencies.



About the speaker

Mr. Kenneth Luk **Senior Director, Enforcement, Securities and Futures Commission**

Mr. Kenneth Luk is a Senior Director of the Enforcement Division of the Securities and Futures Commission. He joined the SFC in 1988 and has 20 years of experience in securities regulation and enforcement. He currently heads a team of investigators specialising in corporate fraud and misconduct investigations.

Registration

By post or fax:

Complete the attached reply slip and return it to the Institute by **12 September 2018**, together with full payment. Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA". Fax 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.



**RIF seminar –
 Corporate Fraud and Misconduct – SFC's Recent
 Cases and Approach**

17 September 2018

(Reply on or before 12 September 2018)

Fax no: 2893 9853

FOR OFFICE USE

Seq. no.:
 Handled by:

Confirmation of enrolment will be sent to you via email. You can check your enrolment status at "MyCPA" at www.hkicpa.org.hk.
 Unsuccessful enrolment will be notified with full refund.

Please type or print:-

Name: (*Mr./ Mrs. /Ms.) _____ Institute membership no.: _____
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 Position held: _____ Email: _____
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(Note: Contact information is used solely for communication of this particular event, without update to your member profile.)

You may use a separate sheet to list out the name, position and Institute membership no. (if applicable) of additional participant(s) from the same firm/company as the above applicant.

Please "✓" as appropriate

Admission Fee: <input type="checkbox"/> RIF/ ForensIG/ CFGI members: HK\$230 per person x _____ person(s) = HKD _____	
<input type="checkbox"/> Non-RIF/ ForensIG/ CFGI members: HK\$330 per person x _____ person(s) = HKD _____	
Payment by: <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 / Master card	
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Payment receipt will be sent to your email address provided above once the payment is confirmed.

Notes:

- Enrolments are accepted on a first-come-first-served basis. Telephone reservations will not be accepted.
- Full payment must be made before applications will be processed. Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly NOT accepted.
- The closing date for enrolment is by 12 September 2018.
- Confirmation of enrolment will be sent to you via email. You can check your enrolment status at "MyCPA" at www.hkicpa.org.hk. Unsuccessful enrolment will be notified with full refund.
- 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.
- Bad weather arrangement: The seminar will be cancelled if typhoon signal no. 8 or above/ black rainstorm warning is hoisted, as announced by the Hong Kong Observatory, at or after 6:30 a.m. on the date of the event. In the event of cancellation due to bad weather, the admission fee will be refunded.

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 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/>.

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