



Industry Update Relating to Licensed Corporations

Event code: SCPD18112902

Date	29 November 2018 (Thursday)
Time	7:00 p.m. – 8:30 p.m.
Venue	Hong Kong Institute of CPAs, 27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong
Speakers	<i>Securities and Futures Commission</i> <ul style="list-style-type: none">✧ Mr. Leo Lam, Director, Intermediaries Supervision, Intermediaries✧ Ms. Emily Wong, Associate Director, Intermediaries Supervision, Intermediaries✧ Mr. Anson Chan, Manager, Intermediaries Supervision, Intermediaries✧ Mr. Thomas Lai, Manager, Intermediaries Supervision, Intermediaries <i>Hong Kong Institute of Certified Public Accountants</i> <ul style="list-style-type: none">✧ Mr. Dennis Chan, Senior Manager, Quality Assurance
Language	Cantonese
Fee	HK\$150 for members / HK\$330 for non-HKICPA member
CPD Credit hours	1.5 hours
Competency	Industry Knowledge, Auditing and Assurance, 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

In August 2018, the Securities and Futures Commission (SFC) launched a consultation on the proposed guidelines for securities margin financing activities to provide more guidance on prudent risk management policies and practices. In December 2017, the SFC also consulted on the proposed conduct requirements to address risks posed by group affiliates and other connected persons. The seminar will focus on discussing the proposals in these two consultations.

In addition, the seminar will also cover the findings from HKICPA's practice reviews in relation to audits of licensed corporations.

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.

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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 [Event code: SCPD18112902]	
Admission Fee: <input type="checkbox"/> HK\$ 150 per person (HKICPA members) <input type="checkbox"/> HK\$ 330 per person (Non-HKICPA members)	
<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 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
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Event Information Enquiry: 2287-7386
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For non-member and firm payment by cheque, please fill-in your postal address in case of refund:

Name :	Name :
Address :	Address :