

## Corporate Finance Interest Group (CFIG) Lunch Seminar:

### Taking a close look at Open-ended Fund Companies



The [Hong Kong Open-ended Fund Companies \(OFCs\) regime](#) came into effect on 30 July 2018. It enables investment funds to be established in corporate form, in addition to the unit trust form, in Hong Kong. The Corporate Finance Interest Group is organizing a lunch seminar to help participants understand more about the OFCs regime, and how it will further develop Hong Kong's asset management industry.

The seminar will discuss the laws governing OFCs and the corresponding tax position. The speakers will also shed light on comparable structures elsewhere from practical perspective and address key questions like who should be using OFCs.

#### **Speakers**

**Ms. Penelope Shen**

Partner, Kwok Yih & Chan

**Mr. Stephen Wong**

Director – Fund Administration, Amicorp Hong Kong Ltd.

#### **Chairman**

**Mr. Paul Chau**

Chairman, Corporate Finance Advisory Panel

Managing Director, Investment Banking,  
China Galaxy International Securities (Hong Kong) Co. Ltd.

#### **Date & Time**

**Monday, 12 August 2019**

**12:30 – 2:00 p.m.**

#### **Venue**

HKICPA, 27th Floor, Wu Chung House  
213 Queen's Road East, Wan Chai, Hong Kong

#### **Language**

English

#### **Fee**

\$150 (HKICPA member)

\$330 (non-HKICPA member)

*(Sandwiches and drinks will be provided at 12:00 noon)*

#### **CPD hours**

1.5 hours

#### **CPT credit**

Please check with your compliance officer or other relevant personnel of your firm as this event may be acceptable for CPT recognition for SFC licensed persons

#### **Competency\***

Corporate Finance, Industry Knowledge

#### **Rating\***

Fundamental / Intermediate level

#### **Enrolment deadline**

**5 August 2019**

#### **Registration**

**Enrol online** or complete the enrolment form and return it with full payment by the enrolment deadline

Enrolment will be accepted on a first-come-first-served basis

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

Corporate Finance Interest Group (CFIG)  
Lunch Seminar:

**Taking a close look at Open-ended Fund Companies**

**ABOUT THE SPEAKERS**

**Ms. Penelope Shen**

Partner  
Kwok Yih & Chan

Ms. Shen has extensive experience in investment fund formation and restructuring of alternative investment, hedge and private equity funds. She helps her clients update existing investment funds and keeps them abreast of changes and developments in the market.

She is experienced in preparing, reviewing and negotiating discretarily managed account agreements, distribution agreements, side letters and other trading documents such as prime brokerage agreements, swaps and derivatives documentation and other service provider contracts. She also gives advice on Hong Kong's securities and regulatory regimes, such as private placement processes and ongoing compliance with the Hong Kong Securities and Futures Commission.

Ms. Shen has substantial experience from her stints at the top-tier law firms, both onshore and offshore. Her clients include the largest asset managers in Hong Kong, China and Singapore.

**Mr Stephen Wong**

Director – Fund Administration  
Amicorp Hong Kong Ltd.

Mr. Wong is responsible for fund clients in the Asia Pacific region including China, Hong Kong, Taiwan and Singapore. He has been administering funds for more than 5 years and his experience includes hedge, fixed income, real estate and private equity funds. Prior to joining Amicorp Hong Kong Ltd. in 2014, Mr. Wong worked in the audit and assurance department of PricewaterhouseCoopers.

Mr. Wong is an Institute member. He obtained his Bachelor of Business Administration (Accounting and Finance) from The University of Hong Kong. He also holds the qualification as a Certified Anti-Money Laundering Specialist.

**Corporate Finance Interest Group (CFIG)**  
**Lunch Seminar:**

Event Code: SCPD19081201

## Taking a close look at Open-ended Fund Companies

## Enrolment Form

**12 August 2019**  
(Enrolment deadline: 5 August 2019)

**Finance & Operations Department,  
Hong Kong Institute of CPAs**

37th Floor, Wu Chung House,  
213 Queen's Road East, Hong Kong.

Fax no: 2893 9853

Confirmation of enrolment will be sent to you via email. You can check your enrolment status at “My CPA” at [www.hkicpa.org.hk](http://www.hkicpa.org.hk). Unsuccessful enrolment will be notified with full refund.

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

Please use BLOCK letters

Name (Mr./ Mrs./ Ms): \_\_\_\_\_ Membership no.: \_\_\_\_\_

Company:

Position: \_\_\_\_\_ Email (Note 4): \_\_\_\_\_

Telephone no.: \_\_\_\_\_ Mobile no.: \_\_\_\_\_

*(Please tick the appropriate box)*

<b>Fee:</b>	<input type="checkbox"/> <b>HKICPA Member:</b> \$150	<input type="checkbox"/> <b>non-HKICPA Member:</b> \$330
<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:	<div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>	Card Expiry Date (MM/YY):
Cardholder's Name (block letters):	Cardholder's Signature:	Date:
<ul style="list-style-type: none"> <li>For credit card payment the card should be valid with expiry date at least <u>1 month</u> from the date of event.</li> <li>Payment receipt will be sent to your email address provided above once the payment is confirmed.</li> </ul>		

Notes:

1. Enrolment for the activity is accepted on a first-come-first served basis.
2. Full payment must be made before your enrolment will be processed. No telephone reservation will be accepted.
3. Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly not accepted.
4. Confirmation of enrolment will be sent to you via email before 1 August 2019. You can check your enrolment status at "MyCPA" at [www.hkicpa.org.hk](http://www.hkicpa.org.hk). Unsuccessful enrolment will be notified with full refund.
5. In normal circumstance, the admission fee is non-refundable or non-transferrable upon receipt of payment by HKICPA. Should the event be cancelled or postponed due to unforeseen circumstance, 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.
6. [Bad weather arrangement](#): When the 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 event, the event will be cancelled.
7. The Institute reserves the right to change the venue, date, speaker, and/or rundown of the event due to unforeseen circumstances.

**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/event/activity on which you are enrolled ("Event"). 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. By submitting this Enrolment Form, you understand and agree that the Institute may provide your personal data above to co-organisers/service providers in or outside Hong Kong for the purpose relating to the Event. 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 <https://www.hkicpa.org.hk/en/members-area/comm-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 7379**  
Email: [finance@hkicpa.org.hk](mailto:finance@hkicpa.org.hk)

**Event Information Enquiry:** 2287 7009 (Betsy Liang)  
Email: [betsyliang@hkicpa.org.hk](mailto:betsyliang@hkicpa.org.hk)

For non-member and firm payment by cheque, please fill in your postal address for refund in case the event is full or cancelled.

Name :	Name :
Address :	Address :