

Financial Services Interest Group (FSIG) Lunch seminar: Handling regulatory investigations



Speaker	Mr Kevin Yam Partner Kennedys Hong Kong
Date & Time	8 August 2019, Thursday 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) <i>(Sandwiches and drinks will be provided at 12:00 noon)</i>
CPD hour	1.5 hours
Competency*	Industry Knowledge
Rating*	Foundation / 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

ABOUT THE SEMINAR

Unexpected encounters with regulators may be relatively rare, but where breach of regulations is suspected, intervention and investigation by regulators can come as an unpleasant shock. Regardless of sector regulators have extensive powers, it is important to understand the investigation process as this may have implications on the final outcome. With this in mind, the Financial Services Interest Group (FSIG) brings you a lunch seminar on handling regulatory investigations.

At the seminar, Mr Kevin Yam, Partner of Kennedys Hong Kong will provide an overview of the investigative powers of financial regulators, accounting regulators and law enforcement agencies. He will also give an analysis of practical issues that may be faced by accounting firms and individual accountants when handling investigations by such regulators or agencies.



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ABOUT THE SPEAKER

Mr Kevin Yam

Partner

Kennedys Hong Kong

Mr Yam specializes in financial sector regulatory investigations, proceedings and compliance issues, as well as white collar crime and public inquiry-related investigations and proceedings. He represents financial sector entities, accounting firms, and senior executives in some of the most high profile Hong Kong regulatory, white collar crime and public inquiry matters.



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 Lunch seminar:**

Handling regulatory investigations

Enrolment Form

8 August 2019
 (Enrolment deadline: 5 August 2019)

Event code: SCPD19080801

**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.
 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)

Fee:	<input type="checkbox"/> HKICPA Member: \$150	<input type="checkbox"/> non-HKICPA Member: \$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:	_____	Card Expiry Date (MM/YY): _____
Cardholder's Name (block letters):	Cardholder's Signature:	Date:
<ul style="list-style-type: none"> For credit card payment the card should be valid with expiry date at least <u>1 month</u> from the date of event. Payment receipt will be sent to your email address provided above once the payment is confirmed. 		

Notes:

- Enrolment for the activity is accepted on a first-come-first served basis.
- Full payment must be made before your enrolment will be processed. No telephone reservation will be accepted.
- Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly not accepted.
- Confirmation of enrolment will be sent to you via email before 7 August 2019. You can check your enrolment status at "MyCPA" at www.hkicpa.org.hk. Unsuccessful enrolment will be notified with full refund.
- 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.
- 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.
- 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 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
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Event Information Enquiry: 2287 7386 (Karina Yeung)
 Email: karinayeung@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 :