



## Industry Update Relating to Licensed Corporations

Event code: SCPD19103101

<b>Date</b>	<b>31 October 2019 (Thursday)</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>  ✧ Ms. Clara Chan, Director, Intermediaries Supervision, Intermediaries  ✧ Ms. Scarlett Lee, Senior Manager, Intermediaries Supervision, Intermediaries  ✧ Ms. Carina Lai, Manager, Intermediaries Supervision, Intermediaries
<b>Language</b>	Cantonese with English Terminology
<b>Fee</b>	<b>HK\$150</b> for members / <b>HK\$330</b> for non-HKICPA member
<b>CPD Credit hours</b>	1.5 hours
<b>Competency</b>	Industry Knowledge, Risk Management
<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 December 2018, the Securities and Futures Commission (SFC) published a circular, a report and a self-assessment checklist in relation to its review of brokers' internal controls for protection of client assets and supervision of account executives. The seminar will focus on discussing the findings from the review, regulatory concerns, expected standards of controls on these areas and certain good practices. The speakers will also share some past cases where control deficiencies in brokers had jeopardised client interests.

### 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

### Payment & Enrolment Status Enquiry

Tel: 2287 7381

Email: [finance@hkicpa.org.hk](mailto:finance@hkicpa.org.hk)

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Finance & Operations Department,  
Hong Kong Institute of CPAs  
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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

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### Admission Fee:

Seminar:  HK\$ 150 per person (HKICPA members)  HK\$ 330 per person (Non-HKICPA members)

Cheque (no. \_\_\_\_\_) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA"

BOC HKICPA VISA  BOC HKICPA UnionPay card  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 pm on the date of seminar, 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  
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**Event Information Enquiry:** 2287-7067  
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 :