



Audit of Licensed Corporations

Programme Code: WSHP19102801

This workshop will provide an introduction to audits of licensed corporations which are regulated by the Hong Kong Securities and Futures Commission. Topics include:

- Overview of the Hong Kong Securities and Futures Ordinance requirements
- Highlights and reminders on HKICPA Practice Note 820 (Revised) "The Audit of Licensed Corporations and Associated Entities of Intermediaries"
- New amendments of Securities and Futures (Financial Resources) Rules (FRR) for the preparation of financial returns
- Sharing of key future developments in rules and regulations relevant to audit

After joining this seminar, participant will gain knowledge about:

- Audit considerations for licensed corporations
- Auditor's responsibilities under the Hong Kong Securities and Futures Ordinance
- Common pitfalls in applying FRR
- Key future developments in rules and regulations relevant to audit

Speakers

Mr. Keith Chau, Partner, Financial Services Practice, PricewaterhouseCoopers

Mr. Simon Lee, Senior Manager, Financial Services Practice, PricewaterhouseCoopers

Mr. Alan Yeung, Manager, Financial Services Practice, PricewaterhouseCoopers

(Speakers' profiles are printed overleaf)

Date **Monday, 28 October 2019**

Time 6:30 p.m. – 9:30pm

Venue Hong Kong Institute of CPAs,
27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong

Format Workshop

Language Cantonese

Fee

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|-------------------------------|-------------------------------------|
| HKICPA member or student: | HK\$750 (online enrolment: HK\$740) |
| IA/ HKIAAT member or student: | HK\$750 |
| Non-member: | HK\$1,500 |

Participants Professional accountants of licensed corporations

Competency* Auditing and assurance

Rating* Foundation level

CPD hours 3

* Please refer to the [Institute's online CPD Learning Resource Centre](#) for descriptions of competency and rating.

About the speakers

Mr. Keith Chau, Partner, Financial Services Practice, PricewaterhouseCoopers

Mr. Chau has over 15 years of experience in providing assurance and business advisory services to securities and asset management clients. He has broad financial services experience with a special focus on the asset and wealth management and capital markets industry.

Mr. Simon Lee, Senior Manager, Financial Services Practice, PricewaterhouseCoopers

Mr. Lee has more than 8 years of experience in audit assurance and compliance consulting for securities and asset management clients.

Mr. Alan Yeung, Manager, Financial Services Practice, PricewaterhouseCoopers

Mr. Yeung has over 7 years of experience in providing assurance services. He has experience in securities dealing and mainly focuses on the corporate finance industry.



Hong Kong Institute of
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