

Financial Services Interest Group (FSIG) E-learning webinar:

Handling regulatory investigations (financial sector)



Speaker

Mr Kevin Yam
Partner
Kennedys Hong Kong

Date & Time

4 September 2020, Friday
12:30 p.m. – 2:00 p.m.

Format

Live webinar
(There will be a real time Q&A)

Language

English

Fee

\$150 (HKICPA member)
\$330 (non-HKICPA member)

An email will be sent to you when your registration is accepted, which will include a login ID and password for this webinar. You can access the webinar by tablet, smart phone or PC.

CPD hour

1.5 hours

Competency*

Industry Knowledge

Sub-competency*

Business and product knowledge

Rating*

Fundamental / Intermediate level

Enrolment deadline

3 September 2020 (offline enrolment by 31 August 2020)

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 WEBINAR

Whether one is a target, or just merely assisting, dealing with investigations by regulators and/or law enforcement agencies is often considered to be complex, time-consuming and stressful. In this webinar, the speaker will cover the main investigation powers of regulators (including the Securities and Futures Commission, the Hong Kong Monetary Authority, the Hong Kong Institute of Certified Public Accountants and the Financial Reporting Council) and law enforcement agencies (including the Independent Commission Against Corruption and the Commercial Crime Bureau of the Hong Kong Police), as well as practical issues surrounding the handling of such investigations.



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ABOUT THE SPEAKER



Mr Kevin Yam

Partner
Kennedys Hong Kong

Mr Yam specializes in dealing with 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 cases within his specialization in recent years.



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E-learning webinar:

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Enrolment Form

4 September 2020

Enrolment deadline: 31 August 2020 (offline)

Event Code: EWEB20090401

Finance & Operations Department,
Hong Kong Institute of CPAs

37th Floor, Wu Chung House,
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Fax no: 2893 9853

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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):
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<ul style="list-style-type: none"> For credit card payment the card should be valid with expiry date at least 1 month from the date of event. Payment receipt will be sent to your email address provided above once the payment is confirmed. 		

Notes:

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- 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 prior to the date of event, in which you will be given your login ID and password that are for your exclusive use ONLY and you should not share them with anyone. You can access the webinar by tablet, smart phone or PC. For HKICPA member, 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.
- The Institute reserves the right to change the date, speaker, or to cancel the event due to unforeseen circumstances.
- No unauthorized audio or video recording is allowed for the webinar.

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

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