

## Financial Services Interest Group (FSIG) e-Seminar:

### Handling regulatory investigations (financial sector)



<b>Available period</b>	<b>29 September 2020 – 30 September 2021</b>
<b>Format</b>	<b>e-Seminar</b>
<b>Speaker</b>	<b>Mr Kevin Yam</b> Partner Kennedys Hong Kong
<b>Language</b>	English
<b>Fee</b>	\$150 (HKICPA member) \$330 (non-HKICPA member)  <i>An email will be sent to you when your registration is accepted, which will include a login ID and password for this e-Seminar. You can access the e-Seminar by tablet, smart phone or PC.</i>
<b>CPD hours</b>	1.5 hours (subject to actual attendance)
<b>Competency*</b>	Industry Knowledge
<b>Sub-competency*</b>	Business and product knowledge
<b>Rating*</b>	Fundamental / Intermediate level
<b>Enrolment deadline</b>	<b>30 September 2021 (offline enrolment by 25 September 2021)</b>
<b>Registration</b>	<b>Enrol online</b> 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 e-SEMINAR

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 e-Seminar, 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.