



# E-learning webinar: Industry Update Relating to Licensed Corporations

[Event code: EWEB2020120801]

Date	8 December 2020 (Tuesday)
Time	7:00 p.m. – 8:30 p.m.
Format	Live webinar (There will be real time Q&A)
Speakers	<b>Securities and Futures Commission</b>

[Register Now](#)

- ◇ Ms. Chevonne Chan, Senior Manager, Licensing, Intermediaries
- ◇ Mr. Johnny Shih, Associate Director, Intermediaries Supervision, Intermediaries
- ◇ Ms. Emily Wong, Associate Director, Intermediaries Supervision, Intermediaries
- ◇ Ms. Cyrus Hung, Manager, Intermediaries Supervision, Intermediaries

#### **Hong Kong Institute of Certified Public Accountants**

- ◇ Ms. Terry Tay, Deputy Director, Quality Assurance

Language	Cantonese with English Slides and Terminology
Fee	<b>HK\$150</b> for HKICPA member or student; or IA / HKIAAT's member or student <b>HK\$330</b> for non-member
CPD Credit hours	1.5 hours
Application Deadline	<b>3 December 2020</b> <b><i>(An email will be sent to you within two weeks when your registration and payment are confirmed, which will include a login ID and password for the webinar. You can access the webinar by tablet, smart phone or PC.)</i></b>
Competency	Industry Knowledge, Auditing and Assurance
Rating	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

### **Securities and Futures Commission**

In January 2020, the Securities and Futures Commission (SFC) published a circular to provide guidance on the licensing obligations of family offices which conduct business in Hong Kong. The seminar will discuss the implications of the SFC's licensing regime to family offices intending to carry out asset management or other services in Hong Kong. It will also discuss the frequently-asked questions (FAQs) issued in September 2020 which provided additional guidance on the implications of the SFC's licensing regime to both single and multi-family offices.

In addition, the seminar will discuss another set of FAQs updated in September 2020 for providing further practical guidance on the assessment of the corporate structure and investment process of Corporate Professional Investors (in particular, those investment vehicles owned by family trusts or family offices that engage investment professionals to manage their investments) for the purpose of exemption from certain requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

In June 2020, the SFC published a circular in relation to the draft of the revised financial return form to be used for accounting periods starting on or after 1 July 2021. In light of the rapidly changing operating environment and greater business complexity, the financial return form has been revised to collect additional data from licensed corporations to enable the SFC to identify risks in a timely manner, take prompt supervisory action and protect investors. The seminar will focus on discussing the key changes to the financial return form.



## ***Hong Kong Institute of Certified Public Accountants***

In June 2020, the Institute's Quality Assurance Department issued an alert to all members and practice units setting out the matters that require specific attention in completing compliance engagements of regulated entities, including licensed corporations regulated by the Securities and Futures Commission. The seminar will focus on discussing the matters included in the alert and common practice review findings related to audit and compliance work on licensed corporations.

### **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 with priority given to the Institute's members.

#### **Payment & Enrolment Status Enquiry:**

Phone: 2287 7381

e-mail: [enrolment@hkicpa.org.hk](mailto:enrolment@hkicpa.org.hk)

Fax: 2893 9853

#### **Course Information Enquiry:**

Phone: 2287 7220

e-mail: [tls@hkicpa.org.hk](mailto:tls@hkicpa.org.hk)

# HONG KONG INSTITUTE OF CERTIFIED PUBLIC ACCOUNTANTS ENROLMENT FORM

Finance & Operations Department,  
Hong Kong Institute of CPAs,  
37/F, Wu Chung House, 213 Queen's Road East, Hong Kong

Log on "MyCPA" at  
<http://www.hkicpa.org.hk> to  
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Payment & Enrolment Status Enquiry: 2287 7381  
e-mail: [finance@hkicpa.org.hk](mailto:finance@hkicpa.org.hk)  
Fax: 2893 9853

Course Information Enquiry: 2287 7065  
e-mail: [tls@hkicpa.org.hk](mailto:tls@hkicpa.org.hk)

### FOR OFFICE USE

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Full name: (Mr./Ms.) \_\_\_\_\_ Membership no.: \_\_\_\_\_

Membership type:  HKICPA member, student /IA/HKIAAT member, student  Non-Member

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**Contact information is used solely for communication of this particular event, without update to your member profile.**

\* A confirmation email will be sent to you when your application and payment are confirmed, in which you will be given a login ID and password. Each programme will be valid for the period as specified in the confirmation email. In order not to delay the process, please ensure payment is made together with your application.

No.	Event code	Course Title	Fee:
			[HK\$150 for HKICPA member or student; or IA / HKIAAT's member or student /HK\$330 for non-member]
1	EWEB2020120801	E-learning webinar: Industry Update Relating to Licensed Corporations	
			Total HK\$

\* Email address is for enrolment confirmation purpose. Please refer to note (2) for details.

### Payment Method (Please tick the appropriate box)

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

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Card Number: \_\_\_\_\_ Card Expiry Date (MM/YY): \_\_\_\_\_

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I would like to have an official receipt. (Remarks: Official receipt will be sent to your email address provided above.)

- Notes:**
1. Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly not accepted. Please ensure all the particulars relating to payment are completed, otherwise the application cannot be processed. There is NO need to send in the enrolment form again if it has already been faxed to the Institute. Please fax the completed form to 2893 9853.
  2. In normal circumstances, the course fee is non-refundable or non-transferrable upon receipt of payment by HKICPA. Should the course be cancelled 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.
  3. Confirmation of enrolment will be sent to you via email within 2 weeks, in which you will be given your login ID and password. You can check your enrolment status at "MyCPA" at [www.hkicpa.org.hk](http://www.hkicpa.org.hk). Unsuccessful enrolment will be notified with full refund. In order not to delay the process, please ensure payment is made together with your application. If you do not receive any confirmation email from the Institute, please contact 2287 7065.
  4. Your login ID and password are for your exclusive use ONLY and you should not share them with anyone.
  5. No unauthorized audio or video recording and/or downloading is allowed for the online courses.

**Personal Data:** Your personal data collected from the enrolment process and administration of courses 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 and, if applicable, for validation of CPD hours. The Institute intends to use the personal data of your name, email address and correspondence address to inform you, where relevant, of CPD activities, 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](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/>.

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

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