

Corporate Finance Interest Group (CFG)  
e-Seminar:

HKEX's consultation conclusions:  
Codification of general waivers and principles  
relating to IPOs and listed issuers and minor rule amendments



In August 2019, as part of an ongoing effort to streamline the listing process, the Stock Exchange of Hong Kong Limited (the Exchange) issued a consultation paper on its proposed codification of a number of general waivers and the principles and conditions underpinning a number of waivers from strict compliance with certain Listing Rules to IPOs and listed issuers, and minor rule amendments. In August 2020, the Exchange published the [consultation conclusion](#), which adopted most of the proposals and amended the related Listing Rules.

At this e-Seminar, the speakers will discuss the details of general waivers and principles codified into the rules, including the reasons for, and the effects of, the new and amended rules.

**Available period** 19 November 2020 – 30 November 2021

**Format** e-Seminar

**Speakers** **Mr Jack Zhao**  
Vice President of Listing Division, HKEX

**Ms Liza Ko**  
Vice President of Listing Division, HKEX

**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 e-Seminar. You can access the e-Seminar by tablet, smart phone or PC.*

**CPD hours** 1.5 hours (subject to actual attendance)

**CPT credit** Please check with your compliance officer or other relevant personnel of your firm as this event may be acceptable for CPT recognition for SFC licensed persons

**Competency\*** Corporate and Strategic Finance, Industry Knowledge

**Sub-competency\*** Understanding of capital market and financial instruments/hedging products, Business and product knowledge

**Rating\*** Intermediate level

**Enrolment deadline** 30 November 2021 (offline enrolment by 25 November 2021)

**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



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### ABOUT THE SPEAKERS



**Mr Jack Zhao**

Vice President of Listing Division, HKEX

Mr Zhao is a team leader of Listed Issuer Regulation specializing in secondary and overseas listed companies. He has over 10 years of experience in regulation of listed issuers and administration of the Listing Rules. He is experienced in handling regulatory matters concerning listed companies in various industry sectors including, banking and insurance, property development and management, automobiles, media and entertainment and telecommunication. He is also familiar with the delisting procedures for long suspended companies.

Before joining HKEX, Mr Zhao worked at an international professional firm providing audit and accounting advisory services. He is a professional accountant and member of two renowned professional accountancy bodies.



**Ms Liza Ko**

Vice President of Listing Division, HKEX

Ms Ko is a Vice President of the IPO Vetting Department. Ms Ko has more than eight years of experience in handling pre-IPO enquiries, IPO applications and related regulatory matters of applicants from various industry sectors. She is also in charge of various IPO policy matters and consultation projects.

Ms Ko is a certified public accountant in Singapore and the U.S. Before joining HKEX, Ms Ko had more than 10 years of experience in the audit and assurance practice of KPMG Singapore and KPMG US. She was also a member of the Department of Professional Practice in KPMG Singapore.