

## Joint ForensIG-RIF-CFIG E-learning webinar: Regulatory Investigations by the SFC in Hong Kong

Event code: EWEB21081101

### About the topic

The Securities and Futures Commission (SFC) is empowered, under the Securities and Futures Ordinance, to mete out disciplinary measures and prosecute offenders to combat crime and misconduct in the securities and futures markets. According to [its latest annual report](#), the SFC commenced 204 investigations and laid 29 criminal charges against nine persons and one corporation, and secured convictions against seven persons and two corporations. Among these investigations, the number of cases related to [corporate misgovernance and intermediary misconduct](#) increased by 14% and 9% respectively from June 2020 to March 2021.

In this joint webinar, Sherman Yan, managing partner, head of Litigation & Dispute Resolution, ONC Lawyers, will share his insights on some of the main cases.

### About the event

<b>Date &amp; Time</b>	<b>Wednesday, 11 August 2021</b> <b>1:00 p.m. – 2:00 p.m.</b>
<b>Format</b>	<b>Live Webinar</b> (There will be real time Q&A)
<b>Fee</b>	<ul style="list-style-type: none"> <li>HK\$120 per person for ForensIG / RIF/ CFIG/ ACFE members</li> <li>HK\$220 per person for participants other than above</li> </ul> <p><i>Priority is given to ForensIG members. Not a ForensIG member? Click <a href="#">here</a> to join ForensIG. If you are a non-member of the Institute, please register as a new web member first before completing an online registration as a ForensIG member.</i></p>
<b>HKICPA CPD credit</b>	1 hour (subject to actual attendance)
<b>Law Society CPD credit</b>	1 CPD (being applied for)
<b>Language</b>	English
<b>Competency</b>	Forensic accounting*
<b>Rating</b>	Intermediate level*
<b>Application deadline</b>	<b>Online enrolment by 9 August 2021</b> (offline enrolment by 5 August 2021)

#### Rundown

<b>1:00 pm</b>	Introduction
<b>1:05 pm</b>	Presentation
<b>1:50 pm</b>	Q&A / Discussion
<b>2:00 pm</b>	Closing

#### Speaker

**Sherman Yan**  
Managing Partner, Head of  
Litigation & Dispute Resolution,  
ONC Lawyers

#### Chair

**Andrew Dale**  
Member, ForensIG Management  
Committee, and partner, Ropes  
& Gray

\* Please refer [here](#) for descriptions of the various ratings.



## About the speaker

### Sherman Yan

**Managing Partner, Head of Litigation & Dispute Resolution, ONC Lawyers**

Sherman has many years of experience in handling complex commercial disputes, especially shareholders' disputes in listed companies and regulatory issues under the Securities and Futures Ordinance. Sherman has frequently acted for listed companies, their shareholders or directors and securities investors in dealing with inquiries and investigations by regulatory bodies such as the Hong Kong Monetary Authority, the Hong Kong Exchanges and Clearing Limited, and the Securities and Futures Commission of Hong Kong. Besides, Sherman is a member of the Civil Litigation Committee of the Law Society of Hong Kong with extensive experience in handling and reviewing new laws and regulations relating to litigation.

## Registration

- **Online enrolment by 9 August; offline enrolment by post or fax also by 5 August:**

Complete the enrolment form and return it to the Institute by 5 August, together with full payment. Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA". Fax registration will be accepted for payment by any VISA/ Master card or the BOC HKICPA UnionPay card.

**You may consider your registration to be successful unless you receive notification from us to the contrary.**

- Upon successful enrolment, the meeting URL and login password will be provided nearer the event date.
- **Contact Ms. Crystal Tang at 2287-7067 or Ms. Ki Wong at 2287-7017 for enquiry.**