

Live webinar: Industry Update Relating to Licensed Corporations

Event code: EWEB21111601

Date	16 November 2021 (Tuesday)
Time	7:00 p.m. – 8:30 p.m.
Format	Live webinar (Zoom) (There will be real time Q&A)
Speakers	Securities and Futures Commission <ul style="list-style-type: none">✧ Mr. Steve Poon, Associate Director, Intermediaries Supervision, Intermediaries✧ Mr. William Chong, Senior Manager, Intermediaries Supervision, Intermediaries
Language	Cantonese with English Slides and Terminology
Fee	HK\$150 for HKICPA member or student / International Affiliate (IA) HK\$330 for non-member
CPD Credit hours	1.5 hours (subject to actual attendance)
Application Deadline	10 November 2021 <i>(Upon successful enrolment, the meeting URL and login password will be provided closer to the event date.)</i>
Competency	Industry Knowledge
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 WEBINAR

Inspection findings of securities brokers

Securities brokers play a vital role in Hong Kong's financial markets as they serve a vast majority of investors and are entrusted with a significant amount of client assets. Auditors appointed by the securities brokers pursuant to section 153 of the Securities and Futures Ordinance are one of the key stakeholders in the safeguarding of client assets, as they are required to express independent conclusion on the securities broker's compliance with the relevant provisions of Securities & Futures (Client Money) Rules, Securities & Futures (Client Securities) Rules and other applicable rules and regulations.

The webinar will give an overview about the SFC's inspection of securities brokers and discuss relevant inspection findings which jeopardise the safeguarding of client assets. Auditors of securities brokers should be vigilant of those findings when performing the audit of these licensed corporations.

Review of internet trading cybersecurity

In 2020, the SFC completed a cybersecurity thematic review of selected internet brokers which provide online trading services on desktop, mobile or designated website platforms with a focus on cybersecurity issues and vulnerabilities associated with mobile trading applications.

This webinar will share the key findings and observations of this review, including deficiencies and instances of non-compliance in areas such as Two-Factor Authentication (2FA), data encryption, session timeout and monitoring and surveillance to identify suspicious unauthorised transactions.

In addition, this webinar will also elaborate on the regulatory expectations set out in the Guidelines for Reducing and Mitigating Hacking Risks Associated with Internet Trading that came into effect in July 2018.



REGISTRATION

- Online registration is recommended, please click [here](#) or visit 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.

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No.	Event code	Course Title	Fee:
1	EWEB21111601	Live webinar: Industry Update Relating to Licensed Corporations	[HK\$150 for HKICPA member or student and International Affiliate (IA) / HK\$330 for non-member]
* Email address is for enrolment confirmation purpose. Please refer to note (2) for details.			Total HK\$

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