

**Financial Services Interest Group**  
**E-learning webinar:**

## **SFC/Stock Exchange Investigations and Proceedings against Listed Companies and Directors**

(Programme Code: EWEB22012701)



Alleged corporate fraud and misfeasance is a key area of concern in the eyes of the regulators. It has not only been one of the enforcement priorities of the Securities and Futures Commission in recent years, the powers of the Hong Kong Stock Exchange have also been strengthened to enhance the disciplinary regime against listed companies and their directors or senior personnel. This webinar will provide an overview and practical guidance to the investigatory and enforcement powers of the Securities and Futures Commission and the Hong Kong Stock Exchange against listed companies and their directors or senior personnel.

### **Speakers**

**Mr. Kevin Yam**

Partner, Kennedys

**Ms. Rachel Yuen**

Of Counsel, Kennedys

(Speakers' profile is printed overleaf)

### **Date**

**Thursday, 27 January 2022**

### **Time**

12:30 p.m. – 2:00 p.m.

### **Format**

Live webinar

### **Language**

English

### **Fee**

HKICPA member or student or IA:	HK\$150
Non-member:	HK\$330

*(An email will be sent to you when your registration is accepted, which will include login details for the webinar. You can access the webinar by tablet, smart phone or PC.)*

### **Competency\***

Industry knowledge

### **Sub-competency\***

Business and product knowledge

### **Rating\***

Intermediate level

### **CPD hours**

1.5

### **Enrolment deadline**

**26 January 2022** (offline enrolment by 24 January 2022)

### **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

\* Please refer to the [competencies and ratings for CPD events](#).

## About the speakers



**Mr. Kevin Yam**  
Partner, Kennedys

Mr. Yam joined Kennedys as a Partner in the Hong Kong office in 2013. He qualified in Hong Kong in 2005 and was a trainee and then an associate at a market-leading disputes and regulatory team of an international law firm from 2002 to 2006. He then became an in-house legal counsel at a big four accounting firm in Hong Kong from 2006 to 2009. He re-joined the same international law firm as a senior associate from 2009 to 2013.

Mr. Yam is experienced in representing accountants in financial regulatory investigations and proceedings. He also represents financial sector entities, listed companies, professional services firms and their senior personnel. His main specialization is in advising clients on handling a wide range of investigations and proceedings instituted by financial and professional services regulators, as well as law enforcement agencies.

In addition, Mr. Yam is an experienced litigator. His particular focus is on cases and crisis scenarios where an understanding of the wider financial regulatory, disciplinary and/or law enforcement environment is important, as well as where a strong appreciation of the wider political and publicity context is vital.

Mr. Yam is also one of the joint authors of the Securities & Futures Ordinance (Cap. 571) – Commentary and annotations – 2019 version, published by Sweet & Maxwell.



**Ms. Rachel Yuen**  
Of Counsel, Kennedys

Ms. Yuen qualified in Hong Kong in 2012. Her current practice focuses on financial services regulatory matters, commercial litigation and arbitration which include investigations commenced by regulators such as the Securities and Futures Commission and the Hong Kong Monetary Authority, disciplinary proceedings, Market Misconduct Tribunal proceedings, High Court and District Court proceedings. Ms. Yuen is also one of the joint authors of the Securities & Futures Ordinance (Cap. 571) – Commentary and annotations – 2019 version, published by Sweet & Maxwell.



## Financial Services Interest Group

### E-learning webinar:

### SFC/Stock Exchange Investigations and Proceedings against

### Listed Companies and Directors

### Enrolment Form

Event Code: EWEB22012701

Finance & Operations Department,  
Hong Kong Institute of CPAs

37th Floor, Wu Chung House,  
213 Queen's Road East, Hong Kong.

Fax no: 2893 9853

27 January 2022, Thursday

Enrolment deadlines: 26 Jan 2022 (online) / 24 Jan 2022 (offline)

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Admission Fee: ☐ HKICPA Member: \$150 ☐ non-HKICPA Member: \$330

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

☐ BOC HKICPA VISA ☐ BOC HKICPA UnionPay card ☐ Other VISA / MasterCard

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

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- For credit card payment the card should be valid with expiry date at least 1 month from the date of event.
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#### Notes:

- Enrolment for the activity is accepted on a first-come-first served basis.
- Full payment must be made before your enrolment will be processed. No telephone reservation will be accepted.
- Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly not accepted.
- Confirmation of enrolment will be sent to you via email prior to the event, in which you will be given your login ID and password that are for your exclusive use ONLY and you should not share them with anyone. You can access the webinar by tablet, smart phone or PC. For HKICPA member, 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.
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- The Institute reserves the right to change the date, speaker, or to cancel the event due to unforeseen circumstances.
- Bad weather arrangement:** When the typhoon signal no. 8 or above / black rainstorm warning is hoisted, as announced by the Hong Kong Observatory, at or after 6:30 a.m. on the date of event, the event will be cancelled.
- No unauthorized audio or video recording is allowed for the webinar.

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