

Financial Services Interest Group
e-Seminar:

SFC/Stock Exchange Investigations and Proceedings against Listed Companies and Directors (archived webinar)

(Programme Code: ESEMFSIG22012701)



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 e-seminar 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)

Available period 8 February 2022 – 28 February 2023

Format e-Seminar

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

Competency* Industry knowledge

Sub-competency* Business and product knowledge

Rating* Intermediate level

CPD hours 1.5 (subject to actual access time)

Enrolment deadline 28 February 2023 (offline enrolment by 24 February 2023)

Registration **Enrol online** or complete the enrolment form and return it with full payment by the enrolment deadline

* 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.