

## Joint RIF-ForensIG-CFIG E-learning webinar: Event code: EWEB22042201 Corporate Misconduct and Fraud - SFC's Latest Enforcement Trends and Investigation Approaches

### About the topic

Securities and Futures Commission (SFC) has been very active in carrying out its enforcement duties amid of the COVID outbreak. The enforcement initiatives could range from actions against individuals and corporates on market misconduct, internal control deficiency, failure to comply with the AML/CFT requirements and etc. It is also not uncommon for SFC to take enforcement actions jointly with other government agencies, e.g. the Hong Kong Police Force and the Independent Commission Against Corruption in Hong Kong.

The Institute is pleased to invite Mr. Kenneth Luk and Ms. Denise Yip, Senior Director and Associate Director of the Enforcement Division of the SFC respectively, to share their practical experience in carrying out the corporate fraud enforcement work. Their presentation will cover the following:

- Latest trends in corporate fraud and corporate misconduct
- SFC's strategies to investigate corporate fraud and corporate misconduct
- Sharing on cases heard in Court or Market Misconduct Tribunal

### About the programme

<b>Date &amp; Time</b>	<b>Friday, 22 April 2022</b> 1:00 p.m. – 2:00 p.m.
<b>Format</b>	<b>Live Webinar</b> (There will be real time Q&A)
<b>Fee</b>	HK\$150 per person for RIF/ ForensIG/ CFIG members  HK\$250 per person for non-RIF/ non-ForensIG/ non-CFIG members
<b>CPD credit</b>	1 hour (subject to actual attendance)
<b>Law Society CPD credit</b>	Being applied for
<b>Language</b>	English
<b>Competency</b>	Insolvency *
<b>Rating</b>	Intermediate level*
<b>Application Deadline</b>	<b>19 April 2022</b> (offline enrolment by 13 April 2022)

#### 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

*\*Live polling questions will be asked*

#### Speaker

<b>Kenneth Luk</b> Senior Director, Enforcement, SFC
<b>Denise Yip</b> Associate Director, Enforcement, SFC

#### Chair

<b>Annie Chan</b> Member, RIF Executive Committee and Managing Director, Annie Chan and Associates Limited
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\* Please refer [here](#) for descriptions of the various ratings and competencies.



## About the speaker

### **Kenneth Luk**

#### **Senior Director, Enforcement, Securities and Futures Commission**

Mr. Kenneth Luk is a Senior Director of the Enforcement Division of the SFC. He joined the SFC in 1998 and has 24 years of experience in securities regulation and enforcement. He currently heads a team of investigators specializing in corporate fraud and misconduct investigations.

### **Denise Yip**

#### **Associate Director, Enforcement, Securities and Futures Commission**

Ms. Denise Yip is an Associate Director of the Enforcement Division of the SFC. She joined the SFC in 2008 and currently specializes in corporate fraud and misconduct investigations.

## Registration

- **Online enrolment by 19 April; offline enrolment by post or fax also by 13 April:**

Complete the enrolment form and return it to the Institute by 13 April, 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 Mr. Anthony Lee at 2287-7386 or Mr. Bryan Kwok at 2287-7057 for enquiry.**