



## Entities Listing on HKEX Series (May to June 2022)

The Hong Kong Exchanges and Clearing (HKEX) has ranked top 5 globally in fundraising and over HK\$1,455 billion has been raised by companies over the past five years. As at 31 March 2022, there have been more than 2,500 international, Hong Kong and Mainland companies listed on HKEX with a market capitalisation of around HK\$53,000 billion.

This series of webinars covers preliminary IPO planning considerations, IPO process, ESG report, the continuing obligations of a listed entity with the objective of enhancing participants' understanding of the key aspects for listing, merger and acquisition of listed/ listing entities on HKEX, etc, as well as the financial restructuring of listed companies in distress and amid COVID-19 and the effective measures to deal with the fraud and financial accounting scandals.

Each session will cover the key points of the listing rules, guidance letters, listing decisions, other relevant rules and regulations and examples of published prospectus and circulars. The speakers will also share their practical experience on specific topics and common application issues.

Topic/ Programme code	Date and time	Rating*	Speakers
Session 1: Updating on Basic Requirements for Listing on HKEX (EWEB22051601)	Monday, 16 May 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. Vincent Li</b>
Session 2: Model Code – Securities Transactions by Directors (EWEB22052001)	Friday, 20 May 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. P.H. Chik</b>
Session 3: Group Structure for Listing and Reorganization (EWEB22052301)	Monday, 23 May 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. Vincent Li</b>
Session 4: Listing of Secondary and Dual Primary Listing on HKEX (EWEB22053001)	Monday, 30 May 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. Vincent Li</b>
Session 5: Disclosure of Inside Information (EWEB22060101)	Wednesday, 1 June 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. P.H. Chik</b>
Session 6: Listed Companies in Distress and Restructuring Landscape in Hong Kong (EWEB22060601)	Monday, 6 June 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. Terry Kan</b>
Session 7: Internal Controls for IPO and Listed Company (EWEB22060901)	Thursday, 9 June 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Ms. Gloria So</b>
Session 8: The Requirement & Technical Issues of Valuation in IPO (EWEB22061001)	Friday, 10 June 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. Vincent Pang</b>



Topic/ Programme code	Date and time	Rating*	Speakers
Session 9: General Company Secretary Issues (EWEB22061301)	Monday, 13 June 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Dr. Maurice Ngai</b>
Session 10: Common PRC Legal Issues for Listing (EWEB22061501)	Wednesday, 15 June 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. Ray Liu</b> <b>Mr. Su Dunyuan</b>
Session 11: ESG Report (EWEB22062101)	Tuesday, 21 June 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Ms. Charlene Kwong</b> <b>Ms. Connie Chan</b>
Session 12: Connected Transactions (EWEB22062301)	Thursday, 23 June 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. P.H. Chik</b>
Session 13: Returned and Rejected IPO Application (EWEB22062401)	Friday, 24 June 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. Vincent Li</b>
Session 14: Corporate Fraud and Financial Accounting Scandals (EWEB22062701)	Monday, 27 June 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. Sean Lam</b>
Session 15: Notifiable Transactions (EWEB22062801)	Tuesday, 28 June 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. P.H. Chik</b>
Session 16: Prospectus and Related Documents for Listing (EWEB22063001)	Thursday, 30 June 2022 7:00 p.m. – 9:00 p.m.	Intermediate	<b>Mr. Vincent Li</b>

**Format** Webinar

**Language** Cantonese (Mandarin will be used by Mr. Su Dunyuan in session 10)

**Fee** HKICPA member or student or IA: HK\$150  
**(For each session)** Non-member: HK\$330

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**Participants** Chief Financial Officers (CFOs); Accountants; Corporate finance professionals; Financial advisers; Investor relations professional; Public relations professional; Compliance officers; Company secretaries

**Competency\*** Corporate & strategic finance; Accounting and financial reporting; Corporate governance

**Sub-competency\*** Project valuation and financial due diligence;  
Understanding of capital market and financial instruments/ hedging products;  
Analysing financial reports;  
Compliance with legal & regulatory requirements and corporate governance best practices

**CPD hours** 2  
**(for each session)**

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



## About the programme

### Session 1: Updating on Basic Requirements for Listing on HKEX (EWEB22051601)

This webinar will focus on the basic financial and other principal requirements for listing on HKEX.

Topics include:

- An update on the Hong Kong Stock Exchange Market
- General principles for listing on HKEX
- An update on the basic requirements for listing on HKEX, include the financial, ownership and management continuity requirements and the related interpretation and application of the Main Board Listing Rule 8.05
- The consideration and guidance for suitability for listing, such as suitability of directors and controlling shareholders; material non-compliance incidents; deteriorating financial performance; reliance on parent group, connected persons and major customers; and the captive business model

### Session 2: Model Code – Securities Transactions by Directors (EWEB22052001)

This webinar will focus on the Model Code and related requirements on the HKEX.

Topics include:

- Purposes and requirements of the Model Code
- The prohibitions and restrictions
- Who are caught?
- What dealings are caught?
- Meaning of "securities"
- What dealings are excluded?
- Clearance procedure
- Share options and restricted shares
- Practical guidance

### Session 3: Group Structure for Listing and Reorganization (EWEB22052301)

This webinar will focus on common group structure and reorganization issue relating to the entities listing on the HKEX.

Topics include:

- How to restructure the business and group structures that are suitable for listing on the HKEX
- Application of different group restructuring methods, such as acquisition of businesses or assets, acquisition method of accounting, business combination under common control, Accounting Guideline 5 "*Merger Accounting for Common Control Combinations*" and interspersing a shell entity
- Contractual arrangements
- Other business combination issues, such as acquisitions of subsidiaries and businesses during or after the track record period, and combined and carve-out financial statements



#### **Session 4: Listing of Secondary and Dual Primary Listing on HKEX (EWEB22053001)**

This webinar will focus on the recent update on the listing rules regarding to the secondary and dual primary listing for overseas companies on the HKEX.

Topics include:

- Brief discussion on the general requirements for the secondary and dual primary listing for overseas companies
- An update on the revised requirements to the listing of overseas companies, such as the removal of "innovative business" requirement and lowering market capitalization took effect from 1 January 2022
- New guidance on the changes of the listing status for the secondary and dual primary listing issuers, such as primary conversion, oversea delisting and trading migration
- The impact on the issuers upon the changes of the listing status of the listed issuers

#### **Session 5: Disclosure of Inside Information (EWEB22060101)**

This webinar will introduce the Hong Kong rules on disclosures of inside information and the related disclosures material and/or inside information.

Topics include:

- Meaning of "inside information"
- Duty to disclose
- Safe harbours
- Specific disclosures
- Sanctions and compensation
- Market Misconduct Tribunal (MMT) Cases
- Disclosure obligations under Hong Kong Law Reports (HKLR)
- Trading halt or suspension

#### **Session 6: Listed Companies in Distress and Restructuring Landscape in Hong Kong (EWEB22060601)**

This webinar will focus on the financial restructuring of listed companies in distress and the latest trend in the challenging economic situation amid COVID-19, with particular reference to listed companies incorporated offshore.

Topics include:

- Delisting regime of the HKEX Listing Rules
- Duties and risks of the board in insolvency and restructuring
- Restructuring landscape and common restructuring mode in practice
- Case study of companies in distress



### **Session 7: Internal Controls for IPO and Listed Company (EWEB22060901)**

This webinar will focus on internal control issues relating to listing on HKEX.

Topics include:

- Relevant guidelines, rules and regulations, Practice Note 21, SFC Code of Conduct, Main Board Listing Rules Appendix 14 and AATB 1
- Committee of Sponsoring Organizations of the Treadway Commission (COSO) Enterprise Risk Management Model
- Internal control system effectiveness
- Methodology of internal control review
- Common internal control deficiencies
- Non-compliance of internal control issues

### **Session 8: The Requirement & Technical Issues of Valuation in IPO (EWEB22061001)**

This webinar will focus on the requirement and issues of valuation in relation to listing on HKEX.

Topics include:

- Property valuation:
  - For initial public offering preparation
  - For merger and acquisition
- Financial valuation:
  - For initial public offering preparation
  - Valuation result implication
  - Investments
  - Employee share options
  - Convertible bonds
  - Preference shares
  - Asset/ Goodwill impairment

### **Session 9: General Company Secretary Issues (EWEB22061301)**

This webinar will focus on the roles and functions of company secretary (CS) of listing companies on HKEX.

Topics include:

- Differences between the role, functions and criteria under Hong Kong Stock Exchange Listing Rules 3.28 and 8.17, and Section F of Corporate Governance Code (Appendix 14 of the Listing Rules) of/for the appointment of CS in listed issuers and private companies
- Secondary Liabilities for CS
- In-house CS vs. an out-sourcing CS arrangement
- Multiple named CS issues – Company Secretary Appointment Guideline for Members, issued by the Hong Kong Institute of Chartered Secretaries (HKICS)
- CS and board secretaries' duties under A+H dual listing



### Session 10: Common PRC Legal Issues for Listing (EWEB22061501)

This webinar will focus on the common PRC legal issues for listing on HKEX.

Topics include:

- Two different models for PRC companies to be listed on HKEX: Directly via H-share listing, and indirectly via red chip listing
- PRC foreign investment regulations
- Guiding the Orientation of Foreign Investment (指導外商投資方向規定) (Order No. 346 of the State Council) and Law of the PRC on Wholly Foreign-Owned Enterprises (中華人民共和國外資企業法)
- General PRC laws and regulation for specific industries and businesses
- PRC laws and regulations for environmental protection, labor and production safety, and intellectual property, etc.
- Settlement of Foreign Exchange Capital of Foreign-invested Enterprises ("SAFE Circular No. 19") (國家外匯管理局關於改革外商投資企業外匯資本金結匯管理方式的通知)
- Rules on the Acquisition of Domestic Enterprises by Foreign Investors (關於外國投資者併購境內企業的規定) ("Circular No.10")

### Session 11: ESG Report (EWEB22062101)

This webinar will introduce and summarize the latest development on the Hong Kong Stock Exchange Appendix 27 Environmental, Social and Governance (ESG) Reporting Guide.

Topics include:

- ESG Research Report on: the readiness of listed companies under the HKEX New ESG Reporting Guide
- ESG preparation for IPO candidates
- The implications of enhanced disclosure responsibilities of the board and the management
- The good practices of corporate governance and ESG management
- Risks and opportunities of ESG reporting
- Task Force on Climate-Related Financial Disclosures (TCFD) and impact reporting
- ESG Ratings (MSCI Rating and Carbon Disclosure Project (CDP)) and CSR Index

### Session 12: Connected Transactions (EWEB22062301)

This webinar will give a brief introduction to the concepts and principles of connection transactions for Hong Kong listed companies.

Topics include:

- Who is a connected person?
- Connected person – An individual
- Associates of a connected person – Individual persons
- Connected person – A legal person
- Associates of a connected person – Legal persons
- "Control" and "Influence" in connected transaction rules
- Exemptions
- Some common pitfalls



### **Session 13: Returned and Rejected IPO Application (EWEB22062401)**

This webinar will focus on the reasons of returned and rejected listing applications by the HKEX and will discuss the strategies that the listing application should be taken in preventing their applications from being returned or rejected.

Topics include:

- Analysis of the rejected and returned listing cases in the last three years
- The principal reasons for being returned or rejected by HKEX
- The strategies that the listing applicants should be adopted to prevent their listing applications from being returned or rejected

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### **Session 14: Corporate Fraud and Financial Accounting Scandals (EWEB22062701)**

Recent waves of corporate fraud and financial accounting scandals has left many listed companies vulnerable to allegations of fraud and suspected irregularities, including but not limited to earning management, asset misappropriation and false accounting. Concurrently, there has been an increasingly number of potential or confirmed fraud cases that are exposed by short seller attacks, regulatory investigations, auditor resignations and internal tip-offs, etc. Under this environment, forensic accountants increasingly play an indispensable role in assisting listed companies promptly investigate allegations and implement correction actions to prevent future occurrence of fraud. This webinar will focus on explaining the roles performed by forensic accountants in assisting listed companies in different contexts.

Topics include:

- Role of forensic accountants
- Common types of fraud allegations relevant to Hong Kong listed companies
- Practical points for handling fraud allegations affecting Hong Kong listed companies
- Recent enforcement trends
- Case studies



### **Session 15: Notifiable Transactions (EWEB22062801)**

This webinar will focus on the general continuing obligations and requirements for notifiable transactions for companies listed on the HKEX.

Topics include:

- Meaning of "transactions"
- Persons covered by the notifiable transaction rules
- Size tests and percentage ratios
- Major issues in calculating the size tests
- Alternative tests
- Transaction classification and disclosure requirements
- Financial assistance
- Aggregation
- Announcement, circular and shareholders' approval
- Some common issues

### **Session 16: Prospectus and Related Documents for Listing (EWEB22063001)**

This webinar will focus on common issues and consideration in preparing prospectus and other related documents for listing on HKEX.

Topics include:

- Application proof and Post Hearing Information Pack
- Contents of listing documents
- Prospectus vetting process
- Prospectus registration process
- Supplementary prospectus
- Other documents submitted to HKEX



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**Certified Public Accountants**  
香港會計師公會

## About the speakers

### **Mr. Vincent Li** *MBA, M.Sc.*

Partner, ShineWing China and Hong Kong

Mr. Li has around 35 years of experience in the fields of accounting, auditing, corporate finance, business strategies and development. He has extensive experience in providing audit and accounting services to international and multinational enterprises in Hong Kong and Mainland China. He also assisted various Hong Kong entities, PRC state-owned enterprises and PRC local entities in their listing on stock exchanges in Hong Kong, Singapore and Korea. In 2015, he successfully assisted a Beijing private enterprise Beijing Chunlizhengda (Stock Code: 1858) in listing its shares on HKEX and preparing the financial report of the company in PRC Generally Accepted Accounting Principles (GAAP). Further, Mr. Li was also involved in the merger and acquisition (M&A) transactions of certain large PRC enterprises.

Mr. Li is a fellow member of the Hong Kong Institute of Certified Public Accountant (HKICPA) and member of the Association of Chartered Certified Accountants (ACCA) and the Institute of Chartered Accountants in England and Wales (ICAEW).

### **Mr. P.H. Chik** *BA, LL.M*

Former partner of Baker McKenzie, Beijing office and Linklater, Beijing office

Mr. Chik is a former partner of several international law firms before his retirement in 2018. He has extensive experience in IPO and post-listing compliance work. Upon his retirement, he worked as an adjunct professor of the Department of Accountancy of CityU of Hong Kong and has recently joined Seyfarth Shaw, Hong Kong office, as a part-time consultant, providing advice mainly on Hong Kong corporate governance and listing rules.

### **Mr. Terry Kan**

Partner, SHINEWING Specialist Advisory Services Limited

Mr. Kan has decades of experience in restructuring and insolvency, dispute resolutions, litigation support, and forensic investigations. The appointments he received include schemes of arrangements for reverse take-over, debt-for-equity swap and debts composition, provisional liquidator for restructuring purpose for Hong Kong-listed companies with mainland operations, resumption for listed entities, high profile distress merger and acquisition of California Fitness, distressed resolution advisor to GEM-listed chairman and founders of the Oasis Airlines, receivers and managers acting for debenture holders, cross-border assets tracing and litigation support in commercial and matrimonial claims. Mr. Kan has experiences in various sectors including financial institutions, insurance brokerages, real estate management and investment, constructions, mining, STEM education, commodities trading, fitness centres, catering, travelling and diamond trading industries etc.

Mr. Kan is a fellow member of the Hong Kong Institute of Certified Public Accountant (HKICPA), holder of Specialist Designation in Insolvency, a member of the Association of Certified Fraud Examiners (ACFE), Chartered Governance Professional and Chartered Secretary of the Hong Kong Chartered Governance Institute, licensed Trust or Corporate Service Provider (TCSP). He is the Immediate Past Chairman of the HKICPA Restructuring and Insolvency Faculty and a current board member of the International Association of Restructuring, Insolvency & Bankruptcy Professionals (INSOL).



**Ms. Gloria So**

Partner, ShineWing Risk Services Limited

Ms. So has over 18 years of experience in enterprise risk management, internal controls, information technology general control review, financial due diligence and external audit. She has expertise in performing Sarbanes-Oxley Act services, internal audit reviews, enterprise risk management and other strategic review engagements for clients from a wide range of industries. She is also responsible for leading various pre-IPO due diligence engagements for listed companies. She attained a master's degree in information and technology management from the Chinese University of Hong Kong, and a bachelor's degree in accountancy from the Hong Kong Polytechnic University. She is a member of the Hong Kong Institute of Certified Public Accountant (HKICPA), a certified information system auditor and certified internal auditor.

**Mr. Vincent Pang** *CFA, FCPA, FCPA (Aust.), MRICS, RICS Registered Valuer*

Managing Director - AVISTA Group

Mr. Pang is the Founder and Managing Director of AVISTA Group, leading the firm's valuation, risk management, ESG and IT advisory practices in Hong Kong and the PRC.

Mr. Pang has 20 years of experience in financial valuation, M&A advisory, business consulting and corporate investment, advising clients in a range of industries, including TMT, financial services, pharmaceutical and energy etc. He has been leading the firm to make breakthroughs in these areas, established a client portfolio of 1,000+ listed and pre-IPO companies in Hong Kong and overseas stock exchanges.

Before founding AVISTA, Mr. Pang served as Associate Director of PricewaterhouseCoopers and was in charge of the valuation division in Beijing. He has advised numerous large M&A deals in the PRC and overseas for multinational corporations and Chinese state-owned enterprises. He also has extensive experience in providing valuation services for US and HK IPO listing.

**Dr. Maurice Ngai** *Ph.D., MCF, MBA, LLB, CPA, FCCA, FCG(CS, CGP), FCS(CS, CGP)(P.E.), MCI Arb*

Director and Group CEO, SWCS Corporate Services Group (Hong Kong) Limited

Dr. Ngai is the Director and Group Chief Executive Officer of SWCS Corporate Services Group (Hong Kong) Limited. He has over 30 years of professional practice and senior management experience including acting as the executive director, chief financial officer and company secretary, most of which are in the areas of finance, accounting, internal control and risk management, regulatory compliance, corporate governance and company secretarial work for listed issuers including major red chips companies.

Dr. Ngai is a Fellow of the Hong Kong Chartered Governance Institute (formerly known as the Hong Kong Institute of Chartered Secretaries), a Fellow of the Chartered Governance Institute (formerly known as the Institute of Chartered Secretaries and Administrators), a member of HKICPA, a Fellow of Association of Chartered Certified Accountants in the United Kingdom and a member of the Chartered Institute of Arbitrators.

Dr. Ngai obtained a Doctoral Degree in Economics (Finance) at Shanghai University of Finance and Economics, a Master's Degree in Corporate Finance from Hong Kong Polytechnic University, a Master's Degree in Business Administration from Andrews University of Michigan and a Bachelor's Degree in Law at University of Wolverhampton.

**Mr. Ray Liu**

Partner, Jia Yuan Law Office

Mr. Liu graduated and obtained a bachelor's degree of laws from East China University of Political Science and Law and a master's degree of Laws from the University of Pennsylvania. His areas of practice include capital markets, compliance and regulatory, mergers and acquisitions (M&A), joint ventures and other corporate matters.

Mr. Liu has substantial experience in Hong Kong and overseas (including the USA, PRC, etc.) IPO projects, listed companies compliance, debt capital markets, share placements, M&A and private equity. He has participated in projects involving various industries, such as railway, utility service, landscape architecture, energy, property development and entertainment.



**Mr. Su Dnyuan**

Senior Partner, Jia Yuan Law Office

Mr. Su graduated and obtained a bachelor's degree of laws from Fuzhou University and a master's degree of laws from Zhongshan University. His area of practice includes corporate restructuring, IPO, refinancing, foreign direct investment (FDI), international procurement, outbound investment and mergers and acquisitions (M&A), and private equity/ venture capital.

Mr. Su possesses rich experiences in the fields of PRC and foreign IPOs as well as M&A of listed companies. He regularly provides perennial legal services for many PRC and overseas listed companies such as GF Securities, HEC Pharm, Dalian Port, Megmeet, and Kuang-Chi Technologies.

**Ms. Charlene Kwong** *MSc, CEM, CAP, BEAM Pro, LEED AP, WELL AP*

ESG Senior Manager, SWCS Corporate Services Group (Hong Kong) Limited

Ms. Kwong holds the Master of Science degree in Environmental Science in The University of Plymouth, UK. She specializes in the preparation of energy audit reports, carbon audit assessments in Hong Kong and Mainland China, and provides energy efficient strategies and low carbon development. Before joining SWCS, Ms. Kwong had been involved in energy and carbon consulting works, specialized in the areas of energy audit, carbon footprint, green building assessment for government premises and private sectors.

Ms. Kwong is a Certified Energy Manager (CEM) and Carbon Audit Professional (CAP) certified by Association of Energy Engineers, BEAM Professionals (BEAM Pro) certified by The Hong Kong Green Building Council (HKGBC), LEED AP (Accredited Professional) and WELL AP certified by U.S. Green Building Council.

**Ms. Connie Chan** *MSc, CCA, GSFP*

ESG Assistant Manager, SWCS Corporate Services Group (Hong Kong) Limited

Ms. Chan holds a Master of Science in Environmental Management from the University of Hong Kong and is a Certified Carbon Auditor and a Certified Green and Sustainable Finance Professional of Chartered Banker Institute. She is specializing in writing ESG reports for Hong Kong and Chinese companies, organizing stakeholder engagement and formulating sustainable development strategies for clients. Before joining this organization, Ms. Chan worked as an environmental consultant, specializing in areas such as product carbon footprint assessment, cleaner production, energy conservation and emission reduction. She also has extensive experience in organizing several large-scale seminars and training on carbon footprint, cleaner production, energy conservation and emission reduction. Ms. Chan also obtained the GRI Certified Training Program Certificate.

**Mr. Sean Lam** *CPA Australia, Association of Certified Fraud Examiners, Association of Certified Anti-Money Laundering Specialists*

Senior Managing Director, Risk Advisory & Investigations, FTI Consulting

Mr. Lam is a Senior Managing Director in the Forensic & Litigation Consulting segment of FTI Consulting based in Hong Kong. He has over sixteen years of professional services experience in forensic accounting, fraud investigation and litigation support. He has significant experience in a range of high-stakes, cross-jurisdiction projects, specialising on forensic accounting review and investigation of white-collar crime, accounting irregularities and complex regulatory issues. The results of Mr. Lam's work are frequently presented to corporate boards, audit committees, legal advisors, and regulatory and enforcement authorities in Hong Kong and abroad. In addition, he has been appointed as a testifying accounting expert in legal proceedings in the Hong Kong High Court.



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