



## Workshop: Audit of Licensed Corporations

Programme Code: WSHP22111701

This workshop will provide an introduction to audit of licensed corporations which are regulated by the Securities and Futures Commission. Topics include:

- Overview of the Securities and Futures Ordinance requirements
- Highlights and reminders on HKICPA Practice Note 820 (Revised) "The Audit of Licensed Corporations and Associated Entities of Intermediaries"
- Latest Securities and Futures (Financial Resources) Rules (FRR) for the preparation of financial returns
- Sharing of key future developments in rules and regulations relevant to audit

After joining this workshop, participant will gain knowledge about:

- Audit considerations for licensed corporations
- Auditor's responsibilities under the Securities and Futures Ordinance
- Common pitfalls in applying FRR
- Key future developments in rules and regulations relevant to audit

### Speakers

**Mr. Clement Wong**, Partner, Financial Services, Ernst & Young

**Mr. Samuel Chow**, Senior Manager, Financial Services, Ernst & Young

(Speakers' profiles are printed overleaf)

**Date** **Thursday, 17 November 2022**

**Time** 6:30 p.m. – 9:30 p.m.

**Venue** Hong Kong Institute of CPAs,  
27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong

**Language** Cantonese

<b>Fee</b>	HKICPA member or student:	HK\$850
	International Affiliate (IA):	HK\$850
	Non-member:	HK\$1,700

**Application deadline** 10 November 2022 (online/ offline enrolment)

**Participants** Auditors, professional accountants of licensed corporations

**Competency\*** Auditing and Assurance, Industry Knowledge

**Rating\*** Foundation level

**CPD hours** 3

\* Please refer to the [Institute's online CPD Learning Resource Centre](#) for descriptions of competency and rating.

## **About the speakers**

**Mr. Clement Wong**, Partner, Financial Services, Ernst & Young

Mr. Wong has over 20 years of experience in Hong Kong in providing audit and advisory services to financial institutions in Hong Kong and China, including investment banks, securities and asset management companies, and investment companies. He possesses in-depth knowledge in finance and operations, internal controls, regulatory compliance and financial reporting. He is a member of the Securities Regulatory Advisory Panel under the Auditing and Assurance Standards Committee of the Hong Kong Institute of Certified Public Accountants.

**Mr. Samuel Chow**, Senior Manager, Financial Services, Ernst & Young

Mr. Chow has 9 years of experience in assurance. He has extensive experience in providing audit and regulatory compliance services to China and Hong Kong securities brokerage and asset management companies.

## **About the Registration**

Online registration is recommended, please click [here](#) or visit [www.hkicpa.org.hk](http://www.hkicpa.org.hk)

- To register offline (by post or by email), 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.

### **Remarks**

In light of the continuing risks posed by COVID-19, the Institute is adopting the following precautionary measures at the workshop (subject to change):

- Maximum capacity of the workshop is 40 participants
- All speakers and participants will be required to:
  - submit a health declaration form upon entering the classroom
  - wear a face mask at the Institute and throughout the workshop
  - undergo compulsory temperature screening at the Institute's registration counter
  - use sanitizing gel provided for disinfection of hands before entering the workshop venue
  - sit at a distance from each other and avoid close contact
- No refreshment or drinks will be provided during the workshop
- Participants **NOT ALLOW** to bring/eat food and drinks at the venue
- Require to scan "LeaveHomeSafe" app or complete a visitor registration form when participants visiting at HKICPA office

### **Payment & Enrolment Status Enquiry:**

Phone: 2287 7381

e-mail: [enrolment@hkicpa.org.hk](mailto:enrolment@hkicpa.org.hk)

### **Course Information Enquiry:**

Phone: 2287 7386

e-mail: [tls@hkicpa.org.hk](mailto:tls@hkicpa.org.hk)

# Workshop: Audit of Licensed Corporations

## 17 November 2022

Finance & Operations Department,  
Hong Kong Institute of CPAs  
37th Floor, Wu Chung House,  
213 Queen's Road East, Hong Kong  
Email: [enrolment@hkipa.org.hk](mailto:enrolment@hkipa.org.hk)



Hong Kong Institute of  
Certified Public Accountants  
香港會計師公會

Name: (\*Mr. / Mrs. / Ms.) \_\_\_\_\_ HKICPA Membership No.: \_\_\_\_\_  
(if applicable)

Company name: \_\_\_\_\_

Position held: \_\_\_\_\_ Email: \_\_\_\_\_  
(for enrolment confirmation purpose)

Telephone No.: \_\_\_\_\_ Fax No.: \_\_\_\_\_

[Contact information is used solely for communication of this particular event, without update to your member profile.]

Please mark a "✓" against the session(s) for which you wish to apply

Please mark a "✓" against the session(s) for which you wish to apply	
<b>WSHP22111701 - Workshop: Audit of Licensed Corporations</b>	
<b>Admission Fee:</b>	
<input type="checkbox"/> \$850 (HKICPA member or student / International Affiliate (IA)) <input type="checkbox"/> \$1,700 for non-member	
<input type="checkbox"/> Cheque (no. _____) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA"	
<input type="checkbox"/> BOC HKICPA VISA <input type="checkbox"/> BOC HKICPA UnionPay card <input type="checkbox"/> Other VISA / MasterCard	
Card Number: _____	Card Expiry Date (MM/YY): _____
Cardholder's Name (block letters): _____	Cardholder's Signature: _____ Date: _____
Payment receipt will be sent to your email address provided above once the payment is confirmed.	

### Notes:

- Please complete the Enrolment Form and return it to the Finance & Operations on or before the deadline, together with full payment.
- Enrolment is accepted on a first-come-first-served basis. No telephone reservation will be accepted.
- Registration by email will ONLY be processed when payment is made by credit card.
- Cash is strictly NOT accepted. For credit card payment, the credit card should be valid with expiry date at least 1 month from the date of event. For payment by cheque, the enrolment will only be processed upon receipt of full payment.
- Confirmation of enrolment will be sent to you via email. You can check your enrolment status at "MyCPA" at <http://mas.hkipa.org.hk/mycpa/login>. Unsuccessful enrolment will be notified with full refund.
- All scheduled events will be cancelled and postponed to a date to be announced in the event of typhoon signal no. 8 or above or if a Black Rainstorm warning is hoisted. For details of [bad weather arrangement](#) for CPD programmes, please refer to the Institute's homepage.
- In normal circumstances, the seminar fee is non-refundable or non-transferrable upon receipt of payment by HKICPA. Should the seminar be cancelled or postponed due to unforeseeable circumstances, refund will be made according to your payment method. For credit card payment, refund will be made directly to your credit card account. For cheque payment, refund will be mailed to your correspondence address.
- No unauthorized audio or video recording is allowed at CPD events.

**Personal Data:** Your personal data collected from the enrolment process and administration of courses/events/activities will be used for the purpose of the administration of the course on which you are enrolled. Such data collected may be accessible by the Institute's officers, persons or committees processing the application and related matters. In addition, the Institute may use the collected data for statistical research and analysis. The Institute intends to use the personal data of your name, email address and correspondence address to inform you, where relevant, of members' benefits, goods, services, facilities and events organized or provided by the Institute or other organizations. Members and registered students may opt out of receiving such materials at any time by logging in via the following link <http://mas.hkipa.org.hk/mycpa/communication/preference>. Non-members may opt out of receiving such materials at any time by sending an email to the Institute at [privacyofficer@hkipa.org.hk](mailto:privacyofficer@hkipa.org.hk) or a letter to the Institute's privacy officer. For more information about the privacy policy of the Institute, please go to <http://www.hkipa.org.hk/en/service-tools/privacy-policy/>.

**Payment & Enrolment Status Enquiry:** 2287-7381

e-mail: [enrolment@hkipa.org.hk](mailto:enrolment@hkipa.org.hk)

**Event Information Enquiry:** 2287-7386

e-mail: [tls@hkipa.org.hk](mailto:tls@hkipa.org.hk)

For non-member and firm payment by cheque, please fill-in your postal address in case of refund:

Name :	Name :
Address :	Address :