



E-learning: Workshop on Audit of Licensed Corporations

Programme Code: ESEMETLS22111701

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

Date **Thursday, 17 November 2022**

Language Cantonese

Fee HKICPA member or student: HK\$970
 International Affiliate (IA): HK\$970
 Non-member: HK\$1,940

Participants Auditors, professional accountants of licensed corporations

Competency* Auditing and Assurance, Industry Knowledge

Rating* Foundation level

CPD hours 3

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.

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

About the Registration

- Online registration is recommended, please click [here](#) or visit 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.
- Confirmation of registration will be sent by email. If you have not received confirmation of your application, please contact

Payment & Enrolment Status Enquiry:

Phone: 2287 7381/ e-mail: enrolment@hkicpa.org.hk

Course Information Enquiry:

Phone: 2287 7074 / e-mail: tls@hkicpa.org.hk

Disclaimer:

- *The opinions expressed by external guest speakers are, by their nature, those of the speakers. They are not necessarily endorsed by the Institute nor do they necessarily reflect the official policies and views of the Institute, its staff or members.*
- *The Institute takes no responsibility for any loss associated with any person acting or refraining from acting as a result of participation in the event.*
- *The Institute does not endorse or recommend any products or services that may be mentioned in the event and is not responsible for any loss or damage arising from the use of such products or services. Participants are reminded that there may be a wide range of related products or services available in the market and that they should carry out their own research and obtain independent advice before subscribing to any products or services.*