

E-Learning

Workshop: Compliance reporting on Securities and Futures (Client Money) Rules and Securities and Futures (Client Securities) Rules

COURSE HIGHLIGHTS:

This workshop will provide an introduction and key reminders on auditor's reporting responsibilities on Securities and Futures (Client Money) Rules ("CMR") and Securities and Futures (Client Securities) Rules ("CSR") under the Securities and Futures (Accounts and Audit) Rules ("AAR"). Topics include:

- Overview of the AAR, CMR and CSR
- Highlights and reminders of compliance reporting work on CMR and CSR with reference to the HKICPA Practice Note 820 (Revised), *The Audit of Licensed Corporations and Associated Entities of Intermediaries*
- Sharing of recent regulatory findings and common pitfalls in relation to CMR and CSR

After joining this workshop, participants will gain knowledge about

- Considerations for compliance reporting work on CMR and CSR
- Auditor's responsibilities under the Securities and Futures Ordinance
- Recent regulatory findings relating to CMR and CSR
- Common pitfalls in applying CMR and CSR

| Programme code | Date | Language | CPD hour |
|-------------------|------------------|---|---------------|
| ESEMETLS231116L02 | 16 November 2023 | Cantonese with English slides and terminology | 2.5 CPD hours |

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| Fee | HKICPA member or student / International Affiliate (IA): | HK\$970 |
| | Non-member: | HK\$1,940 |
| Competency | Industry Knowledge | |
| Rating | Foundation Level* | |
| Participants | Auditors, professional accountants of licensed corporations | |

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

ABOUT THE SPEAKERS:

Ms. Simmy Ko
Partner, Financial Services, KPMG

Ms. Ko has over 20 years of experience in providing audit and assurance services to financial institutions, specialising in the securities and asset management sector. She possesses comprehensive understanding of internal control and regulatory compliance for SFC regulated entities.

Ms. Ko is the chairperson of the Securities Regulatory Advisory Panel under the Auditing and Assurance Standards Committee of the Hong Kong Institute of Certified Public Accountants.

Mr. Tommy Lo
Senior Manager, Financial Services, KPMG

Mr. Lo is a senior manager in the audit practice with over ten years of audit experience with financial institutions. He has expertise in providing assurance services for a wide range of companies, including brokerage firms, fintech companies and investment funds.

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:

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