

Common breaches of Securities Law in Hong Kong and some practical prevention measures

Introduction:

Jail terms, high fines, individual accountability and loss of reputation: these are the consequences of breaches of securities laws. If you want to successfully navigate the regulatory minefield, this seminar will discuss current areas of regulatory scrutiny, how to avoid them or minimise the damage to you and your organisation.

The seminar will focus on Securities Laws and is most suitable for financial services professionals to get updates on the latest SFC regulations & enforcement trends.

Highlights:

The speaker, Ms Jill Wong will cover:

- The new Anti-Money Laundering laws and customer due diligence
- Internal controls, corporate governance and senior management accountability
- Inside information: disclosure under Part 14A
- Market misconduct - Inside Dealing, False Trading, Price Rigging, etc.
- The SFC's "new" weapons
- The Year Ahead 2016

Target audience:

CEOs, COOs, CFOs, CROs, Directors, Responsible Officers, Executive Officers, In-house Counsel, Legal and Compliance Officers, Internal Auditors, Senior Back Office and Operation Officers of Financial Institutions

Details:

Date:	6 November 2015 (Friday)
Time:	2:00 p.m. – 5:00 p.m.
Venue:	Hong Kong Management Association, 4/F, Pico Tower, 66 Gloucester Road, Wan Chai, Hong Kong
Medium:	English with Chinese & English Handout
Seat	Seat confirmation is based <u>on receipt of payment on a first come,</u>
Confirmation:	<u>first served basis.</u>
Enquiry:	Contact Ms Kokko KO at Tel: 2973 0060 or e-mail to: publn@icchkcbc.org

Registration Fee:

- **You will enjoy early bird discount if register and pay on or before 23 October, 2015.**
- ✧ **HK\$ 750/person (regular)**
- ✧ **HK\$ 650/person ("early-bird" for public who register and pay on or before 23 October, 2015.)**
- ✧ **HK\$ 550/person (for ICC-HK members)**

Speaker Profile:



Jill Wong
Partner, Howse Williams Bowers

Jill specialises in financial services and corporate regulatory and compliance issues, and has been identified as a leading lawyer in legal directories such as Chambers Asia Pacific, IFLR 1000, AsiaLaw Leading Lawyers and Legal 500. She is named as an External Counsel of the Year in Asian-Mena's annual "Representing Corporate Asia and Middle East Survey 2013".

She was previously Deputy General Counsel at the Hong Kong Monetary Authority and was in-house counsel at Credit Suisse. In addition, Jill has also worked in leading international law firms in Hong Kong.

Jill's experience compasses all aspects of banking and securities laws and rules affecting listed companies. She is also active in new areas of regulatory scrutiny such as money-laundering, privacy, retail payment systems and competition. She advises on both on contentious and non-contentious issues, and often in both capacities for the same clients; making Howse Williams Bowers' regulatory practice unique in its ability to advise clients from all perspectives.

She has hands-on practical experience in liaising with regulators, advising on regulatory compliance and implementing changes to internal practices, conducting internal investigations and advising on corporate governance. Jill has represented clients, both institutions and individuals, in numerous regulatory investigations and disciplinary inquiries.

Jill is active in publishing books and articles, her most current project being an author of the Commentary and Annotations of the *Securities and Futures Ordinance*, to be published by Thomson Reuters. She is active in the financial services industry in several capacities, participating in the Editorial Board of *Hong Kong Practical Guidance* (published by LexisNexis) and serving on the HKICPA Disciplinary Panel and the British Chamber of Commerce Financial Markets Committee.

Registration:

Interested parties, please complete the registration form and return to Ms Kokko Ko via publn@icchkcbc.org or fax to (852)2869 0360.

Cancellation:

There is no refund for cancellation of booking initiated by the applicant. However, the registration may be transferred to another person from the same company or organization at no extra charge, subject to the prior consent of ICC-HK.

Please return this registration form to:
Fax : 2869 0360, OR, e-mail to
publn@icchkbc.org for seats
reservation, enquiry:
Ms Kokko Ko at Tel: 2973 0060

REGISTRATION FORM

Date: 6 November 2015 (Friday)
Time: 2:00 p.m. – 5:00 p.m.
Venue: 4/F, Pico Tower, 66 Gloucester Road, Wan Chai, HK
Medium: English
CPD: 2.5 Law Society CPD Points granted
Subject: **“Common breaches of Securities Law in Hong Kong and some practical prevention measures”**

Company: _____ Date: _____
Address: _____

As a matter of our practice, we intend to use your personal data provided by you and set out in this form for direct marketing of the services of International Chamber of Commerce - Hong Kong in relation to banking and financial services, arbitration, e-commerce, trade and investment, environment, competition, intellectual property and protection of the business interests of Hong Kong. However, we cannot so use your personal data without your consent.

Pursuant to Personal Data (Privacy) Ordinance, you have the right to ascertain whether we hold any of your personal data, access to such personal data and request us to correct such personal data.

Please sign in below signature box to confirm your consent to such use.

Registration fee: ➤ *You will enjoy early bird discount if register and pay on or before **23 October 2015**.*

- HK\$ 750**/person (regular)
 HK\$ 650/person (“early-bird” for public who register and pay on or before **23 October, 2015**.)
 HK\$ 550/person (for ICC-HK members)

	Participant's information	Participant's information	Participant's information
Name			
Position			
Department			
Tel No.			
E-mail			
Signature			

(E-mail address must be filled in. For extra participants over 3, please use a new registration form)

Total Payment: HK\$ _____ (non member) HK\$ _____ (ICC-HK member)

Payment Method:

<p>By cheque, please mark payable to: Int'l Chamber of Commerce – Hong Kong (Please send your cheque to: Rm 201, 2/F., OfficePlus@Sheung Wan, 93-103 Wing Lok Street, Sheung Wan, Hong Kong.)</p>	<p>By bank transfer: Int'l Chamber of Commerce – Hong Kong HSBC, 1 Queen's Road Central, Hong Kong. Account No: 500-423736-001 (Please send the bank-in slip to 2869 0360 or e-mail to: publn@icchkbc.org)</p>
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

