

Regulatory Issues for Listed Companies and some practical preventive measures

Law Society CPD Points will be applied for



Introduction:

Public reprimand, criminal sanctions, individual accountability and loss of reputation: these are some of the serious consequences of breaches of securities laws or listing rules. To avoid them or minimise the damages to you and your organisation, we have invited an experienced professional to talk on the topic. This seminar will discuss on the continuing obligations of listed issuers, the common breaches of the rules and some practical preventive measures.

Highlights:

The speaker, Ms Jill Wong, will cover:

- Continuing obligations of directors and issuers of listed companies
- Inside information disclosure
- Accuracy of information contained in prospectus and announcements
- Timely publication of announcements, interim and annual results
- Corporate governance
- Whistle-blowers and complaints
- Dealing with HKEx and SFC together with case studies and recent enforcement examples

Target audience:

Listed issuers' directors, authorised representatives, accountants, company secretaries, legal and compliance officers etc.

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, Who's Who Legal, 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 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. She is an author of the Commentary and Annotations of the Securities and Futures Ordinance, published by Thomson Reuters and which is being updated in 2016. 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.

Seminar Details

| | |
|---------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Date: | 28 October 2016 (Friday) |
| Time: | 2:30pm to 5:00pm |
| Venue: | Hong Kong Management Association, 4/F, Pico Tower, 66 Gloucester Road, Wan Chai, Hong Kong |
| Medium: | English |
| Cancellation: | There will be 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. |
| Seat Confirmation: | Seat confirmation is based on receipt of payment on a first come, first served basis. |
| 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 8 October, 2016.

- ✧ HK\$ 750 /person (regular)
- ✧ HK\$ 650 /person (*early bird discount if register and pay on 8 October, 2016*)
- ✧ HK\$ 550 /person (for ICC-HK members)

Registration

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

REGISTRATION FORM

Date: 28 October 2016 (Friday)
Time: 2: 30p.m. – 5 p.m.
Venue: Hong Kong Management Association, Pico Tower, 66
 Gloucester Road, Wan Chai, Hong Kong
Medium: English
CPD: Law Society CPD Points will be applied for
Subject: **“Regulatory Issues for Listed Companies and some practical preventive measures”**

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

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 projection 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 8 October, 2016.*

- HK\$ 750** /person (regular)
 HK\$ 650/person (“early-bird” for public who register and pay on or before 8 October, 2016.)
 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:

By cheque, please mark payable to:

Int'l Chamber of Commerce – Hong Kong
(Please send your cheque to: Flat B, 8/F., Wah Kit Commercial Centre, 300 Des Voeux Road Central, Sheung Wan, Hong Kong)

By bank transfer:

Int'l Chamber of Commerce – Hong Kong
HSBC, 1 Queen's Road Central, Hong Kong
Account No: 500-423736-001
(Please fax the bank-in slip to: 2869 0360 or e-mail to: publn@icchkcbc.org)