



Insider Trading

CPD point(s) :	
The Law Society of Hong Kong	: 2 points
The HKICPA	: 2 hours
The HKICS	: TBC

Insider trading stands apart as a top enforcement priority for the U.S. Securities and Exchange Commission (SEC) and federal prosecutors. High profile prosecutions of executives, bankers and hedge fund investors keep the issue in the public spotlight. This seminar will review the law of insider trading in the United States which makes it unlawful for executives to trade on the basis of material non-public information about their companies. Liability can extend to the executive's family members, friends and associates, and others who possess inside information provided to them on a confidential basis. Violators face severe civil and criminal penalties, up to and including imprisonment. The seminar will review doctrinal developments in the area with a focus on the evolving misappropriation theory and tipper/tippee liability. The seminar will also discuss recent federal court decisions that present new challenges to prosecutors pursuing charges against investors in "expert network" cases and its potential implications for Hong Kong investors and business executives.

Date	: Thursday, 18 June 2015
Time	: 10:00 a.m. - 12:00 noon (Registration starts at 9:30 a.m.)
Level	: Intermediate
Presenter	: Professor Renee Jones, Boston College, U.S.A
Moderator	: Professor C.K. Low, FCIS FCS, Associate Professor in Corporate Law, CUHK Business School
Language	: English
Venue	: Hong Kong International Arbitration Centre, 38/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong
Fee	: HK\$250 for members of the Law Society, HKICPA or HKICS HK\$450 for non-members

In association with:

Sponsors:

Insider Trading

18 June 2015

Enrolment Slip

To : The Law Society of Hong Kong, 3rd Floor, Wing On House, 71 Des Voeux Road Central, Hong Kong
(Attention: Ms. Goldie Ng - Tel: 2846 0585)

Name: Mr./Ms. _____
(full name)

I am a:

- Law Society Member
Solicitor No : _____ (if applicable)
Year of admission: _____ (if applicable)
Trainee : First / Second year (if applicable)
- HKICPA Member (membership number : _____)
 HKICS Member (membership number : _____)
 Non-member (please specify your occupation : _____)
(please tick as appropriate)

Do you wish to claim CPD points for your attendance?

- CPD points required from The Law Society of Hong Kong
 CPD points required from the HKICPA
 CPD points required from the HKICS
(please tick as appropriate)

Company/Firm: _____ Fax: _____

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I enclose a cheque made payable to "The Law Society of Hong Kong" for \$ _____ in payment for the above course.

I have read and accepted the Enrolment Conditions as stated below.

Signature: _____ Date: _____

Enrolment Conditions:

1. Enrolments will be accepted on a first-come-first-served basis.
2. The CPD Attendance Policy will apply to the Law Society's members. Bad Weather Policy will apply to all participants. Please enquire for further details.
3. The Law Society of Hong Kong reserves the right to alter the contents, speakers(s) or otherwise of this course, or cancel this course.
4. Places cannot be reserved by facsimile. Registrations will only be accepted upon full payment of the course fee and receipt of the enrolment slip.
5. **Course fees shall under no circumstances be refunded.** If you cannot attend a booked course, you may transfer your booking to a replacement delegate provided that the Law Society is notified in writing at least one clear day in advance of the scheduled course date.