



HKICPA seminar: Effective Risk Management: Dealing with Regulatory and Liquidators' Requests and Disciplinary Proceedings

Programme Code: S150929AS

With ever increasing regulatory activities in Hong Kong, professional accountants may have to devote substantial resources to deal with various regulators in Hong Kong, such as HKEx, SFC, Commercial Crime Bureau, ICAC, Financial Reporting Council and HKICPA. Managing their investigation or enquires promptly and properly is essential from a risk management perspective. This seminar will discuss the powers of the above regulators and the practical considerations to respond to their actions. Some of the issues may include secrecy restrictions imposed by legislation, documents to which legal professional privilege attaches and working papers kept in Mainland China.

In addition, the seminar will discuss the key issues rising from dealing with Hong Kong and overseas liquidators, as well as the current and future regimes for disciplinary actions against accountants in Hong Kong.

Date Tuesday, 29 September 2015

Time 6:30 p.m. – 8:30 p.m.

Venue Hong Kong Institute of CPAs,
27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong.

Format Seminar

Language English

Fee HK\$190 for HKICPA member or student; and IA/ HKIAAT member or student
HK\$180 for online enrolment
HK\$330 for non-member

Objectives

- Understand and manage the risks associated with handling regulatory requirements
- Discuss the practical aspects of dealing with liquidators
- Understand the different options when facing the regulators' disciplinary actions

Speakers **David Smyth**, Partner, RPC

Mr. Smyth is a commercial disputes lawyer, with a particular focus on defending professionals and advising in relation to professional indemnity, financial lines and other special risks claims. He has considerable experience of acting for accountants, lawyers, surveyors, stockbrokers and insurance brokers in the defence of claims as well as in respect of disciplinary and other regulatory investigations. He also regularly provides general risk management advice to professional service firms.

He is a member of various organizations such as: the Board of Directors of the Hong Kong Solicitors Indemnity Fund Limited, the Law Society of Hong Kong Professional Indemnity Advisory Committee and the Audit Profession Reform Working Group of the HKICPA.

Antony Sassi, Partner, RPC

Mr. Sassi is a commercial disputes lawyer, with a particular focus on professional indemnity and financial lines matters. He has handled some of the highest value and complex claims across the region and dealt with a myriad of regulatory and disciplinary matters in Hong Kong in relation to a wide spectrum of professions including: accountants, lawyers (solicitors and barristers), brokers, financial advisors, property agents, surveyors and other construction professionals.

Participants Partners and staff at accounting firms / Risk Managers

Competency Risk management;
Corporate governance

Rating Advanced Level (Please refer to the [Institute's online CPD Learning Resource Centre](#))

CPD hours 2



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HKICPA Event Enrolment Form (For Support Programme)

Finance & Operations Department,
 Hong Kong Institute of CPAs,
 37/F, Wu Chung House, 213 Queen's Road East, Hong Kong

**Please click here for online enrolment
 (for HKICPA members only)**

Payment & Enrolment Status Enquiry: 2287 7381
 e-mail: finance@hkicpa.org.hk
 Fax : 2893 9853

Course Information Enquiry:
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 e-mail: cpd@hkicpa.org.hk

FOR OFFICE USE

Deadline: 7 working days before the date of the programme

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	No.	Status (1)						
1								
2								
3								
4								
							Total (HK\$)	

* *Email address is for enrolment confirmation purpose. Please refer to note (2) for details.*

I am unemployed and not working. I am planning to rejoin the workforce.
 The Institute reserves the right to allocate places to enable the enjoyment of more members in this event.
 The Institute's decision is final. Applicant must submit the enrolment form 10 working days before the event.

Contact Person : _____ Tel No. : _____ Fax No. : _____ E-mail : _____

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I would like to have an official receipt. (Remarks: Official receipt will be sent to your email address provided above).

- Notes:**
- Membership Status: **NP** = Non-Practising, **P** = Practising, **IA** = International Affiliate, **S** = Student, **HKIAAT** = HKIAAT Student or Member, **GAA** = GAA Passport holder, **NM** = Non-Member.
 - Successful applicants will receive confirmation of registration by email at least 3 working days before the event. Unsuccessful applicants will also be notified around the same time. If you have not heard from the Institute regarding your registration 2 working days before the event and if you have other enquiries related to the programme, please make enquiry at 2287 7386 or 2287 7253.
 - NO ADMISSION TICKET will be issued. Please bring your HKICPA membership card or confirmation email for admission purpose.
 - All applications are on a first-come-first-served basis.
 - Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly not accepted. Please ensure all the particulars relating to payment are completed, otherwise the application cannot be processed. There is NO need to send in the enrolment form again if it has already been faxed to the Institute.
 - Please issue SEPARATE CHEQUE for each event.
 - NO REFUND/CANCELLATION will be entertained after the application is processed.
 - All scheduled events will be cancelled and postponed to a date to be announced in the event of typhoon signal no. 8 or above or if a Black Rainstorm warning is hoisted. For details of bad weather arrangement for CPD programmes, please refer to the Institute's homepage.
 - The Institute reserves the right to change the venue, date, speaker or to cancel the event due to unforeseen circumstances.
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 - No unauthorized audio or video recording is allowed at CPD events.

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