



Internal control and fraud risk management for securities brokerage firms

Programme Code: S100519S

Speaker	Miss Annie Chan FCPA, CFE, LL.M. Managing Director of Mazars Corporate Recovery & Forensic Services Limited Miss Chan has specialised in fraud investigation, regulatory compliance consulting, risk management and corporate advisory services for over 19 years. Her specific focus and expertise are in the areas of forensic accounting, corporate and fraud investigations, internal control reviews, anti-money laundering reviews, shareholder disputes and litigation support. Miss Chan was a Senior Manager, Enforcement Division, at the Securities and Futures Commission (SFC) and a Partner and Managing Director of a Big 4 firm. She is also a Board Member of the Association of Certified Fraud Examiners, Hong Kong Chapter.
Date	Wednesday, 19 May 2010
Time	6:30 p.m. – 8:00 p.m.
Venue	Hong Kong Institute of CPAs Training Centre, 27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong
Enrolment fee	HK\$190 for HKICPA member or student; and IA/HKIAAT's member or student HK\$180 for online enrolment HK\$330 for non-member
Language	English
Format	Seminar including real life cases
Competency	Financial Accounting and Reporting*
Rating	Foundation / Intermediate Level* - General awareness of the competency. Apply the knowledge in a limited range of situations. / Sound understanding of the knowledge area. The ability to apply knowledge and skills to a range of situations and able to deal with new situations.
Target audience	Directors, CFOs, CEOs, Compliance Officers or equivalent
CPD credit	1.5 hours

About the programme

Regulators are strengthening the regulation and requirements on internal control and regulatory compliance. Building an effective internal control system is essential. It minimises the firm's risks of suffering financial losses as a consequence of possible fraud and other compliance risks. In this seminar, the speaker will cover the following areas, with the use of real life examples.

Outline of the programme:-

- Internal control principles and practices
- SFC internal control guidelines
- Compliance with SFC and HKMA regulatory requirements
- Fraud risk management
- Case studies and experience sharing

* Please refer [here](#) for descriptions of other competencies and ratings.

HONG KONG INSTITUTE OF CERTIFIED PUBLIC ACCOUNTANTS

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Course Information Enquiry: 2287 7386
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Deadline: 7 working days before the date of the programme

No.	Membership		Full Name of Participant(s) (Block Letters)	Company	CT System ⁽²⁾	Programme Code	Fee (HK\$)	
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I am unemployed and planning to rejoin the workforce.

The Institute reserves the right to allocate places to enable the enjoyment of more members in this event.
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- Membership Status: **NP** = Non-Practising, **P** = Practising, **IA** = International Affiliate, **S** = Student, **HKIAAT** = HKIAAT Student or Member, **GAA** = GAA Passport holder, **NM** = Non-Member.
 - Please put a "✓" in this column to indicate you wish to register by Computerized Ticketing System. Instead of a ticket you will receive a confirmation receipt by post. Details of the system can be found at <http://www.hkicpa.org.hk/membership/cpd/ticket.php>.
 - All applications are on a first-come-first-served basis. In the event of over-subscription, priority will be given to members and students of HKICPA.
 - Application by fax will ONLY be accepted when payment is made by Visa/Master credit card. 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.
 - Cheque(s) should be made payable to "Hong Kong Institute of Certified Public Accountants". Please issue SEPARATE CHEQUE for each event.
 - Successful applicants will receive admission ticket or confirmation notice (for those who opt for Computerised Ticketing System) 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 days before the event and if you have other enquiries related to the programme, please make enquiry at 2287 7386 or 2287 7253.
 - NO REFUND/CANCELLATION will be entertained after the application is processed. If you are unable to attend the enrolled programme, you may nominate a substitute to take your place, provided that the Institute is notified in writing at least two working days prior to the event date.
 - 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 or speaker of the event due to unforeseen circumstances.
 - All personal data collected from the enrolment process, and administration of the CPD Programmes will only be used for the purpose of the administration of the course on which members are enrolled.

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