



HKICPA seminar: How to Handle Investigations by SFC & Law Enforcement Agencies (re-run)

Programme Code: S141112S

The seminar will cover:

- How Securities and Futures Commission (SFC) and law enforcement agencies usually start their investigations?
 - from SFC perspective
 - from ICAC perspective
 - from Commercial Crime Bureau (CCB) perspective
- What should you be aware of?
 - Accurate account of facts
 - Legal privilege
- What is the next step after received notice of investigation?
 - Interview
 - Right of silence
 - Claim against self-incrimination
- Likely outcome of the investigation
- Petition to the SFC and negotiation for settlement
- Case study

Date **Wednesday, 12 November 2014**

Time **6:30 p.m. – 9:30 p.m.**

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

Format Seminar including case study

Language English

Fee HK\$430 for HKICPA member or student; and IA/ HKIAAT member or student
HK\$420 for online enrolment
HK\$700 for non-member

Objectives

- Understand the power of SFC and other law enforcement agencies
- Understand the rights of a person who is being investigated
- Understand the risks of an accountant being implicated in a criminal/ regulatory investigation

Speaker **Mr. Stephen Wong**, Partner, Maurice W M Lee Solicitors

Mr. Wong spent over 8 years working in the Enforcement Division of SFC and has experiences in handling complex commercial crimes, including market manipulation, insider dealing and fraud.

Participants Accountants, CFOs, management of public companies

Competency Corporate governance

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

CPD hours 3



To confirm your CPD booking,
 just log on to "My CPA" at
<http://www.hkicpa.org.hk>

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:
 2287 7386 / 2287 7253
 e-mail: cpd@hkicpa.org.hk

FOR OFFICE USE

Deadline: 7 working days before the date of the programme

No.	Membership		Full Name of Participant(s) (Block Letters)	Company	Email address ^{*(2)} (Block Letters)	Programme Code	Fee (HK\$)	
	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 : _____

Payment Method (Please tick the appropriate box)

Cheque (no. _____) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA" ⁽⁶⁾

VISA / MasterCard BOC HKICPA UnionPay card

Card Number:																					Card Expiry Date (MM/YY):						
Cardholder's Name (block letters):														Cardholder's Signature:										Date:			

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.
 - Your personal data collected from the enrolment process and administration of courses will be used for the purpose of the administration of the course on which you are enrolled. Such data collected may be accessible by the Institute's officers, persons or committees processing the application and related matters. In addition, the Institute may use the collected data for statistical research and analysis and, if applicable, for validation of CPD hours. The Institute intends to use the personal data of your name, email address and correspondence address to inform you, where relevant, of CPD activities, members' benefits, goods, services, facilities and events organized or provided by the Institute or other organizations. Members and registered students may opt out of receiving such materials at any time by logging in via the following link <https://www.hkicpa.org.hk/en/members-area/comm-preference/>. Non-members may opt out of receiving such materials at any time by sending an email to the Institute at privacyofficer@hkicpa.org.hk or a letter to the Institute's privacy officer. For more information about the privacy policy of the Institute, please go to <http://www.hkicpa.org.hk/en/service-tools/privacy-policy/>
 - No unauthorized audio or video recording is allowed at CPD events.

For payment by cheque, please fill-in your postal address for refund in case the event is full or cancelled.
 (Remarks: For payment by credit card, refund will be made directly to your credit card.)

Name:	Name:
Address:	Address: