



## HKICPA/CFA Institute/HKSFA joint seminar: Applying Ethical Decision-Making Framework

Programme Code: S150122

More than ever before, investors want to trust those responsible for managing their assets. As an investment professional, you can earn your client's trust by demonstrating honesty, integrity and ethical conduct in your daily decisions and actions. The purpose of this seminar is to help you understand fundamental ethical principles through the application of a decision-making framework developed by CFA Institute.

Ethical issues are a normal and predictable part of most jobs. If you find yourself in a situation where the proper course of action is unclear, it does not mean that you have done something wrong. The ethical decision-making framework developed by CFA Institute was created to help you analyze and evaluate ethical situations before they become unmanageable or even destructive.

**Date** Thursday, 22 January 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 including case studies

**Language** English

**Fee** HK\$190 for HKICPA member or student; CFA Institute and HKSFA member or candidate;  
and IA/ HKIAAT member or student  
HK\$180 for online enrolment (for HKICPA members only)  
HK\$330 for non-member

**Objectives**

- Be familiar with the ethical decision-making framework developed by CFA Institute
- Know how to apply the ethical decision-making framework to choose an appropriate course of action

**Speaker** **Dr. Tony TAN, CFA**  
Head, Standards and Financial Market Integrity, CFA Institute

Dr. Tan leads CFA Institute efforts in advocacy, policy development, and regulatory outreach in Asia Pacific. Dr. Tan has worked more than 20 years in the international financial markets. He has been involved in financing projects in the oil and gas industry, advised central banks and developmental financial institutions on risk management issues, and ran a global capital markets trading operation. Prior to joining CFA Institute, Dr. Tan held an adjunct role at INSEAD, Singapore Management University, and Nanyang Technological University in Singapore and taught courses on ethics and corporate governance.

**Participants** For those who are working in financial services industry or accounting firms; and finance and accounting professionals from corporates

**Competency** Ethics and regulations

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

**CPD hours** 2



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

## HKICPA EVENT ENROLMENT FORM

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: <a href="mailto:finance@hkicpa.org.hk">finance@hkicpa.org.hk</a> Fax : 2893 9853	Course Information Enquiry: 2287 7386 / 2287 7253 e-mail: <a href="mailto:cpd@hkicpa.org.hk">cpd@hkicpa.org.hk</a>	<b>FOR OFFICE USE</b>
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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.

Contact Person : \_\_\_\_\_ Tel No. : \_\_\_\_\_ Fax No. : \_\_\_\_\_ E-mail : \_\_\_\_\_

CFA Institute Membership No. (if any) : \_\_\_\_\_ HKSFA Membership No. (if any): \_\_\_\_\_

**Payment Method** (Please tick the appropriate box)

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- Notes:**
- Membership Status: **NP** = Non-Practising, **P** = Practising, **IA** = International Affiliate, **S** = Student, **HKIAAT** = HKIAAT Student or Member, **GAA** = GAA Passport holder, **CFA** = CFA Institute Member, **HKSFA** = HKSFA Member, **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 and will be provided to CFA Institute/ HKSFA for the purpose of course administration. 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 <http://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](mailto: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.)	
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