



Hong Kong Institute of CPAs & Securities and Futures Commission

Joint Seminar on The Audit of Licensed Corporations

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| Date | Tuesday, 19 January 2010 |
| Time | 6:30 p.m. – 8:30 p.m. |
| Venue | Auditorium, Hong Kong Institute of Certified Public Accountants, 27th Floor, Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong |
| Chairperson | - Mr. Steve Ong , Director, Standard Setting, Hong Kong Institute of Certified Public Accountants |
| Speakers | - Mr. Carlyon Knight-Evans , Partner, Financial Services, Ernst & Young - Mr. Leo Lam , Director, Intermediaries Supervision Department, Securities and Futures Commission - Ms. Erica Siu , Senior Manager, Intermediaries Supervision Department Securities and Futures Commission - Mr. Frankie Fan , Senior Manager, Intermediaries Supervision Department Securities and Futures Commission |
| Admission Fee | HK\$190 for member / HK\$330 for non-member |
| Event Code | F100119 |
| CPD credit | 2 hours |
| Competency | Audit and Assurance |
| Rating | Intermediate Level* - 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. |
| Application Deadline | 14 January 2010 |

ABOUT THE SEMINAR

The seminar comprises two parts as follows:

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| (A) Practice Note | (B) Independent control reviews for stockbrokers |
| <ul style="list-style-type: none">• Highlight of the key reporting responsibilities of the auditors• Discussion of topical issues and areas of concern over applying PN 820• Impact of the key Auditing Standards issued | <ul style="list-style-type: none">• General objectives and scope• Tips for conducting a successful review |

REGISTRATION

To register, please complete the enclosed enrolment form and return it with full payment to the Institute. Enrolments will be accepted **on a first-come-first-served basis** with priority given to the Institute's members.

For enquiries, please contact:

- 2287 7034 (Michelle Tse) for event information;
- 2287 7379 (David Lok) for payment and enrolment status.

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

Acceptance is on a first-come-first-served basis. Confirmation of registration will be sent by e-mail. If confirmation has not been received on 15 January 2010, please contact Ms. Michelle Tse at 2287 7034 / Kay Choy at 2287 7220 or email: mcs.msce@hki CPA.org.hk



Hong Kong Institute of CPAs & Securities and Futures Commission -

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

Fax no: 2893 9853

Joint Seminar on The Audit of Licensed Corporations

Enrolment Form

| | |
|-----------------------|-------|
| FOR OFFICE USE | |
| Seq. no.: | _____ |
| Handled by: | _____ |

Registration deadline: 14 January 2010

[Please click here for online enrolment](#) (for HKICPA members only)

Please allow 4 days to process your application. To avoid delaying the process, please do NOT make any unnecessary enquiries. You can check your enrolment status at "MyCPA" at www.hkicpa.org.hk.

Please type or print: -

Name: (*Mr. / Mrs. / Ms.) _____ HKICPA Membership No.: _____
(if applicable)

Company name: _____

Position held: _____ Email: _____
(for enrolment confirmation purpose)

Telephone No.: _____ Fax No.: _____

Please ✓ as appropriate

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|--|---------------------------------|------------|------|
| Enrolment Fee: <input type="checkbox"/> HK\$ 190 Member <input type="checkbox"/> HK\$ 330 Non-member | | | |
| Payment by: <input type="checkbox"/> Cheque no.: _____ (Bank: _____) <input type="checkbox"/> Visa / Master credit card | | | |
| *Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants" | | | |
| For payment by credit card, please fill in the following: | Card no.: | | |
| Cardholder's Name : (Please print) | Card Expiry Date (month/year) : | | |
| Date : | Cardholder's Signature : | | |
| FOR OFFICE USE | Auth. code no. | Handled by | Date |
| | | | |

Note:

- No telephone reservation will be accepted.
- Full payment must be made before your enrolment will be processed.
- The closing date for enrolment is 14 January 2010.
- Confirmation email will be sent to successful participants by the Member & Corporate Services Department two working days prior to the event. If you do not hear from us by then, please contact Ms. Michelle Tse at 2287 7034
- Unsuccessful enrolment will be notified two days before the event with full refund by the Finance & Operations Department.
- Unless the event is cancelled due to unforeseen circumstances, no refund will be entertained after your enrolment has been processed.
- Bad weather arrangement: When typhoon signal no. 8 or above / black rainstorm warning is hoisted at or after 2:30 p.m. on the date of event. Admission fee will be refunded.

Payment & Enrolment Enquiry: 2287 7379
e-mail: finance@hkicpa.org.hk

Event Information Enquiry: 2287 7034 / 2287 7220
e-mail: mcs.msce@hkicpa.org.hk