

Regulatory and Law Enforcement Agencies' Investigations and Responding to Requests for Information

About the topic

This seminar provides a practical overview on investigations conducted by financial industry regulators and law enforcement agencies, including the Securities and Futures Commission, the Hong Kong Monetary Authority, the Independent Commission Against Corruption and the Commercial Crime Bureau of the Hong Kong Police. Topics to be covered will include:

- Investigation powers of regulators and law enforcement agencies;
- Dealing with requests for production of documents, including (i) the differences between regulatory production notices and search warrants; (ii) practical issues in collating documents sought by regulators and law enforcement agencies; and (iii) assertions of legal professional privilege;
- Dealing with requests for interviews or written answers to questions, including (i) differences between being a “suspect” and “witness”; (ii) third party confidentiality issues; (iii) various forms of privilege that may be claimed; and (iv) practical “do’s and don’ts” in preparing for and giving answers at interviews.

About the programme

Date & Time	23 June 2014, Monday 6:30 p.m. – 8:00 p.m.
Venue	Theatre of the Joint Professional Centre Unit 1, G/F, The Center 99 Queen's Road Central, Hong Kong <i>(Please click here for the location map)</i>
Fee	> CFG members - HK\$250 per person > Non-CFG members - HK\$350 per person Priority is given to CFG members. Not a CFG member? Click HERE to join.
CPD credit	1.5 hours (subject to actual attendance)
CPT credit	Please check with your compliance officer or other relevant personnel of your firm, as this event may be acceptable for CPT recognition for SFC licensed persons.
Language	English
Competency	Corporate Finance*
Rating	Intermediate level*
Application deadline	17 June 2014

Rundown

6:10 pm	Registration <i>(Refreshments provided)</i>
6:30 pm	Introduction
6:35 pm	Presentation by speaker
7:35 pm	Q&As / Discussion
7:55 pm	Closing remarks

Speaker

Mr. Kevin Yam
 Partner
 Kennedys

Chairperson

Mr. David Ngai
 CFG member
 Asia-Pacific Managing Director, Global FX
 Division, Global Financial Markets
 Association

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



About the speaker

Mr. Kevin Yam
Partner
Kennedys

Kevin joined Kennedys as a partner in 2013. His practice covers a wide range of areas, which include financial services regulatory investigations and litigation such as investigations into the roles and conduct of listing sponsors, underwriters and bookrunners; as well as investigations and litigation relating to allegations of market misconduct, bribery and/or fraud; allegations of investment mis-selling and unauthorised investments; shareholder and contractual disputes; professional negligence claims and related disciplinary proceedings; Hong Kong and potential PRC legal issues in producing documents to Hong Kong regulators, and the reporting of suspicious transactions.

In the course of his practice, Kevin has acted for international, regional and local financial institutions, publicly listed companies, professional services firms, individuals working in regulated industries or professions, and high profile public figures.

Educated at the University of Melbourne with undergraduate degrees in law and economics, and a postgraduate degree in economics, Kevin worked in Hong Kong as a trainee and as an associate at a market-leading disputes and regulatory team of an international law firm from 2002 to 2006. He then became an in-house legal counsel with a big four accounting firm in Hong Kong from 2006 to 2009. He re-joined the international law firm as a senior associate in 2009 and then joined Kennedys in 2013.

Kevin has published or co-published (with leading Hong Kong and Australian academics) articles on public law and law enforcement issues in English, Australian and Hong Kong law journals. He is also a member of the Hong Kong Law Society's Constitutional Affairs and Human Rights and Competition Law committees.

Registration

The number of places is limited. In the event of over-subscription, **places will be allocated on a first-come-first-served basis with priority given to CFGI members**. If you are not a CFGI member, click [HERE](#) to download a CFGI membership application form.

To register:

- **Online registration:** For the time being, this facility ([click here](#)) is available only to members who are Institute and CFGI members. If you are not both, please reply by post or fax.
- **By post or fax:** Complete the attached reply slip and return it to the Institute **on or before 17 June 2014**, together with a cheque made payable to the "Hong Kong Institute of Certified Public Accountants" or "HKICPA". Fax registration will be accepted for payment by any VISA/Master card or the BOC HKICPA UnionPay card. Confirmation of registration will be sent by e-mail. If confirmation has not been received by 20 June 2014, please contact Ms May Hung at 2287 7009 / Ms Canace Leung at 2287 7089.



CFIG seminar –Regulatory and Law Enforcement Agencies' Investigations and Responding to Requests for Information

[*Click here](#) for online enrolment (read conditions set out under "Registration")

23 June 2014

(Reply on or before 17 June 2014)

MCS-2 Event Code: CFIG140623

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

Fax no: 2893 9853

FOR OFFICE USE

Seq. no.:
Handled by:

Please allow 4 days to process your application. You can check your enrolment status it at "[My CPA](#)". Unsuccessful enrolment will be notified before the commencement of the event with full refund.

Please type or print:-

Name: (*Mr./ Mrs. /Ms.) _____ Institute membership no.: _____

Company name: _____

Position held: _____ Email: _____

Telephone no.: _____ Fax no.: _____

You may use a separate sheet to list out the name, position and Institute membership no. (if applicable) of additional participant(s) from the same firm/company as the above applicant.

Please "✓" as appropriate

Admission Fee:	<input type="checkbox"/> CFIG member: HK\$250 per person x _____ person(s) = HKD _____ (Cheque no. _____)
	<input type="checkbox"/> Non-CFIG member: HK\$350 per person x _____ person(s) = HKD _____ (Cheque no. _____)
Payment by:	<input type="checkbox"/> Cheque (separate cheque for CFIG members and non-CFIG members, respectively). Cheque made payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA"
	<input type="checkbox"/> VISA / Master card <input type="checkbox"/> BOC HKICPA UnionPay card
Card Number:	_____
Card Expiry Date (MM/YY):	_____
Cardholder's Name (block letters):	_____
Cardholder's Signature:	_____
Date:	_____
<input type="checkbox"/> I would like to have an official receipt. (Remarks: Official receipt will be sent to your email address provided above.)	

Notes:

- Enrolments are accepted on a first-come-first-served basis with **priority given to CFIG members**. Telephone reservations will not be accepted.
- Full payment must be made before applications will be processed. Application by fax will **ONLY** be accepted when payment is made by credit card. Cash is strictly **NOT** accepted.
- The closing date for enrolment is **17 June 2014**.
- Confirmation will be sent by e-mail. If you have not received any confirmation by 20 June 2014, please contact Ms May Hung, on 2287 7009, or Ms Canace Leung, on 2287 7089.
- Unless the event is cancelled due to unforeseen circumstances, no refunds will be given after applications have been processed.
- Bad weather arrangement: The seminar will be cancelled if typhoon signal no. 8 or above / black rainstorm warning is hoisted, as announced by the Hong Kong Observatory, at or after 2:30 p.m. on the date of the event. In the event of cancellation due to bad weather, the admission fee will be refunded.

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/>. **Please note that if you do opt out, you will no longer receive information about CFIG news and events.**

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

Event Information Enquiry: 2287 7009 / 2287 7089
e-mail: may@hkicpa.org.hk

For payment by cheque, please fill-in your postal address for refund in case the event is full or cancelled.

Name :	Name :
Address :	Address :