



Corporate Monitorship and Deferred Prosecution Agreement

About the topic

Companies might be able to avoid prosecution or reduce penalties if they agree to a corporate monitorship ("CM") which verifies a company's compliance with the formal agreements with the government, typically deferred prosecution agreements ("DPAs") or non-prosecution agreements ("NPAs"). The seminar will cover:

- What is/ are CM and DPAs/ NPAs? The US experience and the UK developments
- Monitoring the compliance regime, and financial controls including reviewing design and implementation of internal controls and testing
- Identifying suspicious transactions
- Background, key elements and risks of DPAs/ NPAs
- How companies earn DPAs/ NPAs
- Summary of recent DPAs/ NPAs

About the event

Date & Time	18 September 2014, Thursday 1:00 – 2:00 pm
Venue	HKICPA training centre 27 th Floor, Wu Chung House 213 Queen's Road East, Wanchai
Fee	HK\$150 per person for ForensIG members HK\$250 per person for Non-ForensIG members <i>Priority is given to ForensIG members.</i> <i>Not a ForensIG member? Click here to join.</i>
CPD credit	1 hour (subject to actual attendance)
Language	English
Competency	Forensic accounting*
Rating	Intermediate level*
Application deadline	12 September 2014

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

Rundown

12:30 pm	Registration (Sandwiches and drinks provided)
1:00 pm	Introduction
1:05 pm	Speakers' presentation
1:50 pm	Q&A / Discussion
2:00 pm	Closing

Speakers

Adam S. Goldberg
 Registered Foreign Lawyer
 (California), Gibson, Dunn &
 Crutcher

Keith Williamson
 Managing Director, Alvarez &
 Marsal Global Forensic and
 Dispute Services Limited

Chair

Guy Norman
 Member, ForensIG Management
 Committee, and Partner, Forensic &
 Dispute Services, Deloitte &
 Touche Financial Advisory
 Services



About the speakers

Adam S. Goldberg is an associate in the Hong Kong office of Gibson, Dunn & Crutcher. He practices in the firm's Litigation and White Collar Defense and Investigations Departments. He has extensive experience representing clients throughout Asia, and especially in China and Macau, in a wide variety of matters, including compliance counseling, internal and government investigations, and the compliance aspects of corporate acquisitions, private equity investments, and other business transactions.

Mr. Goldberg regularly assists multinational corporations in designing and implementing effective internal investigations, leading Chinese-language witness interviews and anti-corruption trainings, and creating robust compliance programs, controls, and training materials designed to foster compliance with global anti-corruption and anti-money-laundering obligations. He frequently represents clients in connection with investigations conducted by the DOJ and SEC, and also has substantial experience in complex business and intellectual property litigation at both the trial court and appellate court levels.

Prior to joining Gibson Dunn, Mr. Goldberg served as a law clerk to the Honorable Richard R. Clifton, United States Court of Appeals for the Ninth Circuit, in Honolulu, Hawai'i. He was also an associate at Irell & Manella LLP, where he was a member of the intellectual property, litigation, and appellate work groups.

Mr. Goldberg received his J.D. from the UCLA School of Law and served as Editor-in-Chief of the UCLA Law Review. He earned his A.B. with honors, magna cum laude, from Brown University, where he won departmental honors in East Asian Studies and published an honors thesis translating the 4th-century poetry of Tao Yuanming. Besides, Mr. Goldberg has extensive knowledge of Asia and has lived in Hong Kong, the PRC, and Taiwan. He is fluent in Mandarin Chinese.

Keith Williamson is a Managing Director and Head of Alvarez & Marsal's Global Forensic and Dispute Services team in Hong Kong and China. He brings more than 19 years of forensic and investigative accounting experience, specialising in investigations of fraud, corruption (US FCPA/UK Bribery Act) and regulatory issues, asset tracing and recovery, and litigation support and expert witness services for disputes.

Most recently at A&M, Mr. Williamson has been investigating allegations of US FCPA violations in China and the Asia-Pacific region, performing forensic accounting reviews of alleged fraudulent activity in Hong Kong and China, and acting as the UK high court appointed receiver of Russian assets that are the subject of a judgment debt in favour of a Kazakh bank.

Prior to joining A&M in 2011, Mr. Williamson spent six years with AlixPartners in London, where he most recently served as Managing Director conducting investigations and compliance reviews and providing dispute services across Europe, Africa and the Middle East. Mr. Williamson also spent 10 years with Deloitte's Forensic & Dispute Services team, including three years working in Asia from their Hong Kong office.

Mr. Williamson earned a bachelor's degree in Law from the University of Birmingham. He is a member of the Institute of Chartered Accountants in England and Wales and the Hong Kong Institute of Certified Public Accountants.

Registration

By post or fax: Complete the attached reply slip and return it to the Institute on or before 12 September 2014, together with full payment. Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA". Fax registration will be accepted for payment by any Visa/Master credit card or the BOC HKICPA UnionPay card.

Contact May Hung at 2287 7009 for enquiry.



ForensIG lunch seminar - Corporate Monitorship and Deferred Prosecution Agreement

Enrolment Form

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

18 September 2014
(Reply on or before 12 September 2014)

FOR OFFICE USE

Seq. no.:
Handled by:

Please allow 4 days to process your application. You can check your enrolment status 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 participants from the same firm/company as the above applicant.

Please "✓" as appropriate

Admission Fee: <input type="checkbox"/> HK\$150 per person (ForensIG members) X _____ person(s) = HK\$ _____ <input type="checkbox"/> HK\$250 per person (Non-ForensIG members) X _____ person(s) = HK\$ _____	
Payment Method: <input type="checkbox"/> Cheque (no. _____) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA" <input type="checkbox"/> VISA / MasterCard <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. 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 **12 September 2014**.
- You may consider your registration to be successful unless you receive notification from us to the contrary.
- 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 6:30 a.m. on the date of the event. In the event of cancellation due to bad weather, the admission fee will be refunded.

Personal data: 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/>.

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: