



Financial Services Interest Group (FSIG) Lunch Seminar

Recent regulatory developments in the Hong Kong securities market



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| Speaker | Mr. Rico Leung Senior Director, Supervision of Markets Division Securities and Futures Commission |
| Chairman | Mr. Mark Ho Convenor of FSIG Organising Committee |
| Date | 2 August 2010, Monday, 1:00 p.m. – 2:00 p.m. (Light sandwich lunch starts at 12:40 p.m.) |
| Venue | HKICPA Training Centre, 27th Floor, Wu Chung House, 213 Queen's Road East, Wan Chai. |
| Competency* | General Business and Professional Knowledge |
| 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. |
| Admission Fee | \$110 / HKICPA members \$160 / non-HKICPA members |
| CPD Hour | 1 hour |
| Language | English |
| Register by | 26 July 2010 |

* Details of [Competency and Rating](#) information

REGISTRATION

To register:

- Online registration (for HKICPA members only): [Click here](#) or visit www.hkicpa.org.hk
- By post or by fax: Complete the attached reply slip and return it to the Institute on or before **26 July 2010**, together with full payment. Cheque should be made payable to “Hong Kong Institute of Certified Public Accountants”.
- Fax registration will only be accepted if payment is made by any Visa / Master credit card. Acceptance is on a first-come-first-served basis. Confirmation of registration will be sent by email. If you have not received confirmation by 28 July 2010, please contact May Hung at 2287 7009 / Canace Leung at 2287 7089 or email: mcs.msce@hkicpa.org.hk.

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ABOUT THE SPEAKER

Mr. Rico Leung is currently Senior Director, Supervision of Markets Division of the Securities & Futures Commission (SFC). The Division is responsible for supervising the Hong Kong Exchanges and Clearing Limited in respect of its trading and clearing activities, authorisation of automated trading systems, managing the investor compensation funds and facilitating the development of the securities and futures markets. Rico has about 20 years experience in the securities and derivatives markets. Prior to joining the SFC in October 2000, he was Chief Operations Officer of HKFE Clearing Corporation Limited (a wholly-owned subsidiary of Hong Kong Futures Exchange) in charge of clearing operations and risk management of the derivatives market.

ABOUT THE SEMINAR

In the wake of the recent financial crisis, there have been various regulatory reform proposals underway in the US and Europe. While Hong Kong is less affected by this crisis, the SFC has been keeping a close eye on international developments to ensure that the regulatory regime in Hong Kong is effective and efficient. In addition, there are domestic issues that may call for regulatory changes. This seminar will examine some of the regulatory issues being proposed or considered by the SFC. They include:

1. Development of dark pools or alternative trading venues
2. Short selling regulation
3. Implementation of a scripless securities market



**Financial Service Interest Group (FSIG) Lunch Seminar-
Recent regulatory developments in the HK securities market
Enrolment form**

**Operation & Finance Department,
Hong Kong Institute of CPAs**

37th Floor, Wu Chung House,
213 Queen's Road East, Hong Kong.

Fax no: 2893 9853

Online enrolment (for HKICPA members only)

2 August 2010

*(Please reply on or before **26 July 2010**)*

FOR OFFICE USE

Seq. no.: -----

Handled by: -----

Please allow 4 days to process your application. In order not to delay the process, please DO NOT make any enquiries on your enrolment status. You can check it at "My CPA" at <http://www.hkicpa.org.hk>. Unsuccessful enrolment will be notified before the commencement of the event with full refund.

Please use BLOCK letters :-

Name: (*Mr./Mrs./Ms.) _____ Institute Membership No.: _____

Company Name.: _____

Position held: _____ Email: _____

Telephone No.: _____ Fax No.: _____

Admission Fee: \$110 / HKICPA members
 \$160 / non-HKICPA members

Payment by: Cheque no.: _____ (Bank: _____)
 Visa / Master credit card

**Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants"*

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| For payment by credit card, please fill in the following: | Card no.: | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Cardholder's Name : (Please print) | Card Expiry Date (month/year) : | Cardholder's Signature : | | | | | | | | | | | | | | | | | | |
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| FOR OFFICE USE | Auth. code no. | Handled by | | | | | | Date | | | | | | | | | | | | |
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Please put a "✓" if you require a receipt and indicate your choice of delivery:
 by email by post **(to the address as shown below)**

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| Name: | Name: |
| Address: | Address: |
| <input type="text"/> | <input type="text"/> |

Notes:

- Enrolments are accepted on a first-come-first-served basis.
- Full payment must be made before your application will be processed. No telephone reservation will be accepted.
- The closing date for enrolment is **26 July 2010**. However, the Institute has the discretion to accept late applications as it sees fit.
- Successful enrollees will receive confirmation on or before 28 July 2010 by email whereas unsuccessful applicants will receive full refund by mail.
- Unless the event is cancelled due to unforeseen circumstances or bad weather, no refund for withdrawal will be given after the enrolment has been processed.
- Bad weather arrangement: The event 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 event. In the event of bad weather, the admission fee will be refunded.
- The Institute reserves the right to change the venue and date of the event due to unforeseen circumstances.

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

Event Information Enquiry: 2287 7009 (May Hung)
e-mail: mcs.msce@hkicpa.org.hk