



Financial Services Interest Group (FSIG) Lunch Seminar

Consultation conclusions on the regulation of electronic trading

Speaker	Mr. Pabby Lee Senior Manager, Intermediaries Supervision Department, Securities and Futures Commission
Chairperson	Mr. Michael Chan Convenor, FSIG Organising Committee
Date	25 July 2013, Thursday, 1:00 p.m. – 2:00 p.m. (Light sandwich lunch starts at 12:40 p.m.)
Venue	HKICPA, 27th Floor, Wu Chung House, 213 Queen's Road East, Wan Chai.
Competency*	Industry 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
Recommended CPD hour	1 hour (subject to actual attendance)
Language	Cantonese
Register by	19 July 2013

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

ABOUT THE SEMINAR

- ✓ An outline of the consultation
- ✓ Scope and application of the regulation
- ✓ General requirements on electronic trading
- ✓ Specific requirements on internet trading, Direct Market Access (DMA) and algorithmic trading



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ABOUT THE SPEAKER

Mr. Pabby Lee is a senior manager in the Securities and Futures Commission's Intermediaries Supervision Department. He is responsible for supervising financial soundness and business conduct of corporations licensed with the Securities and Futures Commission.

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 enrolment form and return it to the Institute on or before **19 July 2013**, together with full payment. Cheque should be made payable to the "Hong Kong Institute of Certified Public Accountants" or "HKICPA".
- Fax registration will only be accepted if payment is made by any VISA / MasterCard or the BOC HKICPA UnionPay card. **Acceptance is on a first-come-first-served basis with priority given to HKICPA members.** Confirmation of registration will be sent by email. If you have not received confirmation by 22 July 2013, please contact May Hung at 2287 7009 / Canace Leung at 2287 7089 or email: may@hkicpa.org.hk



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Enrolment Form

**Finance & Operations 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)

25 July 2013

*(Please reply on or before **19 July 2013**)*

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:	<input type="checkbox"/> \$110 / HKICPA members	<input type="checkbox"/> \$160 / non-HKICPA members
Payment by:	<input type="checkbox"/> Cheque no.: _____ (Bank: _____)	
	<input type="checkbox"/> VISA / MasterCard	<input type="checkbox"/> BOC HKICPA UnionPay card

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

For payment by credit card, please fill in the following:	Card no.:																		
Cardholder's Name : (Please print)	Card Expiry Date (month/year) :	Cardholder's Signature :																	
		Date:																	
FOR OFFICE USE	Auth. code no.	Handled by					Date												

Please put a "✓" if you require a receipt and indicate your choice of delivery:
 by email by post **(to the address as shown below)**

Name:	Name:
Address:	Address:

- Notes:**
- Enrolments are accepted on a first-come-first-served basis with priority given to HKICPA members.
 - Full payment must be made before your application will be processed. No telephone reservation will be accepted.
 - The closing date for enrolment is **19 July 13**. However, the Institute has the discretion to accept late applications as it sees fit.
 - Successful enrollees will receive confirmation on or before 22 July 2013 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.

Personal Data: All information provided in this form will only be used by the Institute or its agent for the purposes of processing the registration and/or organising the event in which you have enrolled. Although you are not obliged to provide the data sought by this form, failing to do so may result in an inability to process your enrolment.
 Collected data will only be used for this specific event and promotion of any future similar events. By completing the form you agree that the staff of the Institute or its agent may use your personal data for the purposes specified above.
 The detailed privacy policy of the Institute is available at www.hkicpa.org.hk.

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

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