



Financial Services Interest Group (FSIG) Lunch Seminar

Investors' Protection – Revised Professional Investor Regime

| | |
|---------------------------------|---|
| Speaker | Ms. Yvonne Mok <i>Director, Intermediaries Supervision Department, Securities and Futures Commission</i> |
| Chair | Mr. Mark Ho Member, FSIG Organizing Committee |
| Date & Time | 17 November 2015, Tuesday 1:00 p.m. – 2:00 p.m. |
| Venue | HKICPA, 27th Floor, Wu Chung House, 213 Queen's Road East, Wan Chai. |
| Competency* | Industry knowledge |
| Rating* | Intermediate level |
| Admission Fee | \$130 (HKICPA member) \$220 (non-HKICPA member) <i>(Sandwiches and drinks will be provided at 12:30 p.m.)</i> |
| Recommended CPD hour | 1 hour (subject to actual attendance) |
| Language | English |
| Enrolment deadline | 10 November 2015 |

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

ABOUT THE SEMINAR

To enhance the protection afforded to professional investors who are not institutional investors, the Securities and Futures Commission ("SFC") commenced a comprehensive review of the existing Professional Investor Regime (the "Regime") in late 2011. It issued a consultation paper on the proposed amendments to the Regime in May 2013 and the consultation conclusions in September 2014. The amendments relating to the Regime will become effective in March 2016.

At the seminar, Ms. Mok will give an overview of the existing Regime under the law and the Code of Conduct for Persons Licensed by or Registered with the SFC, as well as the key features of the revised Regime.



Financial Services Interest Group (FSIG) Lunch Seminar

Investors' Protection – Revised Professional Investor Regime

ABOUT THE SPEAKER

Ms. Yvonne Mok, Director of the Intermediaries Supervision Department (ISD), SFC, first joined the SFC in June 1989 as a manager of ISD and was promoted to become a director in 2004. Prior to joining the SFC, she worked for KPMG, London, specializing in the securities industry.

Throughout her career, Ms. Mok plays an active role in formulating policies to govern intermediaries. Recently, she focuses on the on-site inspection of licensed corporations including investment banks and asset managers.

Ms. Mok is an associate member of the Institute of Chartered Accountants in England and Wales. She holds the Master of Business Administration from the City University Business School, London, majoring in Finance.

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 **10 November 2015**, 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 FSIG members.**
- If you are not a FSIG member, please [click here](#) to download the Interest Groups Enrolment Form. **No** registration fee is required.
- If you have not received the confirmation by **13 November 2015**, please contact May Hung at 2287 7009 / Canace Leung at 2287 7089 or email: may@hkicpa.org.hk.



MS Event Code: FSIG151117

FSIG Lunch Seminar -

**Investors' Protection –
 Revised Professional Investor Regime**

**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)

17 November 2015
 (Please reply on or before **10 November 2015**)

FOR OFFICE USE

Seq. no: -----
 Handled by: -----

Please allow 4 working days to process your application. You can check your enrolment status at "My CPA" at www.hkicpa.org.hk.

Please use BLOCK letters :-

Name: _____

Company Name: _____

Membership no.: _____ FSIG member: Yes No

Position: _____ Email: _____

Telephone: _____ Fax No.: _____

(Please tick the appropriate box)

| | | | |
|---|-------|--|-------|
| Admission Fee: <input type="checkbox"/> \$130 (HKICPA member) | | <input type="checkbox"/> \$220 (non-HKICPA member) | |
| <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 with priority given to FSIG members.
- Full payment must be made before your enrolment will be processed. No telephone reservation will be accepted.
- 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 **10 November 2015**.
- Successful enrollees will receive confirmation before 13 November by email, whereas unsuccessful enrollees will receive full refund. If you do not hear from us by then, please contact Ms. May Hung at tel : 2287 7009 or email : may@hkicpa.org.hk.
- Unless the event is cancelled due to unforeseen circumstances or bad weather, no refund for withdrawal will be given after your enrolment has been processed. The event is non-transferrable to other CPD course / participant.
- 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.
- The Institute reserves the right to change the venue, date or speakers and/or rundown of the event due to unforeseen circumstances.

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 (May Hung)
 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 : |
| | |
| | |