## Hong Kong Institute of CPAs & Securities and Futures Commission

### Joint Seminar on The Audit of Licensed Corporations

Date Tuesday, 19 January 2010

**Time** 6:30 p.m. – 8:30 p.m.

Venue Auditorium,

Hong Kong Institute of Certified Public Accountants,

27th Floor, Wu Chung House,

213 Queen's Road East, Wanchai, Hong Kong

**Chairperson** - **Mr. Steve Ong**, Director, Standard Setting,

Hong Kong Institute of Certified Public Accountants

**Speakers** - *Mr. Carlyon Knight-Evans*, Partner,

Financial Services, Ernst & Young

Mr. Leo Lam, Director,

Intermediaries Supervision Department, Securities and Futures Commission

- Ms. Erica Siu, Senior Manager,

Intermediaries Supervision Department Securities and Futures Commission

 Mr. Frankie Fan, Senior Manager, Intermediaries Supervision Department Securities and Futures Commission

Admission Fee HK\$190 for member / HK\$330 for non-member

Event Code F100119
CPD credit 2 hours

**Competency** Audit and Assurance

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.

**Application Deadline** 14 January 2010

#### **ABOUT THE SEMINAR**

The seminar comprises two parts as follows:

- (A) Practice Note
  - Highlight of the key reporting responsibilities of the auditors
  - Discussion of topical issues and areas of concern over applying PN 820
  - · Impact of the key Auditing Standards issued
- (B) Independent control reviews for stockbrokers
  - General objectives and scope
  - Tips for conducting a successful review

### REGISTRATION

**To register**, please complete the enclosed enrolment form and return it with full payment to the Institute. Enrolments will be accepted on a first-come-first-served basis with priority given to the Institute's members.

For enquiries, please contact:

- 2287 7034 (Michelle Tse) for event information;
- 2287 7379 (David Lok) for payment and enrolment status.
- \* Please refer here for descriptions of other competencies and ratings.

Acceptance is on a first-come-first-served basis. Confirmation of registration will be sent by e-mail. If confirmation has not been received on 15 January 2010, please contact Ms. Michelle Tse at 2287 7034 / Kay Choy at 2287 7220 or email: <a href="mailto:mcs.msce@hkicpa.org.hk">mcs.msce@hkicpa.org.hk</a>



# Hong Kong Institute of CPAs & Securities and Futures Commission -

## Joint Seminar on The Audit of Licensed Corporations

### **Enrolment Form**

Registration deadline: 14 January 2010

MCS2 Event Code: F100119

Finance & Operations Department, Hong Kong Institute of CPAs 37<sup>th</sup> Floor, Wu Chung House, 213 Queen's Road East, Hong Kong.

Fax no: 2893 9853

FOR OFFICE	E USE
Seq. no.:	
Handled by:	

## Please click here for online enrolment (for HKICPA members only)

Please allow 4 days to process your application. To avoid delaying the process, please do NOT make any unnecessary enquiries. You can check your enrolment status at "MyCPA" at www.hkicpa.org.hk.

Please type or	print	:-																_		
Name: (*Mr. / Mrs. / Ms.)				HKICPA Membership No.: _										(if applicable)						
Company name:													("	арр	iica	DIC)				
Position held:				Email:(for enrolment confirmation purpose)											<del>-</del>					
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For payment by credit card, please fill in the following:		Card no.:																		
Cardholder's Name : (Please print)			Card Expiry Date (month/year) :												•					
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### Note:

- 1. No telephone reservation will be accepted.
- 2. Full payment must be made before your enrolment will be processed.
- The closing date for enrolment is 14 January 2010.
- Confirmation email will be sent to successful participants by the Member & Corporate Services Department two
  working days prior to the event. If you do not hear from us by then, please contact Ms. Michelle Tse at 2287 7034
- 5. Unsuccessful enrolment will be notified two days before the event with full refund by the Finance & Operations Department.
- Unless the event is cancelled due to unforeseen circumstances, no refund will be entertained after your enrolment has been processed.
- 7. Bad weather arrangement: When typhoon signal no. 8 or above / black rainstorm warning is hoisted at or after 2:30 p.m. on the date of event. Admission fee will be refunded.

Payment & Enrolment Enquiry: 2287 7379 e-mail: finance@hkicpa.org.hk

Event Information Enquiry: 2287 7034 / 2287 7220 e-mail: mcs.msce@hkicpa.org.hk