

Internal Control Systems and Corporate Governance Compliance for Hong Kong Listed Companies (Re-run)

The Corporate Governance Code (in Appendix 14 of the Main Board Listing Rules and Appendix 15 of the Growth Enterprise Market Listing Rules) was updated in early 2012. The specific requirements concerning internal control review under Section C.2 request the board to ensure that the listed company maintains sound and effective internal controls to safeguard shareholders' investment and the listed company's assets. As a result, the directors should at least annually conduct a review of the effectiveness of the listed group's internal control systems and report to shareholders that they have done so in their Corporate Governance Report. The review should cover all material controls, including financial, operational and compliance control and risk management functions. The main objective of the workshop is to provide a general overview on how to build and review an effective internal control system as well as a strong corporate governance structure for a listed company. Topics include:

- Overview on Internal Control Integrated Framework developed by the Committee of Sponsoring Organizations of the Treadway Commission (COSO)
- Steps in conducting internal control review
- Importance of risk assessments
- Type of control testing
- On-going monitoring
- Overview on corporate governance requirements for Hong Kong listed companies
- Case study common internal control deficiencies and corporate governance weaknesses

Date Saturday, 21 September 2013

Time 9:30 a.m. to 12:30 p.m.

Venue Hong Kong Institute of CPAs Training Centre, 27/F., Wu Chung House

213 Queen's Road East, Wanchai, Hong Kong

Format Workshop

Language Cantonese

Fee HK\$420 (members)

HK\$680 (Non-members)

• Provide a general overview on how to build and review an effective internal control system as well as a strong corporate governance structure for a listed company.

Discuss the potential challenges on building the infrastructure of an internal control
and corrected governments.

system and corporate governance.

Speaker Mr. Roy Lo, Deputy Managing Partner, SHINEWING(HK) CPA Limited

Ms. Gloria So, Risk manager, SHINEWING Risk Services Limited

Participants Directors, Professional accountants, Financial Controllers and Company Secretaries

Competency Corporate Governance

Rating Intermediate Level

* Please refer here for the description of Other competencies and ratings.

CPD Hours 3



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Saturday, 21 September 2013

Registration deadline: 13 September 2013

Please click here for online enrolment

Finance & Operations Department, Hong Kong Institute of CPAs

MCS2 Event Code: WAC130921

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

Fax no: 2893 9853

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Note:

- Please complete the Enrolment Form and return it to the Finance & Operations Department on or before the deadline, 1. together with full payment.
- 2. Enrolment is accepted on a first-come-first-served basis. No telephone reservation will be accepted.
- 3. For credit card payment, please fax the enrolment form to 2893 9853. For payment by cheque, the enrolment will only be processed upon receipt of full payment.
- 4. Confirmation of registration will be sent by e-mail. If confirmation has not been received by 13 September 2013, please contact Ms. Yvonne Chew at 2287 7057 or email: tts@hkicpa.org.hk
- 5. If typhoon signal no.8 or above / Black rainstorm warning is hoisted at or after 6:30 a.m. on the date of event, the activity will be cancelled. Your admission fee will be refunded in the event of cancellation due to bad weather.
- 6. No refund will be entertained unless your enrolment is unsuccessful or the event is cancelled due to unforeseen circumstance.

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

Event Information Enquiry: 2287 7057

e-mail: tts@hkicpa.org.hk