



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)
Objective	<ul style="list-style-type: none">• 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 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

