



## HKICPA workshop: Audit of Licensed Corporations

Programme Code: W151029S

This workshop will provide an introduction to audits of licensed corporations which are regulated by the Hong Kong Securities and Futures Commission. In particular, the workshop will cover:

- Overview of the Hong Kong Securities and Futures Ordinance regulatory requirements
- Audit considerations for licensed corporations
- Highlights of HKICPA's Practice Note 820 "The Audit of Licensed Corporations and Associated Entities of Intermediaries" guidance
- Responsibilities of auditors under the Hong Kong Securities and Futures Ordinance

**Date** Thursday, 29 October 2015

**Time** 6:30 p.m. – 9:30 p.m.

**Venue** Hong Kong Institute of CPAs,  
27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong

**Format** Workshop

**Language** English

**Fee** HK\$750 for HKICPA member or student; and IA/ HKIAAT member or student  
HK\$1,500 for non-member

**Objectives**

- Highlight the audit considerations for licensed corporations
- Understand auditor's responsibilities under the Hong Kong Securities and Futures Ordinance

**Speakers** **Agnes Tso**, Partner, Financial Services, Ernst & Young

Ms. Tso has over 20 years' experience in providing assurance and business advisory services to financial services clients in Hong Kong. These include commercial and investment banks, securities brokerage houses as well as asset management companies. She is a panel member of the Securities Regulatory Liaison Group in the HKICPA and a member of the Hong Kong Securities and Investment Institute.

**Bernard Chau**, Senior Manager, Financial Services, Ernst & Young

Mr. Chau has over 10 years' experience in providing assurance and business advisory services to financial services clients in Hong Kong. These include commercial and investment banks, securities brokerage houses as well as asset management companies.

**Participants** Professional accountants of licensed corporations

**Competency\*** Auditing and assurance

**Rating\*** Foundation level

**CPD hours** 3

\* For descriptions of competency and rating, please refer to the [Institute's online CPD Learning Resource Centre](#).



**To confirm your CPD booking,  
 just log on to "My CPA" at  
<http://www.hkicpa.org.hk>**

### HKICPA Event Enrolment Form (For Support Programme)

Finance & Operations Department,  
 Hong Kong Institute of CPAs,  
 37/F, Wu Chung House, 213 Queen's Road East, Hong Kong

Payment & Enrolment Status Enquiry: 2287 7381  
 e-mail: [finance@hkicpa.org.hk](mailto:finance@hkicpa.org.hk)  
 Fax : 2893 9853

Course Information Enquiry:  
 2287 7386 / 2287 7253  
 e-mail: [cpd@hkicpa.org.hk](mailto:cpd@hkicpa.org.hk)

**FOR OFFICE USE**

**Deadline: 7 working days before the date of the programme**

No.	Membership		Full Name of Participant(s) (Block Letters)	Company	Email address <sup>*(2)</sup> (Block Letters)	Programme Code	Fee (HK\$)
	No.	Status <sup>(1)</sup>					
1							
2							
3							
4							

\* *Email address is for enrolment confirmation purpose. Please refer to note (2) for details.*

	Total (HK\$)	
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I am unemployed and not working. I am planning to rejoin the workforce.  
 The Institute reserves the right to allocate places to enable the enjoyment of more members in this event.  
 The Institute's decision is final. Applicant must submit the enrolment form 10 working days before the event.

Contact Person : \_\_\_\_\_ Tel No. : \_\_\_\_\_ Fax No. : \_\_\_\_\_ E-mail : \_\_\_\_\_

**Payment Method** (Please tick the appropriate box)

Cheque (no. \_\_\_\_\_) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA" <sup>(6)</sup>

VISA / MasterCard       BOC HKICPA UnionPay card

Card Number:		Card Expiry Date (MM/YY):	
Cardholder's Name (block letters):	Cardholder's Signature:	Date:	

I would like to have an official receipt. (Remarks: Official receipt will be sent to your email address provided above).

- Notes:**
- Membership Status: **NP** = Non-Practising, **P** = Practising, **IA** = International Affiliate, **S** = Student, **HKIAAT** = HKIAAT Student or Member, **GAA** = GAA Passport holder, **NM** = Non-Member.
  - Successful applicants will receive confirmation of registration by email at least 3 working days before the event. Unsuccessful applicants will also be notified around the same time. If you have not heard from the Institute regarding your registration 2 working days before the event and if you have other enquiries related to the programme, please make enquiry at 2287 7386 or 2287 7253.
  - NO ADMISSION TICKET will be issued. Please bring your HKICPA membership card or confirmation email for admission purpose.
  - All applications are on a first-come-first-served basis.
  - Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly not accepted. Please ensure all the particulars relating to payment are completed, otherwise the application cannot be processed. There is NO need to send in the enrolment form again if it has already been faxed to the Institute.
  - Please issue SEPARATE CHEQUE for each event.
  - NO REFUND/CANCELLATION will be entertained after the application is processed.
  - All scheduled events will be cancelled and postponed to a date to be announced in the event of typhoon signal no. 8 or above or if a Black Rainstorm warning is hoisted. For details of bad weather arrangement for CPD programmes, please refer to the Institute's homepage.
  - The Institute reserves the right to change the venue, date, speaker or to cancel the event due to unforeseen circumstances.
  - 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](mailto: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/>.
  - No unauthorized audio or video recording is allowed at CPD events.

For payment by cheque, please fill-in your postal address for refund in case the event is full or cancelled.  
 (Remarks: For payment by credit card, refund will be made directly to your credit card.)

Name:	Name:
Address:	Address: