Corporate Finance Interest Group



Corporate Finance Interest Group (CFIG) lunch seminar – Sharper Teeth for the SFC?

About the topic

The Securities and Futures Commission has become increasingly active in its mission to protect the investing public from market misconduct. Recent enforcement actions have resulted in larger fines, tougher sanctions, as well as new mechanisms to prosecute cases, such as that seen in the *Tiger Asia* case.

At this seminar, Mark Lin and Danny Leung of Hogan Lovells will discuss the SFC's recent regulatory actions, including the decisions in the cases mentioned below. They will also look at some practical aspects of managing risks.

- Tiger Asia Management v The SFC
- > The SFC v Stylands Holdings and others
- The SFC v Hontex International Holdings Company Limited

About the programme

Date & Time	24 September, Monday
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12:45 p.m. - 2:15 p.m.

Venue HKUST Business School

15/F, Hong Kong Club Building

3A Chater Road, Central

Dress code Smart Casual

Fee HK\$ 250 per person for CFIG members

HK\$ 380 per person for Non-CFIG members

Priority is given to CFIG members.

Not a CFIG member? Click HERE to join.

CPD credit 1.5 hours (subject to actual attendance)

CPT credit Please check with your compliance officer or

other relevant personnel of your firm, as this

event may be acceptable for CPT recognition for SFC licensed persons.

Language English

Competency Business Finance*

Rating Intermediate level*

Application deadline

18 September 2012

Rundown

12:20pm Registration

(Sandwiches & drinks provided)

12:45pm Introduction

12:50pm Presentation by

speakers

2:00pm Q&A / Discussion

2:15pm Closing remarks

Chairperson

Ms. Loretta WH Fong

Member, CFIG Management

Committee

Partner, Assurance,

PricewaterhouseCoopers

^{*} Please refer here for descriptions of the various ratings.



About the speakers

Mr. Mark Lin, Partner, Hogan Lovells

Mark specialises in commercial dispute resolution work, with a focus on disputes relating to the corporate and financial services sectors, including regulatory investigations and contentious regulatory work. Mark has recently led a team advising a lead distributor bank of structured products dealing with complaints, claims, regulatory investigations and parliamentary inquiries in the aftermath of the Lehmans collapse. He is experienced in handling cross border disputes, including international arbitrations and multi jurisdiction litigation. Mark is an advocate and has acted as counsel for clients in a number of international arbitrations in Hong Kong, London, Beijing, Singapore and Gothenburg. He has also acted for the Law Society as a prosecutor in disciplinary proceedings and was on the HKICPA's Disciplinary Panel A from 2008 to 2010.

Mark is widely recognised in legal directories as an outstanding practitioner, including:

- > Asia Pacific Legal 500 2006 2012 and PLC Which Lawyer? Yearbook 2012 as a Leading Individual in the financial services and regulatory practice;
- > Chambers Asia 2008 2012, Chambers Global 2006 2011 and PLC Which Lawyer? Yearbook 2006 2012 as a Leading Individual in the dispute resolution practice; and
- > Chambers Asia 2009 -2011, PLC Which Lawyer? Yearbook 2012 and Chambers Global 2006 2007 as a Leading Individual in the international arbitration practice.

Mr. Danny Leung, Consultant, Hogan Lovells

Danny is a Consultant in the Litigation, Arbitration and Employment practice of the Hong Kong office. He specialises in commercial litigation, financial services and regulatory work, including shareholders' disputes, banking disputes, regulatory compliance and investigations, directors' liability, employment, contentious insolvency, product liability, judicial review and disciplinary proceedings.

Registration

The number of places is limited (maximum capacity: 100 persons). In the event of over-subscription, places will be allocated on a first-come-first-served basis with priority given to CFIG members. If you are not a CFIG member, click HERE to download a CFIG membership application form.

To register:

- > Online registration: For the time being, this facility (click here) is available only to members who are both Institute and CFIG members. If you are not both, please reply by post or fax.
- By post or fax: Complete the attached reply slip and return it to the Institute on or before 18 September 2012, together with a cheque made payable to the "Hong Kong Institute of Certified Public Accountants". Fax registration will be accepted for payment by any Visa/Master credit card. Confirmation of registration will be sent by e-mail. If confirmation has not been received by 20 September 2012, please contact Ms May Hung at 2287 7009 / Ms Canace Leung at 2287 7089.



CFIG lunch seminar – Sharper Teeth for the SFC?

*Click here for online enrolment (if you are both HKICPA and CFIG member)

24 September 2012

(Reply on or before 18 September 2012)

MCS-2 Event Code: CFIG120924

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

Fax no: 2893 9853

FOR OFFIC	<u>E USE</u>
Seq. no.:	
Handled by:	

Please allow 4 days to process your application. In order not to delay the process, please DO NOT make any enquiries on your enrolment status. You can check it at "My CPA". Unsuccessful enrolment will be notified before the commencement of the event with full refund.

Please type or print:	-																
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Company name:																	
Position held:			Email:											_			
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Please "√" as appro	priate																
Admission Fee:	 □ HK\$250 per person (CFIG members) X person(s) = HKD □ HK\$380 per person (Non-CFIG members) X person(s) = HKD 																
Payment by:	□ Cheque no.*: (Bank:) □ Visa / Master credit card																
*Cheques should be m	ade payable to "Hong Kong Institut	te of Cert	ified Publ	c Accoun	tants"	'											
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Notes:

- Enrolments are accepted on a first-come-first-served basis with priority given to CFIG members. Telephone reservations will not be accepted.
- Full payment must be made before applications will be processed.
- 3. The closing date for enrolment is 18 September 2012.
- 4. Confirmation will be sent by e-mail. If you have not received any confirmation by 20 September 2012, please contact Ms May Hung, on 2287 7009, or Ms Canace Leung, on 2287 7089.
- 5. Unless the event is cancelled due to unforeseen circumstances, no refunds will be given after applications have been processed.
- 6. Bad weather arrangement: The seminar 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 the event. In the event of cancellation due to bad weather, the admission fee will be refunded.

Personal Data: All information provided in this form will only be used by the Institute or its agent for the purposes of processing the registration and/or organising the event in which you have enrolled. Although you are not obliged to provide the data sought by this form, failing to do so may result in an inability to process your enrolment. Collected data will only be used for this specific event and promotion of any future similar events. By completing the form you agree that the staff of the Institute or its agent may use your personal data for the purposes specified above. The detailed privacy policy of the Institute is available at <www.hkicpa.org.hk>.

Payment & Enrolment Status Enquiry: 2287 7381

e-mail: finance@hkicpa.org.hk

Event Information Enquiry: 2287 7009 / 2287 7089

e-mail: may@hkicpa.org.hk