

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 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 <i>Priority is given to CFIG members.</i> <i>Not a CFIG member? Click HERE to join.</i>
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 CFGI members**. If you are not a CFGI member, click [HERE](#) to download a CFGI 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 CFGI 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.

