

Shanghai-Hong Kong Stock Connect (滬港通)

About the topic

On 10 April 2014, the Securities and Futures Commission and the China Securities Regulatory Commission made a **joint announcement** regarding the in-principle approval for the development of a pilot programme, **Shanghai-Hong Kong Stock Connect (滬港通)**, for establishing mutual stock market access to enhance capital market connectivity between Mainland China and Hong Kong.

Under this cross-border initiative, the Stock Exchange of Hong Kong and Hong Kong Securities Clearing Company Limited work closely with Shanghai Stock Exchange and China Securities Depository and Clearing Corporation Limited to establish mutual market connectivity and related technical infrastructure in the form of stock market trading, clearing and settlement links to enable investors to trade eligible shares listed on the other's market through local securities firms or brokers.

At this seminar, Mr. Tae Yoo of HKEx will explain the key features of the Shanghai-Hong Kong Stock Connect and how this new development works, from an investor's perspective, including the trading, clearing, settlement and depository arrangements, how Hong Kong investors can participate, eligibility requirements, ... etc.

About the programme

Date & Time	17 September, Wednesday 6:30 p.m. – 8:00 p.m.
Venue	Theatre of the Joint Professional Centre Unit 1, G/F, The Center 99 Queen's Road Central, Hong Kong (Please click here for the location map)
Fee	> CFG members - HK\$250 per person > Non-CFG members - HK\$380 per person Priority is given to CFG members. Not a CFG 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	Corporate Finance*
Rating	Intermediate level*
Application deadline	11 September 2014

Rundown

6:10 pm	Registration (Refreshments provided)
6:30 pm	Introduction
6:35 pm	Presentation by speaker
7:35 pm	Q&As / Discussion
7:55 pm	Closing remarks

Speaker

Mr. Tae Yoo
Managing Director and Head of Client
Business Development & Fixed Income
and Currency Development
Global Markets Division
HKEx

Chairperson

Mr. Paul Chau
Member, Corporate Finance Committee
HKICPA
Managing Director, Global Coverage
BOCI Asia Limited

* Please refer [here](#) for descriptions of the various ratings and competencies.



About the speaker

Mr. Tae Yoo

**Managing Director and Head of Client Business Development &
Fixed Income and Currency (FIC) Development
Global Markets Division
Hong Kong Exchanges and Clearing**

Mr, Tae Yoo is the Managing Director and Head of Client Business development & Fixed Income and Currency Development department, which is responsible for the development of fixed income, currency and non-HK underlying equity derivatives products as well as the development of index solutions across the organization. The Global Markets division integrates the trading, market data, product development, index and issuer and client services practices across HKEx and LME.

Since joining HKEx in April of 2011 as co-head of platform development and strategy, Yoo was involved in various key strategic initiatives including OTC clearing, BRICS alliance and LME acquisition. He has 18 years of derivatives industry experience with 14 years at CME Group with various key roles in Chicago, Hong Kong and Singapore in Clearing Risk Management, Business Development & Strategy and Products & Services. Prior to joining CME, he was a futures market trader at Sumitomo Mitsui Bank (formerly Sakura Dellsher, Inc.) and at Goldman Sachs & Co. in Chicago.

Yoo holds a bachelor's degree in accounting and computer applications from the University of Notre Dame, MBA from the Stuart School of Business at the Illinois Institute of Technology, and GSAL program at the University of Chicago, Graduate School of Business. He has been named an inventor on nine U.S. patents on derivatives risk management applications.

Registration

The number of places is limited. In the event of over-subscription, **places will be allocated on a first-come-first-served basis with priority given to CFG members**. If you are not a CFG member, click [HERE](#) to download a CFG membership application form.

To register:

- **Online registration:** For the time being, this facility ([click here](#)) is available only to members who are Institute and CFG 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 11 September 2014**, together with a cheque made payable to the "Hong Kong Institute of Certified Public Accountants" or "HKICPA". Fax registration will be accepted for payment by any VISA/Master card or the BOC HKICPA UnionPay card. Confirmation of registration will be sent by e-mail. If confirmation has not been received by 16 September 2014, please contact Ms May Hung at 2287 7009 / Ms Canace Leung at 2287 7089.



MS Event Code: CFIG140917

CFIG seminar –

Shanghai-Hong Kong Stock Connect (滬港通)

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

[*Click here](#) for online enrolment (read conditions set out under "Registration")

17 September 2014

(Reply on or before 11 September 2014)

FOR OFFICE USE

Seq. no.:
Handled by:

Please allow 4 days to process your application. You can check your enrolment status it at ["My CPA"](#). Unsuccessful enrolment will be notified before the commencement of the event with full refund.

Please type or print:-

Name: (*Mr./ Mrs. /Ms.) _____ Institute membership no.: _____

Company name: _____

Position held: _____ Email: _____

Telephone no.: _____ Fax no.: _____

You may use a separate sheet to list out the name, position and Institute membership no. (if applicable) of additional participant(s) from the same firm/company as the above applicant.

Please "✓" as appropriate

Admission Fee:		<input type="checkbox"/> CFIG member: HK\$250 per person x _____ person(s) = HKD _____ (Cheque no. _____)	
		<input type="checkbox"/> Non-CFIG member: HK\$380 per person x _____ person(s) = HKD _____ (Cheque no. _____)	
Payment by:		<input type="checkbox"/> Cheque (separate cheque for CFIG members and non-CFIG members, respectively). Cheque made payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA"	
		<input type="checkbox"/> VISA / Master card <input type="checkbox"/> BOC HKICPA UnionPay card	
Card Number:		Card Expiry Date (MM/YY):	
Cardholder's Name (block letters):	Cardholder's Signature:	Date:	
<input type="checkbox"/> I would like to have an official receipt. (Remarks: Official receipt will be sent to your email address provided above.)			

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. Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly NOT accepted.
- The closing date for enrolment is **11 September 2014**.
- Confirmation will be sent by e-mail. If you have not received any confirmation by 16 September 2014, please contact Ms May Hung, on 2287 7009, or Ms Canace Leung, on 2287 7089.
- Unless the event is cancelled due to unforeseen circumstances, no refunds will be given after applications have been processed.
- 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 2:30 p.m. on the date of the event. In the event of cancellation due to bad weather, the admission fee will be refunded.

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 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/>. Please note that if you do opt out, you will no longer receive information about CFIG news and events.

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

For payment by cheque, please fill-in your postal address for refund in case the event is full or cancelled.

Name :	Name :
Address :	Address :