

Hong Kong Institute of Certified Public Accountants 香港會計師公會

## Internal Controls System and Corporate Governance Compliance for Hong Kong Listed Company

The Corporate Governance Code on Appendix 14 of the Main Board Listing Rules and Appendix 15 of the Growth Enterprise Market Listing Rules is updated in early 2012. The specific requirements concerning internal controls review under Section C.2 request the board should 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 controls 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 controls and risk management functions. The main objective of the workshop is to provide a general idea on how to build up and review an effective internal controls system as well as a strong corporate governance structure for a listed company. Topics include:

- Overview on Internal Controls Integrated Framework developed by the Committee of Sponsoring Organizations of the Treadway Commission (COSO)
- Steps in conducting internal controls review
- Importance on risk assessments
- Type of control testing
- On-going monitoring
- Overview on corporate governance requirements for Hong Kong Listed Company
- · Cases sharing common internal controls deficiencies and corporate governance weaknesses

| Date         | Saturday, 9 March 2013  |
|--------------|---|
| Time         | 9:30 a.m. – 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          | \$ 420 (members)<br>\$ 680 (Non-members)  |
| Objectives   | <ul> <li>Provide a general idea on how to build up and review an effective internal controls system as well as a strong corporate governance structure for a listed company.</li> <li>Discuss the potential challenges on building the infrastructure of internal control system and corporate governance.</li> </ul> |
| Speaker      | Mr. Roy Lo, Deputy Managing Partner, SHINEWING (HK) CPA Limited<br>Ms. Gloria So, Risk Manager, SHINEWING Risk Services Limited   |
| Participants | Directors, Professional accountants, Financial Controllers and Company Secretary  |
| Competency   | Financial Accounting and Reporting  |
| Rating       | Intermediate Level<br>* Please refer <u>here</u> for descriptions of other competencies and ratings.  |
| CPD hours    | 3   |

| Internal Controls System and Corporate Governance                     |  |                     |  |   |         |              |          |       |    |   |  |
|---|--|---------------------|--|---|---------|--------------|----------|-------|----|---|--|
| Compliance for Hong Kong Listed Company                               |  |                     |  |   |         |              |          |       |    |   |  |
| 9 March 20  | 013  |                     |  |   |         |              |          |       |    |   |  |
| Please click h  | ment CPA   |                     |  | Hong Kong Institute of<br>Certified Public Accountants<br>香港會計師公會 |         |              |          |       |    |   |  |
| (for HKICPA memb  |  |                     | Finance & Operations Department,<br>Hong Kong Institute of CPAs<br>37th Floor, Wu Chung House,<br>213 Queen's Road East, Hong Kong<br>Fax no: 2893- 9853 |   |         |              |          |       |    |   |  |
| Name: (*Mr. / Mrs.  | / Ms.)   |                     | HKICPA M   | embers  | hip No  | :            |          |       |    | _ |  |
| Company name:   |  |                     |  |   |         | (1           | f applic | able) |    |   |  |
| Position held:  |  | Em                  | ail:   |   |         |              |          |       |    |   |  |
|   |  |                     | (f   | or enrol  | lment c | onfirma      | ation pl | irpos | e) |   |  |
| Telephone No.:  |  | Fax I               | No.:   |   |         |              |          |       |    |   |  |
| Please mark a "✔" agai  | inst the session(s) for which you wis  | sh to apply         |  |   |         |              |          |       |    |   |  |
| Saturday, 9 March 2013  |  |                     |  |   |         |              |          |       |    | Τ |  |
|   |  | [WASI1303           | 09]  |   |         |              |          |       |    |   |  |
| Admission Ess   |  |                     |  |   |         |              |          |       |    |   |  |
| Admission Fee:  | <ul> <li>HK\$ 420 per person (HKICPA members)</li> <li>HK\$ 680 per person (Non-HKICPA members)</li> </ul> |                     |  |   |         |              |          |       |    |   |  |
| Payment by:         Cheque no.:         (Non-initial Armenibers)      |  |                     |  |   |         |              |          |       |    |   |  |
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| *Cheque should be m   | nade payable to "Hong Kong Ins   | stitute of Certifie | d Public Ac  | countan   | nts"    |              |          |       |    |   |  |
| For payment by credit card, please fill in the following:             |  | Card no.:           |  |   |         |              |          |       |    |   |  |
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| Date : Cardholder's Signature :                                       |  |                     |  |   |         |              |          |       |    |   |  |
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Note:

- 1. Please complete the Enrolment Form and return it to the Finance & Operations on or before the deadline, together with full payment.
- 2. Enrolment is accepted on a first-come-first-served basis. No telephone reservation will be accepted.
- 3. For credit card payment, please fax the enrolment form to 2893-9853. For payment by cheque, the enrolment will only be processed upon receipt of full payment.
- 4. Confirmation of registration will be sent by e-mail. If confirmation has not been received 3 days prior to the event date, please contact Ms. Yvonne Chew at 2287-7057 or email: <u>tts@hkicpa.org.hk</u>
- 5. If typhoon signal no.8 or above / Black rainstorm warning is hoisted at or 6:30 a.m. on the date of event, the activity will be cancelled. Your admission fee will be refunded in the event of cancellation due to bad weather.
- 6. No refund will be entertained unless your enrolment is unsuccessful or the event is cancelled due to unforeseen circumstance.
- 7. All personal data collected from the enrolment process, and administration of the programmes will only be used for the purpose of the administration of the course on which members are enrolled.

Payment & Enrolment Status Enquiry: 2287-7381 e-mail: finance@hkicpa.org.hk Event Information Enquiry: 2287-7057 e-mail: tts@hkicpa.org.hk