



## 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

<b>Date</b>	Saturday, 9 March 2013
<b>Time</b>	9:30 a.m. – 12:30 p.m.
<b>Venue</b>	Hong Kong Institute of CPAs Training Centre, 27/F., Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong.
<b>Format</b>	Workshop
<b>Language</b>	Cantonese
<b>Fee</b>	\$ 420 (members) \$ 680 (Non-members)
<b>Objectives</b>	<ul style="list-style-type: none"><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>
<b>Speaker</b>	Mr. Roy Lo, Deputy Managing Partner, SHINEWING (HK) CPA Limited Ms. Gloria So, Risk Manager, SHINEWING Risk Services Limited
<b>Participants</b>	Directors, Professional accountants, Financial Controllers and Company Secretary
<b>Competency</b>	Financial Accounting and Reporting
<b>Rating</b>	Intermediate Level * Please refer <a href="#">here</a> for descriptions of other competencies and ratings.
<b>CPD hours</b>	3

