



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

Financial Services Interest Group (FSIG) Lunch Seminar

Topic : **REGULATORY FRAMEWORK FOR ADDRESSING
ANALYST CONFLICTS OF INTEREST**

Speaker : Ms. Lucinda Wong, Director of Licensing,
Securities and Futures Commission

Chairman : Mr. Mark Ho, Convenor of the FSIG Executive Committee

Date : 10 June 2005, Friday

Time : 1:00 p.m. - 2:00 p.m. (Sandwiches and beverages will be
served at 12:45 p.m.)

Venue : Hong Kong Institute of CPAs Meeting & Training Centre,
Room 1205, 12/F, Tower Two, Lippo Centre,
89 Queensway, Hong Kong.

Admission Fee : HKD70 per person

HKICPA CPD Credit Hour : 1 hour

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About the Seminar

This presentation will cover the following:

- Key conflicts issue
- Philosophy behind the new guidelines
- Scope of framework
- Impact on analysts and their research
- Impact on firms with research function
- Analysts in media appearances
- Investor education

About the Speaker

Ms. Lucinda Wong is the Director of Licensing of the Securities and Future Commission. She has extensive experience in financial services holding chief Operations positions previously in the investment banking arm of Standard Chartered, NatWest Markets, Rabobank and the e-bank of OCBC.

Ms. Wong has a Master of Business (e-commerce) from the Curtin University of Technology, Australia and a Bachelor of Social Sciences from the University of Hong Kong.

Ms. Wong is a member of the Exam Committee of the Hong Kong Securities Institute, a member of the Banking and Finance Industry Training Board of the Vocational Training Council and an Associate of the Chartered Institute of Bankers, United Kingdom.

Registration

The admission fee for attending the lunch seminar is HKD70 per person. The number of places is limited and priority will be given to FSIG members in case of over-subscription. For members who wish to attend the seminar, please complete the attached reply slip and return it **by post or by fax to the Institute for registration on or before Wednesday, 8 June 2005**, together with a cheque payable to "Hong Kong Institute of Certified Public Accountants". Enrolment by fax is only accepted for visa card payments.

No further confirmation letter will be sent out unless your reservation of seat is unsuccessful. Should you have any questions on the above, please contact Ms. May Hung at **2287 7009** in the first instance.

