



Financial Services Interest Group (FSIG) Lunch Seminar

Proposed regulatory regime for the over-the-counter ("OTC") derivatives market in Hong Kong

Speaker	Ms. Daphne Doo Director of Supervision of Markets Division Securities and Futures Commission
Chairperson	Mr. Mark Ho Member, FSIG Organising Committee
Date & Time	2 December 2014, Tuesday 1:00 p.m. – 2:00 p.m.
Venue	HKICPA, 27th Floor, Wu Chung House, 213 Queen's Road East, Wan Chai.
Competency*	Industry knowledge
Rating*	Intermediate level
Admission Fee	\$130 (HKICPA member) \$220 (non-HKICPA member) (Sandwiches and drinks start at 12:30 p.m.)
Recommended CPD hour	1 hour (subject to actual attendance)
Language	English
Enrolment deadline	24 November 2014

* Details of [Competency and Rating](#) information

ABOUT THE SEMINAR

In line with global efforts, the Hong Kong Monetary Authority and the Securities and Futures Commission have been working with the Hong Kong Government and stakeholders on developing a regulatory regime for the OTC derivatives market in Hong Kong.

At the seminar, in addition to the recent [consultation on reporting and related record keeping rules](#) on OTC derivative transactions, Ms. Daphne Doo will also cover the following issues:

- ✧ G20 commitments on reforming the OTC market
- ✧ Securities and Futures (Amendment) Ordinance 2014
- ✧ Mandatory reporting, clearing and trading
- ✧ New and expanded regulatory activities
- ✧ Risk mitigation measures (margin and non-margin)
- ✧ Trade repositories, central counterparties for clearing and electronic trading platforms
- ✧ Cross-border issues



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ABOUT THE SPEAKER

Ms. Daphne Doo is a director of Supervision of Markets Division of the Securities and Futures Commission ("SFC"). Her primary responsibilities involve developing policies for new market regulations.

Ms. Doo joined the SFC in the summer of 2001. Previously, she was a Managing Director at Bankers Trust based in Hong Kong and worked for Citicorp and Morgan Stanley in London. Her investment banking experiences cover a variety of control and support functions. Earlier in her career, Ms. Doo worked as an auditor with Ernst and Whinney in London.

Ms. Doo graduated from the University College London, University of London with a first-class honors Bachelor of Science degree majoring in Statistics and Computer Science. Ms. Doo is a Chartered Accountant in England and Wales and a fellow member of the Hong Kong Institute of Certified Public Accountants.

REGISTRATION

To register:

- Online registration (for HKICPA members only): [Click here](#) or visit www.hkicpa.org.hk
- By post or by fax: Complete the attached enrolment form and return it to the Institute on or before **24 November 2014**, together with full payment. Cheque should be made payable to the "Hong Kong Institute of Certified Public Accountants" or "HKICPA".
- Fax registration will only be accepted if payment is made by any VISA / MasterCard or the BOC HKICPA UnionPay card. **Acceptance is on a first-come-first-served basis with priority given to FSIG members.**
- If you are not the FSIG member, please click [HERE](#) to download the FSIG membership application form. **NO** registration fee is required.
- If you have not received the confirmation by **27 November 2014**, please contact May Hung at 2287 7009 / Canace Leung at 2287 7089 or email: may@hkicpa.org.hk.



MS Event Code: FSIG141202

FSIG Lunch Seminar -

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**Finance & Operations Department,
 Hong Kong Institute of CPAs**

37th Floor, Wu Chung House,
 213 Queen's Road East, Hong Kong.

Fax no: 2893 9853

Online enrolment (for HKICPA members only)

2 December 2014

*(Please reply on or before **24 November 2014**)*

FOR OFFICE USE

Seq. no.: _____

Handled by: _____

Please allow 4 days to process your application. You can check it at "My CPA" at <http://www.hkicpa.org.hk>. Unsuccessful enrolment will be notified before the commencement of the event with full refund.

Please use BLOCK letters :-

Name: _____

Company Name.: _____

HKICPA Membership no.: _____

FSIG member: Yes No

Position _____

Email: _____

Telephone _____

Fax No.: _____

(Please tick the appropriate box)

Admission Fee: <input type="checkbox"/> \$130 (HKICPA member)		<input type="checkbox"/> \$220 (non-HKICPA member)	
<input type="checkbox"/> Cheque (no. _____) payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA"			
<input type="checkbox"/> VISA / MasterCard		<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. <i>(Remarks: Official receipt will be sent to your email address provided above.)</i>			

Notes:

- Enrolments are accepted on a first-come-first-served basis with priority given to FSIG members.
- Full payment must be made before your application will be processed. No telephone reservation will be accepted.
- The closing date for enrolment is **24 November 2014**. However, the Institute has the discretion to accept late applications as it sees fit.
- Successful enrollees will receive confirmation on or before 27 November 2014 by email whereas unsuccessful applicants will receive full refund by mail.
- Unless the event is cancelled due to unforeseen circumstances or bad weather, no refund for withdrawal will be given after the enrolment has been processed.
- Bad weather arrangement: The event 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 6:30 a.m. on the date of event. In the event of bad weather, the admission fee will be refunded.
- The Institute reserves the right to change the venue, date and / or speaker of the event due to unforeseen circumstances.

Personal Data: 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/>

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

Event Information Enquiry: 2287 7009 (May Hung)
 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 :	_____