



Hong Kong Institute of CPAs / Securities and Futures Commission Joint Seminar on PN 820 – The Audit of Licensed Corporations and Associated Entities of Intermediaries

Date	Saturday, 12 January 2008
Time	9:30 a.m. – 11:30 a.m.
Venue	Auditorium, Hong Kong Institute of Certified Public Accountants, 27th Floor, Wu Chung House, 213 Queen's Road East, Wan Chai.
Speakers	- Mr. Colin Shaftesley , Partner, Financial Services Practice, PricewaterhouseCoopers Hong Kong - Mr. Raymond Wong , Associate Director, Intermediates Supervision Department, Securities and Futures Commission
Admission Fee	HK\$180 for member HK\$330 for non-member
CPD credit	2 hours
Application Deadline	9 January 2008

ABOUT THE SEMINAR

The seminar comprises two parts as follows:

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| (A) Practice Note | (B) Reporting to the Securities and Futures Commission |
| <ul style="list-style-type: none">• Description of Practice Note (PN) 820 covering the key areas and issues within the Practice Note• Highlight of the key reporting responsibilities of the auditors• Discussion of topical issues and areas of concern over applying PN 820• Impact of the key Auditing Standards• Updates in Exposure Draft of PN 820 | <ul style="list-style-type: none">• Scope of audit specified in the Securities and Futures (Accounts and Audit)• Description of reporting requirements including the Audit Questionnaire• Discussion of the direct reporting requirements to the SFC within the Securities and Futures Ordinance• Update on regulatory development for licensed corporations |

ABOUT THE SPEAKER

Mr. Colin Shaftesley has been with PricewaterhouseCoopers in Hong Kong since 1988. He has significant experience of working with senior executives of investment banks and regulators in Hong Kong. During his time in Hong Kong Colin was seconded to the Securities and Futures Commission for eighteen months. Colin has been a member for the last eleven years of the Hong Kong Institute of Certified Public Accountants' Expert Panel on Securities. Colin has a degree in Business studies from Sheffield University in the UK and is currently a fellow of the Institute of Chartered Accountants in England and Wales and the Hong Kong Institute of Certified Public Accountants.

Mr. Raymond Wong has been a long serving member of the Intermediaries Supervision Department of the Commission. Mr. Wong has very wide experience in both policy and operational aspects of supervising an array of market intermediaries in the securities, futures and leveraged foreign exchange sectors. Mr. Wong is currently responsible for on-site inspection of licensed corporations to assess compliance with regulatory requirements, and identify malpractices and internal control deficiencies. A Chartered Accountant by professional training, Mr. Wong also got degrees in Law and Commerce.

REGISTRATION

To register:

- Online registration (recommended): [Click here](#) or visit www.hkicpa.org.hk
- By post or by fax: Complete the attached reply slip and return it to the Institute on or before **9 January 2008**, together with full payment. Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants". Fax registration will be accepted only if payment is made by any Visa/Master credit card.

Acceptance is on a first-come-first-served basis. Confirmation of registration will be sent by e-mail. If confirmation has not been received on 11 January 2008, please contact Ms. Peggy Kwan at 2287 7058 / May Hung at 2287 7009 or email: peggy@hkicpa.org.hk / may@hkicpa.org.hk



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Date: 12 January 2008

Enrolment Form

Registration deadline: 9 January 2008

FOR OFFICE USE

Seq. no.: _____

Handled by: _____

[Please click here for online enrolment](#) (for HKICPA members only)

Please type or print: -

Name: (*Mr. / Mrs. / Ms.) _____ HKICPA Membership No.: _____
(if applicable)

Company name: _____

Position held: _____ Email: _____
(for enrolment confirmation purpose)

Telephone No.: _____ Fax No.: _____

Additional Participant(s):

Name	HKICPA Membership No. (if applicable)	Company Name	Position held
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____

Please ✓ as appropriate

Admission Fee: <input type="checkbox"/> HK\$ 180 per person (HKICPA members) X _____ person(s) = HKD _____			
<input type="checkbox"/> HK\$ 330 per person (Non-HKICPA members) X _____ person(s) = HKD _____			
Payment by: <input type="checkbox"/> Cheque no.: _____ (Bank: _____)			
<input type="checkbox"/> Visa / Master credit card			
*Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants"			
For payment by credit card, please fill in the following:		Card no.:	_____
Cardholder's Name : (Please print)		Card Expiry Date (month/year) :	
Date :		Cardholder's Signature :	
FOR OFFICE USE	Auth. code no.	Handled by	Date
	_____	_____	_____

Note:

- Enrolments are accepted on a first-come-first-served basis. No telephone reservation will be accepted.
- The closing date for enrolment is 9 January 2008.
- Confirmation will be sent by e-mail unless your application for registration is unsuccessful. If you do not receive it by 11 January 2008, please contact Ms. Peggy Kwan at 2287 7058 or Ms. May Hung at 2287 7009.
- Unless the seminar is cancelled due to unforeseen circumstances, no refund will be given after your registration has been confirmed.
- 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 6:30 a.m. on the date of seminar. Admission fee will be refunded.