

## Chief Officers Series

### The Ever Changing Corporate Governance Landscape and the Evolving Role of INEDs in Company Boards



**Speaker:**

**Mr Patrick Sun**

Chairman

The Chamber of Hong Kong Listed Companies

Outline:

- Discuss recent corporate governance changes and their impact on listed companies in Hong Kong
- Explore the role played by INEDs amidst company efforts to improve corporate governance performance against increasingly stringent regulatory requirements
- Analyse board functionings of local companies versus state-owned enterprises

**Date:**

Thursday, 29 May 2014

**Time:**

8:00am – 8:30am

Registration (tea & coffee)

8:30am – 9:30am

Seminar

**CPT Hour(s) :**

1 CPT hour recognized by SFC

**CPD Hour(s) :**

1 CPD non-core hour recognized by MPFA

**Language:**

English

**Venue:**

Hong Kong Bankers Club

43/F, Gloucester Tower, The Landmark, Central

**Fee:**

APSA Member' Enrolment at **HK\$300** per person

Public Enrolment at **HK\$450** per person

Event Code: E052914PS

**Apr 15**

### Charting China's Booming Outbound M&A Activity

**Speaker:**

**Mr Adrian Bradbury**

English

Event Code: E041514PS

Managing Director & Head of M&A and Private Equity

**1 CPT hour recognized by SFC**

Quam Capital Limited

**1 CPD non-core hour recognized by MPFA**

Registration: 12:00pm-12:20pm \*\*

Seminar: 12:20pm-1:20pm

Venue: HKSI Training Centre\*

Pricing APSA Members' Enrolment \$210

(per person): Public Enrolment \$380

China's outbound M&A transactions have grown substantially in recent years. In this session, the speaker will examine the main drivers behind this growth and review the current trends and expected most active sectors for 2014. Some of the landmark deals of 2013 will also be reviewed, together with commentary on some of the major issues which Chinese companies face when competing internationally for deals.

**May 8**

## **Regulations Against Insider Dealing – from Preventative to Proactive**

**Speaker:**

Event Code: E050814PS

**1 CPT hour recognized by SFC**

**1 CPD non-core hour recognized by MPFA**

Registration: 12:00pm-12:20pm \*\*

Seminar: 12:20pm-1:20pm

Venue: HKSI Training Centre\*

Pricing APSA Members' Enrolment \$210

(per person): Public Enrolment \$380

**Mr Stephen Wong**

Partner

Maurice WM Lee Solicitors

English

- What is insider dealing?
- What harm does it cause?
- Who are the wrongdoers?
- Who are the victims?
- Existing legal provisions
- Recent statutory development
- If you are being investigated for insider dealing, ...

**May 12**

## **OTC Derivatives**

**Speaker:**

Event Code: E051214PS

**1 CPT hour recognized by SFC**

**1 CPD non-core hour recognized by MPFA**

Registration: 12:00pm-12:20pm \*\*

Seminar: 12:20pm-1:20pm

Venue: HKSI Training Centre\*

Pricing APSA Members' Enrolment \$210

(per person): Public Enrolment \$380

**Mr Kishore Ramakrishnan**

Executive Director

Ernst & Young

English

With the regional regulators across APAC including HKMA, SFC, MAS, Korean and Australian regulators on the verge of enforcing mandatory clearing and reporting obligations later this year - it is a crucial time for financial institutions in Asia to understand and prepare for the forthcoming OTC derivatives regulatory mandates. Key topics to be covered in the session include:

- OTC regulation timeline for APAC
- Structural and Operational implications of regional and global OTC derivative regulations
- Dodd Frank and EMIR cross border implications
- Navigating through the Legal documentation frameworks
- Cost implications of clearing, margin and collateral requirements

# HKSI Mission to Shanghai 2014

The annual HKSI overseas mission is a highlight in the Institute's calendar, providing senior practitioners significant opportunities to build valuable contacts with key local regulators, government officials and top corporate leaders. Led by HKSI Chairman, the Institute has arranged delegations visiting stock exchanges, regulators and major financial firms across the region since 2004, to major cities such as Bangkok, Beijing, Shenzhen, Kuala Lumpur, Jakarta, Seoul, Singapore and Taipei. With the increasing interest among Hong Kong and international market practitioners in the dynamic potentials of China, in particular Shanghai, the HKSI will be leading a high-level delegation with executives from the corporate and financial sectors to visit the city from May 22-24. Please find below the visit programme for your reference.

Date	Morning	Noon	Afternoon	Evening
<b>May 22</b>	<b>Departure From HK to Shanghai</b> KA802 (08:00 – 10:30)	<b>Site Visit and meeting with senior representatives</b>  China (Shanghai) Pilot Free Trade Zone	<b>Site Visit and meeting with senior representatives</b>  Shanghai Municipal Office of Finance Service	<b>Dinner Reception at Four Seasons Hotel Pudong Shanghai</b>
<b>May 23</b>	<b>Site Visit and meeting with senior representatives</b>  China Securities Regulatory Commission  China Securities Index Company Limited	<b>Luncheon and Seminar</b>	<b>Site Visit and meeting with senior representatives</b>  Shanghai Stock Exchange  Shanghai Futures Exchange  China Financial Futures Exchange	<b>End of Official Programme</b>
<b>May 24</b>	<b>Free Time</b>	<b>Free Time</b>	<b>Return From Shanghai to HK</b> KA891 (18:30 – 21:05)	

CPT Hour(s): 8.5 CPT Hours (subject to confirmation)  
 Dress Code: Business Attire  
 Recommended Hotel: Four Seasons Hotel Pudong Shanghai – 210 Century Avenue, 200120 Pudong District Shanghai  
 Language: Presentations & meetings will be conducted in Putonghua (Simultaneous Interpretation will be provided)

## Participation Fee

### Individual Booking

APSA Members' Enrolment at HK\$9,750 per person  
 Non-member at HK\$11,750 per person

### Booking for Two Arrangement

APSA Members' Enrolment and a friend at HK\$19,200 per pair  
 Non-member and a friend at HK\$23,300 per pair

### Terms and Conditions

- I. The Hong Kong Securities and Investment Institute reserves the rights (includes but not limited to) to alter the fees, CPT hours, programme content of the agenda and/or the change of speakers due to circumstances beyond our control. Please refer to the latest agenda posted on the website, no separate notice will be given.
- II. Booking will only be confirmed upon receipt of payment. Payment is non-transferable to other events and should be settled no later than May 9, 2014. No-show will be charged.
- III. The fee may vary subject to circumstances beyond our control. All Fees, Dates and Programme Agenda are subject to change.
- IV. Please note that valid travel documents and visa applications are the responsibilities of participants. Please ensure you have a valid passport with entry and transit visa for your journey. No refund will be arranged for not having the appropriate travelling documents.
- V. Participants are advised to arrange their own travel insurance as appropriate.
- VI. HKSI reserves the final right to change or cancel the event, programme agenda and all related arrangements due to unforeseeable circumstances.
- VII. In case of disputes, decisions of HKSI shall be final.
- VIII. HKSI shall not be liable for any loss or damage suffered as a result of any use or reliance on any of the information provided on its website.

### Cancellations & Substitutions

Substitutions are available; please notify us by writing at least 14 business days before the event date. A 100% refund (less HK\$500 handling fee per participant) of the official program fee will be given for cancellations, written notice of which must reach our office at least 14 business days before the event date. A 50% refund will be given if cancellation notice is received between 7 to 13 business days before the event date. NO refunds will be given for cancellations received within 7 business days before the event date. HKSI is not responsible for the cancellation of hotel accommodation and travel arrangement.

### Remarks

- (a) The fee only covers official programme (May 22 to 24), meals (Dinner Reception on May 22, Luncheons on May 22 & 23) and group ground transportation. Kindly be noted that air ticket and hotel accommodation are not included.
- (b) All participants are encouraged to stay at Four Seasons Hotel Pudong Shanghai to facilitate coordination. If you choose to stay at another hotel, please arrange your own local transportation to join the delegation at various meeting venues. Participants who do not travel to/from Shanghai according to the recommended schedule please arrange your own transportation.
- (c) By participating in HKSI event(s), you understand that portions of the event(s) may be recorded in video and audio and/or captured in still and/or digital photographs; and you hereby grant HKSI the right and permission to use in perpetuity your photographic images, voice, and/or testimonial(s), for the purpose of advertising and publicizing HKSI events and services. HKSI owns all rights, title and interest, including intellectual property rights, in any audio, video, and/or photograph captured during the event(s).

# Registration Form: HKSI Professional Events

## 香港證券及投資學會 – 專業活動報名表

Return by Fax: 2899 2611

### Professional Event 專業活動

Event Code 專業活動編號 : \_\_\_\_\_ Event Date 專業活動日期 : \_\_\_\_\_  
 Event Title 專業活動名稱 : \_\_\_\_\_



### Individual Registration 個人登記

Participant 參加者 : (Dr / Mr / Ms / Mrs) \_\_\_\_\_ Membership No. 會員編號 : \_\_\_\_\_  
 ☎ \_\_\_\_\_ ☒ \_\_\_\_\_ ☎ \_\_\_\_\_  
 Bad Weather Contact no. (Mobile no. preferred): \_\_\_\_\_  
 Company 公司 : \_\_\_\_\_ Job Title 職位 : \_\_\_\_\_



### Group Registration 團體登記

Contact Person 聯絡人 : (Dr / Mr / Ms / Mrs) \_\_\_\_\_  
 ☎ \_\_\_\_\_ ☒ \_\_\_\_\_ ☎ \_\_\_\_\_  
 Bad Weather Contact no. (Mobile no. preferred): \_\_\_\_\_  
 Company 公司 : \_\_\_\_\_ Job Title 職位 : \_\_\_\_\_

1<sup>st</sup> Participant 參加者(1) : (Dr / Mr / Ms / Mrs) \_\_\_\_\_ Membership No. 會員編號 : \_\_\_\_\_  
 Company 公司 : \_\_\_\_\_ Job Title 職位 : \_\_\_\_\_

2<sup>nd</sup> Participant 參加者(2) : (Dr / Mr / Ms / Mrs) \_\_\_\_\_ Membership No. 會員編號 : \_\_\_\_\_  
 Company 公司 : \_\_\_\_\_ Job Title 職位 : \_\_\_\_\_



### Payment Method 付款方式

APSA

Cash 現金  
 Cheque 支票 (Cheque No. 支票號碼 : \_\_\_\_\_)  
 Please make payable to "Hong Kong Securities and Investment Institute" 支票抬頭請付予 "香港證券及投資學會"  
 Amex Card 美國運通咭  VISA 信用卡  MasterCard 萬事達咭 Amount 金額 : HK\$ \_\_\_\_\_  
 (Please note the Institute does not accept Diners Card. 請注意本會不接受大來咭。)  
 Amex Card / VISA / MasterCard No. 信用卡號碼 :                 
 Name of Card Holder 持咭人姓名 : \_\_\_\_\_ Expiry Date 有效日期 : \_\_\_\_\_ (MM/YY)  
 (Card Holder **MUST BE** the participant; otherwise HKSI will reject the application. 持咭人**必須**為申請者本人, 否則本會將不接受申請。)  
 Signature 簽署 : \_\_\_\_\_ (This signature **must** correspond with the signature on the credit card 此簽名**必須**與信用卡相同)

#### Registration Conditions for HKSI Events

1. Completed registration form(s) must be submitted by mail, fax or e-mail. Online registration is also available on www.hksi.org. No telephone reservations will be entertained.
2. Registrations are always accepted on a first-come-first served basis. Three working days prior to the event, the contact person should receive an email confirmation. If the contact person does not hear from the Institute by then, he/she should call event hotline on 3120-6172 for further enquiry.
3. All fees must be settled by cash, cheque or credit card prior to the date of the event.
4. For registrations at the event date or on the spot, payment should be settled by cash or EPS at the counter before the event begins.
5. Cheques should be made payable to "Hong Kong Securities and Investment Institute".
6. Refund / Substitutions:
  - i) Refund is NOT considered.
  - ii) Once accepted to the enrolled event, participant cannot transfer to another event.
  - iii) Programme fees paid are non-refundable and non-transferable irrespective of individual's attendance status, with the exception of application due to full enrolment or programme cancellation.
7. Hong Kong Securities and Investment Institute reserves the right on the following:
  - i) To change or cancel any of its events due to unforeseen circumstances.
  - ii) To ask improperly behaved participants to leave the event. No refund/CPT hour(s) will be considered under this circumstance.
8. By participating in HKSI event(s), you understand that portions of the event(s) may be recorded in video and audio and/or captured in still and/or digital photographs; and you hereby grant HKSI the right and permission to use in perpetuity your photographic images, voice, and/or testimonial(s), for the purpose of advertising and publicizing HKSI events and services. HKSI owns all rights, title and interest, including intellectual property rights, in any audio, video, and/or photograph captured during the event(s).

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 本人不願意通過  郵寄  電子郵件  傳真收到本學會之宣傳物品。(可選擇多於一項)

Address: Room 2404-2408, 24<sup>th</sup> Floor, Wing On Centre, 111 Connaught Road Central, Hong Kong  
 Professional Events Hotline: 3120 6172  
 For details, please visit our website at [www.hksi.org](http://www.hksi.org)

#### Exclusion from Liability

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