

Regional Market Update Series

Thailand's Opportunities Amid Challenges: Focusing on Fundamentals

Though with domestic uncertainties on the political front, Thai businesses remain optimistic and resilient. Dr Pakorn Peetathawatchai, Executive Vice President, Head of Corporate Strategy & Finance Division of The Stock Exchange of Thailand will share his insights at HKSI Institute this July. Click [here](#) to find out more on the talk on the dynamic Thai capital market.

On July 7, we are delighted to have Dr Pakorn Peetathawatchai, Executive Vice President, Head of Corporate Strategy & Finance Division of The Stock Exchange of Thailand, to speak for us in our notable Regional Market Update Series on Thailand's Opportunities Amid Challenges: Focusing on Fundamentals. Many other timely and interesting seminar talks are also organised for you and your colleagues. Seats are limited and do register now to ensure a seat.

Date: Monday, 7 July 2014
Time: 4:00pm - 4:30pm Registration (tea & coffee)
4:30pm - 5:30pm Seminar / Q & A
Venue: Training Centre, Hong Kong Securities and Investment Institute
24/F, Wing On Centre, 111 Connaught Road Central, Hong Kong
CPT Hour(s) : 1 CPT hour recognized by SFC
CPD Hour(s) : 1 CPD non-core hour recognized by MPFA
Language: English
Fee: APISA Members' Enrolment at **HK\$210** per person
Public Enrolment at **HK\$380** per person

For further enquiries, please call us on 3120 6172 or Email to event@hksi.org .

Jun 24

電子交易規管：內部監控及視察造訪

講者:

活動編號: E062414PS

1 小時持續專業培訓時數 (證監會認可)

1 小時非核心持續專業培訓時數 (強制性公積金計劃管理局認可)

登記及簡單午餐: 12:00-12:20pm **

研討會: 12:20-1:20pm

地點: 香港證券及投資學會培訓中心*

費用: APSA 會員 \$210
公眾人士 \$380

陳立德先生

董事總經理

匯澤證券有限公司

宓光輝先生

行政總裁

一通集團

廣東話

證監會持牌人操守準則於本年一月新引入第 18 段有關電子交易的內容，經紀公司管理層須如何應對此項額外的規條？陳立德先生將以「從操守準則探討電子交易的內部監控」為題，講解符合新規條必要採取的步驟。宓光輝先生會以過來人經驗分享「對監管機構視察電子系統的準備工作」，透露證監會實地視察的情況。

Jul 24

OTC Derivatives

Speaker:

Event Code: E072414PS

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

講者:

活動編號: E080514PS

1 小時持續專業培訓時數 (證監會認可)

1 小時非核心持續專業培訓時數 (強制性公積金計劃管理局認可)

登記及簡單午餐: 12:00-12:20pm **

研討會: 12:20-1:20pm

地點: 香港證券及投資學會培訓中心*

費用: APSA 會員 \$210

公眾人士 \$380

單藹然女士

合夥人

詐騙審查及糾紛協調服務

安永 中國

廣東話

在過去的幾年內，研究分析員(如渾水)向公眾發表了大量針對中國概念的上市公司的報告，並指控這些公司的財務造假。個別研究分析員在發表報告的同時沽空這些公司的股份，不論最終報告中的指控是否屬實，假若公司股價下滑，便可以從中得到可觀的利潤。

本次研討會將幫助參與者瞭解過去幾年從中國的調查項目中所獲得的經驗教訓，並提供一個平臺，供上市公司負責企業管治人員、獨立董事、投資者和潛在投資者探討前瞻性的流程和積極的措施，以便及時識別財務報告舞弊。

主要議題

1. 在香港或美國上市並被捲入財務醜聞的企業概況
2. 主要的風險領域
3. 如何識別舞弊風險指標
4. 如何進行額外的法務盡職調查或持續的監管程式

講者:

活動編號: E080714PS

1 小時持續專業培訓時數 (證監會認可)

1 小時非核心持續專業培訓時數 (強制性公積金計劃管理局認可)

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研討會: 12:20-1:20pm

地點: 香港證券及投資學會培訓中心*

費用: APSA 會員 \$210

公眾人士 \$380

溫灼培先生

首席分析員

恒生投資服務有限公司

廣東話

溫灼培先生於較早前分享他對外匯 2014 年上半年的展望，反應熱烈，現他將會分享對外匯和黃金走勢的看法。

溫灼培先生於 2007 年加入恒生投資服務有限公司為首席分析員，主責分析外匯走勢。

溫先生具多年外匯及黃金市場分析方面的經驗。在此之前，他是星展銀行(香港)財資市場部的副總裁，主責分析外匯走勢。而在此之前曾為本港一間上市經紀行工作，任職研究部主管，主責分析外匯及商品期貨，當中包括原油及工業用金屬等。

溫先生一直為傳媒經常訪問之對象，並為多份報章每週特定選寫專欄，當中的專欄包括經濟日報投資理財刊物內之「投資觀察站」、東方日報之「群星匯」等等。

Registration Form: HKSI Institute 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: _____

1st Participant 參加者(1): (Dr / Mr / Ms / Mrs) _____ Membership No. 會員編號: _____

Company 公司: _____ Job Title 職位: _____

2nd 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 信用咭 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. 信用咭號碼: □□□□□□□□□□□□□□□□

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 Institute 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**與信用咭相同)

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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 Institute 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 Institute the right and permission to use in perpetuity your photographic images, voice, and/or testimonial(s), for the purpose of advertising and publicizing HKSI Institute events and services. HKSI Institute 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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Professional Events Hotline: 3120 6172
For details, please visit our website at www.hksi.org

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