

## SFC Executive Director Series Looking Ahead as China Opens its Capital Account



**Guest Speaker:** **Mrs Alexa Lam, JP**  
Deputy Chief Executive Officer and  
Executive Director, Investment Products, International & China  
Securities and Futures Commission

**Date:** Tuesday, 10 February 2015

**Time:** 12:00pm – 12:20pm Registration\*  
12:20pm – 1:20pm Seminar

**CPT Hour(s) :** 1 CPT hour recognized by SFC  
**CPD Hour(s) :** 1 CPD non-core hour recognized by MPFA

**Venue:** HKSI Institute Training Centre\*\*  
**Language:** English

**Price:** **HK\$300** for APSA Members  
**HK\$380** for Non-Members

Event Code: E021015PS

## SFC Executive Director Series Challenges in Upholding the Integrity of Markets



**Guest Speaker:** **Mr James Shipton**  
Executive Director, Intermediaries Division  
Securities and Futures Commission

Mr James Shipton will be speaking on the importance and challenges in upholding the integrity of markets and the practical steps that the industry must take in addressing the deep-rooted culture and behavior issues that underpin repairing the industry's reputation and trust. The session will also focus on the SFC's supervisory initiatives, including recent efforts to strengthen and enhance its supervisory approach. There will also be discussion on the role of diversity - particularly in regard to women leadership - in driving cultural renewal and the long-term business health of the industry.

**Date:** Thursday, 5 March 2015

**Time:** 12:00pm – 12:20pm Registration\*  
12:20pm – 1:20pm Seminar

**CPT Hour(s) :** 1 CPT hour recognized by SFC  
**CPD Hour(s) :** 1 CPD non-core hour recognized by MPFA

**Venue:** HKSI Institute Training Centre\*\*  
**Language:** English

**Price:** **HK\$300** for APSA Members  
**HK\$380** for Non-Members

Event Code: E030515PS

## Meet Your Government Officials (MYGO) Series Audit Regulatory Reform



**Guest Speaker:** **Mr Mark Dickens, JP**  
Chief Executive Officer  
Financial Reporting Council

**Date:** Tuesday, 24 March 2015

**Time:** 12:00pm – 12:20pm Registration\*  
12:20pm – 1:20pm Seminar

**CPT Hour(s) :** 1 CPT hour recognized by SFC  
**CPD Hour(s) :** 1 CPD non-core hour recognized by MPFA

**Venue:** HKSI Institute Training Centre\*\*  
**Language:** English

**Price:** **HK\$300** for APSA Members  
**HK\$380** for Non-Members

Event Code: E032415PS

3 February

## Jointly organised by APSA and HKSI Institute Retail Structured Products: Global Regulatory and Industry Landscape

**Speakers:**

Event Code: E020315PS

**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 Institute Training Centre\*\*

Fee: \$210 for APSA Members' Enrolment  
\$380 for Public Enrolment

**Ms Maria Xuereb**

Partner

Deloitte China

**Ms Jyoti Vazirani**

Director, Enterprise Risk Services

Deloitte China

English

The global regulations on retail structured products have evolved over the years and has impacted how structured products are designed, marketed, distributed and overseen. Likewise in Hong Kong, we have seen similar developments particularly post Lehman crisis.

This session is the second mini-series of seminars jointly organised by APSA and the HKSI Institute on regulatory developments affecting structured finance, and the talk on 3 February will cover the supervisory processes that can be applied to meet these regulatory changes and stay ahead of the game.

About APSA

The Asia-Pacific Structured Finance Association ("APSA") was formed in 2006 to promote the efficient growth and continued development of structured finance throughout the Asia-Pacific region, and to advocate the interests and serve the needs of the structured finance industry. APSA's objectives include the promotion of the efficient growth and the interests of the structured finance industry in the Asia-Pacific region by providing a platform for the views of the industry to be communicated to regulators, standards-setters, market participants and investors. For more information about APSA, please see: [www.apsa-asia.com](http://www.apsa-asia.com).

14 May

## Mis-selling of Investment Products

**Speaker:**

Event Code: E051415PS

**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 Institute Training Centre\*\*

Fee: \$300 for APSA Members' Enrolment  
\$380 for Public Enrolment

**Mr Bryan Ng**

Special Counsel

Baker & McKenzie

English

There is an increasing range of sophisticated investment products in the market.

In this session, the following key areas will be covered in relation to the selling of investment products, specifically in Hong Kong:

- Developments in the legal and regulatory regimes
- Risks associated with the selling of investment products and the preventive measures towards mis-selling
- Case studies

## Professional Events 專業活動

### Enrolment Form 報名表格 ( Please read the general notes before completing the Enrolment Form 請在填表前先閱讀表格之申請須知 )

#### Part 1 第一部份: Personal Particulars 個人資料

##### Part 1A ( COMPULSORY 必須填寫 )

Mr / Mrs / Ms / Miss / Dr 先生 / 太太 / 女士 / 小姐 / 博士	Surname ( As stated on your HKID Card / Passport 必須與香港身份證 / 護照上相同 )	First Name 中文姓名 ( 如適用 )
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HKID Card/Passport No. 香港身份證 / 護照號碼	Mobile Number 手提號碼
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At least fill in first 4 characters for the purpose of identification and data entry use (e.g. A123, AA12). 最少填寫首四位字元 · 以核對身份及登記資料用途 ( 例如: A123, AA12 )

E-mail Address 電郵地址  
Confirmation notice will be sent via e-mail ( **Personal email address preferred** ) 學會將透過電郵發出確認通知 ( **首選個人電郵地址** )

HKSI Institute's Membership No. 本學會會員編號 ( if any 如適用 ) APSA

##### Part 1B ( Only applicable to NEW applicants or EXISTING applicants who would like to update their personal information 適用於新申請者或需更改資料之現有紀錄人士 )

Name of Company 公司名稱 *	Position 職位
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Correspondence Address 通訊地址

Daytime Contact Number 日間聯絡電話號碼	Fax Number 傳真號碼
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\*Please note that your company name will be shown on your Attendance Record 出席紀錄將會顯示公司名稱

Please affix your company stamp in the box if your company is a HKSI Institute Corporate Member  
如貴公司是本學會團體會員 請在格內蓋上公司印章

Corporate Membership Number 團體會員編號 ( C )

Corporate Member's Company Stamp

團體公司印章

#### Part 2 第二部份: Other Information 個人資料 ( For statistical analysis and promotion 以供統計分析及推廣之用 )

1) Education 教育程度

1.01 Secondary or below 中學或以下程度     1.02 Post-secondary 大專     1.03 Degree Graduate 大學畢業     1.04 Master or above 碩士或以上

2) Main Working Field 主要從事行業 ( Choose one key industry 選擇一項主要業務 )

2.01 Securities Dealing & Advising 證券交易     2.02 Derivatives Dealing & Advising 衍生工具交易及意見提供     2.03 Corporate Finance 機構融資

2.04 Leveraged Foreign Exchange Trading 槓桿式外匯交易     2.05 Credit Rating Services 信貸評級服務     2.06 Asset Management 資產管理

2.07 Banking 銀行     2.08 Private Wealth Management 私人財富管理     2.09 Accounting 會計     2.10 Legal Services 法律事務     2.11 Insurance 保險

2.12 Training & Education 教育及培訓     2.13 Student 學生     2.14 Unemployed 待業     2.15 Other 其他 ( Please specify 請註明 \_\_\_\_\_ )

3) Work Experience 工作經驗

3.01 < 1 year 年     3.02 1-4 years 年     3.03 5-10 years 年     3.04 11-15 years 年     3.05 > 15 years 年

4) Firm Size 機構規模

4.01 < 100 employees 員工     4.02 100-299 employees 員工     4.03 300-499 employees 員工     4.04 500+ employees 員工

5) I know about this course / event from HKSI Institute's 本人從學會以下途徑得悉課程或活動資料

5.01 Website 網頁     5.02 Office 辦事處     5.03 Evening Course 晚間課程

5.04 Events 活動     5.05 Others 其他 ( Please specify 請註明 \_\_\_\_\_ )

6) I wish to receive latest news from HKSI Institute 本人希望收到學會的最新消息 ( You can choose MORE THAN ONE 可作多項選擇 )

6.01 All Promotional 所有推廣資料     6.02 Continuous Professional Training Programmes 課程     6.03 Examinations 考試

6.04 Events 活動     6.05 Executive Development Programmes 行政人員培訓     6.06 Member News & Members Only Events 會員訊息及會員專享活動

7)  I do not wish to receive any forthcoming information related to HKSI Institute. Excepted for the above selected item(s)  
本人不希望收到任何有關學會發出之資料 · 除以上已選擇之項目 ·



## Notes

1. Please send your completed enrolment form(s) together with the appropriate event fee to the HKSI Institute by fax, mail, e-mail or in person before the closing date. Online registration is also available on [www.hksi.org](http://www.hksi.org). No telephone reservations will be entertained. Applicants who wish to enjoy Corporate/Individual Member Fee must provide relevant information at the time of application. Otherwise, Non-member Fee shall be charged and the fee difference will not be refunded.
2. Enrolment will only be confirmed upon receipt of payment. Any enrolment forms without appropriate payments will be rejected by the HKSI Institute. Application indicating payment by cheque will not be processed without attachment of a cheque. Applicants who would like to pay by cheque, please make payable to "Hong Kong Securities and Investment Institute". Post dated cheque will not be accepted
3. Applicants should note that cash should not be sent through mail.
4. An electronic confirmation letter will be issued to participants via e-mail accordingly. Applicants who do not receive electronic notifications 3 working days before course commencement date should contact our Hotline at (852) 3120 6100. Applicants will be informed via e-mail if there is any change to the courses.
5. Applicants must read the event regulation conditions and agree to abide by them before submitting enrolment form.
6. Refund/Substitutions:
  - Refund is not considered.
  - Once accepted to the enrolled course, participant cannot transfer to another course.
  - Programme fees paid are non-refundable and non-transferable irrespective of individual's attendance status, with the exception of unsuccessful application due to full enrolment or program cancellation.
  - The HKSI Institute reserves the right to cancel programs due to under-enrolment and registrants will be notified individually for refund arrangement. (Note: The refund will be payable to the registrants concerned in Hong Kong dollars within 28 FULL WORKING DAYS after programme commencement date. The refund will be made via cheque for fees received via cash, cheque, union pay or EPS. For fees received via credit card, refund will be made to the same credit card account that is used to pay the registration fees.)
7. Personal data supplied in this enrolment form will be used only for purposes relating to enrolling / and attending HKSI Institute Professional Events. HKSI Institute reserves the right to inspect personal identity of attendees.
8. Seats are limited and enrolments will be processed on a first-come-first-served basis.
9. Hong Kong Securities and Investment Institute reserves the right on the following:
  - To change or cancel any of its events due to unforeseen circumstances.
  - To ask improperly behaved participants to leave the event. No refund/CPT or CPD hour(s) will be considered under this circumstance.
10. 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 publicising 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).
11. Bad Weather Arrangement
  - For Seminar held between 9:00am to 11:00am at the HKSI Institute Training Centre – the seminars will be rescheduled, if typhoon signal no. 8 or above/Black Rainstorm Warning is in force and not lowered by 7:00am
  - For Seminar held between 12:00pm to 2:00pm at the HKSI Institute Training Centre – the seminars will be rescheduled, if typhoon signal no. 8 or above/Black Rainstorm Warning is in force and not lowered by 9:00am
  - For Seminar held between 4:00pm to 6:00pm at the HKSI Institute Training Centre – the seminars will be rescheduled, if typhoon signal no. 8 or above/Black Rainstorm Warning is in force and not lowered by 12:00pmRegistrants will be notified on the reschedule details on the next business date.

## 申請須知

1. 請將填妥的報名表格連同適當的活動費用，於活動截止報名日期前 親身、傳真、電郵或郵寄至香港證券及投資學會。申請人亦可於網上報名，所有活動不接受電話留位。申請人如欲享有團體/個人會員 課程學費之優惠，在申請時必須提供有關資料，否則本會將收取非會員活動費用之金額。活動費用之差額亦將概不退還。
2. 報名表格必須連同適當費用遞交，學會才會確認該申請。其餘申請，學會一概不會接受。如欲以支票繳付學費者，報名表格必須連同支票一併遞交，支票抬頭請付予 “香港證券及投資學會”，本學會概不接受期票，否則其活動申請將不獲受理。
3. 申請人切勿郵寄現金至本學會付款。
4. 確認通知書會以電郵方式通知申請者，申請人如在活動前**三個工作天**尚未收到通知，請致電 (852) 3120 6100 與學會活動部聯絡。活動如有任何更改，學會將透過電郵通知。
5. 申請者在遞交報名表格前，必須細閱活動守則，並同意及遵守其規條。

### 退還課程費用/學額轉讓

6.
  - 活動費用概不退還。
  - 一經取錄，學員不得轉移到其他活動。
  - 除活動額滿或活動被取消外，學員已繳之學費〔不論有否出席〕均不予退還或轉用於另一活動。
  - 本學會有權因報名人數不足而決定取消活動。受影響的學員將獲個別通知安排退款事宜。(備註:退款一般可於活動日期起 28 個工作日內退回給申請人；申請人如以現金、支票、易辦事或銀聯付款，學會將會以支票形式退還款項予申請人士。申請人如以信用卡支付學會將會安排退款予申請人士在報名申請時使用的相同信用卡號碼之戶口內。)
7. 本申請表上提供的個人資料，僅供作處理有關報讀/及出席本學會活動事宜之用。本學會保留檢查出席活動人士之身份證明之一切權利。
8. 由於名額有限，報名以先到先得方式進行。
9. 香港證券及投資學會保留以下權利:
  - 在不可預期的情況下，本會有權更改或取消任何活動。
  - 申請人如在研討會期間作出不當行為，本會有權要求申請人退出活動。而申請人活動之費用及其 CPT 或 CPD 小時將不獲發回。
10. 本學會可能在某些活動中，會進行拍攝、錄影或/及錄音，而閣下在此授予本學會權利和許可，以永久使用持有閣下的影像，語音或/及見證，作為廣告、宣傳學會活動和事務之用途。香港證券及投資學會在活動中所記錄的任何音頻、視頻或/及照片擁有所有權利、權益，包括知識產權。
11. 惡劣天氣特別安排  
於香港證券及投資學會培訓中心舉行的活動:
  - 如 8 號或以上強風信號/黑色暴雨在上午 7 時正仍然懸掛，當日 9:00am-11:00am 舉辦之活動將會取消。
  - 如 8 號或以上強風信號/黑色暴雨在上午 9 時正仍然懸掛，當日 12:00pm-2:00pm 舉辦之活動將會取消。
  - 如 8 號或以上強風信號/黑色暴雨在中午 12 時正仍然懸掛，當日 4:00pm-6:00pm 舉辦之活動將會取消。有關活動延期之最新安排，本會將在下一個工作天以電郵通知各參加者。