

## Enrolment form

### SFC's Enforcement Actions against Listed Corporations

Synopsis:

- Tackling the misconduct by listed companies remains the top priority of the Securities and Futures Commission (SFC). The SFC seeks to address the listed companies' misconduct and regulatory concerns using its front-loaded, multi-pronged approach, including suspending the trading of a company's listed securities (before the start of formal investigation).
- With the SFC's continuing focus on high impact cases, we anticipate more vigorous enforcement against and penalties on listed companies and their directors in 2020 and beyond.
- According to the enforcement statistics of the SFC, the following is the main areas of investigations by the SFC:
  - corporate disclosure
  - corporate governance and breach of directors' duties
  - insider dealing

In the seminar, the speaker will analyze the latest cases of the SFC to illustrate the principles and discuss about ways to prevent them from occurring.

**Speaker:** **Sherman Yan**, Managing Partner and Head of Litigation & Dispute Resolution of ONC Lawyers

**Date:** re-scheduled to 18 August 2020 (Tuesday)      **Level:** Intermediate

**Time:** 6.45p.m. to 8.15p.m.

**Language:** Cantonese

**Recommended for:** Listed firms professionals, directors, CFOs, company secretaries, legal professionals, etc.

**Fee:** \$360 (standard fee) or \$320 (for early bird that enrolls and pays one week before the event date)

**CPD points for accountants and company secretaries:** 1.5 CPD points (No event accreditation has been applied as participants may get CPD points of their professional institutes pursuant to the relevant CPD rules.)

**CPD points for lawyers:** 1.5 CPD points awarded by the Law Society

**Mode:** Live webinar

**Payment method:** Please fill in the following information and mail this enrolment form and your cheque payable to 'Professional Development Resources Centre Limited' to **P.O. Box 23244, Wan Chai Post Office**. Please mark your '[Name]', '[Telephone no.]' and '[Course/Event name]' at the back of the cheque.

## Professional Development Resources Centre

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**\*To enhance administrative efficiency, you are encouraged to enrol online (please visit: [www.cpdcentre.org](http://www.cpdcentre.org)).**

### Terms & Conditions

1. Enrolment will be processed upon receipt of full payment on a first-come, first-served basis.
2. Registrants can only enjoy the early bird discount when enrolment and payment is received by us one week before the course/event date.
3. Fees shall not be refunded after the registration has been processed. If you cannot attend a booked course/event, you may transfer your booking to a replacement delegate.
4. If a course/event is full, a registrant whose enrolment is unsuccessful will receive a refund of the appropriate fee.
5. Professional Development Resources Centre Limited reserves the right to alter the contents, speaker(s), date, time, venue, or otherwise of the course/event, or cancel the event.