

Course ref: PDP/2406/02

(1) 2024 HKEx Non-compliance cases and (2) Practical sharing on implementing effective internal controls on compliance with connected transactions

Course Outline:

The speaker will update the latest disciplinary cases published by the SEHK in second half of 2023 related to listing rules non-compliance.

He will also give some practical sharing on implementing Internal Control on listing rules compliance with connected transactions.

Speaker(s):

Mr. Alvan Kwok, Managing Director, ListcoPRO Services Limited
EMBA (Kellogg-HKUST), FCCA, FHKIoD, iHRM, BSc(Hons)

Mr. Kwok is the managing director of ListcoPRO/ KAP Advisory Partners Limited. He has over 30 years of experience in external and internal auditing, financial management and governance advisory. Mr. Kwok is a fellow member of the Association of Chartered Certified Accountants (ACCA) since 1997 and advise several listed companies in Hong Kong in internal control and corporate governance issues. Before founding ListcoPRO, Mr Kwok worked for E&Y as auditor and served a number of listed companies in Hong Kong as executive/independent director and audit committee members. He also served for two investment banks in Hong Kong and was a registered as a licensed Corporate Finance Director regulated by Hong Kong Securities and Future Commission.

Who Should Attend?

This seminar is suitable for **Directors, CFOs, Compliance Officers and Company Secretaries.**

Our key features

Date

18 Jun 2024, Tue

Language

Cantonese
(Handout in English)

Venue

HKMA Training Center in
Wan Chai

Rundown

6:45pm Registration
7:00pm Seminar begins
9:00pm Ends

Fee

HK\$350 Normal Fee
HK\$250 Member Fee

CPD Hours

2 hours
(please refer to Note 5)

Part A - Company Details

Company

Stock Code

Contact person

Contact Tel

E-mail

Part B - Personal Particulars of Attendant

Title

Dr. / Mr. / Mrs. / Ms.

Position

Name

(Please provide full name for CPD Certificate issuance)

E-mail

Contact Tel

Member^

☐ Yes
☐ No

^For details of our membership scheme, please refer to our website at www.ListcoPRO.com or contact our staff at (852) 3628 5722.

Part C - Session Enroll

18 June 2024 (Tuesday) (19:00 – 21:00)

(Enrollment deadline is on 11 Jun 2024)

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To enroll, please select one of the followings:

- ☐ Normal Fee (HK\$350)
- ☐ Member Fee (HK\$250)
- ☐ Regular / Premium Member (Complimentary)

Part D - Enrollment Procedure

Please simply:

1. Fill in this form and fax to (852) 2528 9018 or e-mail to info@listcopro.com; AND
2. Send your cheque* together with a copy of the enrollment form within TWO days from your enrollment to:
- ListcoPRO (CPD Training Enrollment)
- Suite 1204, 12/F., Berkshire House, Taikoo Place, 25 Westlands Road, Quarry Bay, Hong Kong

*Note :

- Your enrollment will only be confirmed upon the receipt of your cheque.

• All cheques should be made crossed payable to "[ListcoPRO Services Limited](#)".

• Please also mark your name and contact number at the back of your cheque.

• Post-dated cheque will not be accepted.

• Important Notes •

1. Reservation is on a first-come-first-served basis
2. ListcoPRO Services Limited reserves the right to cancel or make any changes to the event. No refund will be made unless the event is cancelled or over-enrolled
3. NO REFUND / CANCELLATION will be entertained after application is processed. If you are unable to attend the enrolled program, you may nominate a substitute to take your place, provided that written notification has submitted at least two working days prior to the event.
4. Tropical Cyclone and Heavy Persistent Rainstorm Arrangements , please refer to our website at www.listcopro.com
5. Participants may claim CPD points/hours with professional associations, subject to the verification process of the respective professional association. For details, please contact the relevant association directly.