

Regular Listco CPD Training

Course ref: LPDP/1904/01

Common Breach of Listing Rules on Internal Control – Case Analysis & Remedies

Date

10 Apr 2019, Wednesday

LanguageCantonese
(Handout in English)**Venue****Regus Training Centre**
35/F, Central Plaza
18 Harbour Road
Wanchai, Hong Kong**Rundown**6:45pm Registration
7:00pm Workshop Begins
9:00pm End**Fee**HK\$600 Normal Fee
HK\$480 Member Fee
(Refreshments will be provided)**CPD Hours**2 hours
(please refer to Note 5)**Course Outline:**

Corporate Governance Code C.2.1 requires the board to review, implement and monitor the risk management and internal control systems annually on the effectiveness of Internal Control. C.2.3 requires the board to consider the effectiveness of the process for financial reporting and Listing Rules compliance. And C.2.4 specifically stipulate the review should cover the handling and dissemination of inside information.

Traditionally listed companies usually focus on operational and financial control in the review. Given the more stringent regulatory enforcement which already caused high cost of non-compliance (including the professional cost and personal liability of Directors and key management), so Listco are now shifting more attention on the review of Internal Control of governance and compliance of Listing Rules.

In this seminar, the speaker will share his clients' practices and make use of some breach cases from SFC and HKEx to see how to apply the risk assessment on this area and related implementation on Internal Control.

Speaker(s):**Mr. Alvan Kwok**EMBA (Kellogg-HKUST), FCPA(Practising), FCCA, ACA, FHKIoD, iHRM, BSc(Hons)
Managing Director,**ListcoPRO / KAP Advisory Partners**

With over 25 years of experience in auditing, financial management and investment banking, Mr. Kwok is a practising Certified Public Accountant and specialised in Transaction Advisory and Corporate Governance.

Mr. Kwok was appointed the role of executive director/ CFO of various listed companies in Hong Kong responsible for IPO, financial management and compliance function. From 2001 to 2007, he was the Managing Director of a licensed corporate finance advisory firm and also a registered Responsible Officer of Corporate Finance (type 6) under the Securities and Futures Ordinance. He has been involving in a number of major corporate transactions, takeovers, and restructurings, and private equity placements. Since 2005, he started his own professional practices and engages in transacting advisory and corporate governance practices.

Mr. Kwok also appointed as Independent Non-Executive Director/ Chairman of audit committee of a number of Hong Kong listed companies from 2000 onwards. He is also a popular speaker in corporate governance and transaction services for the public seminars held by ACCA, ListcoPRO, various organizations and in-house corporate training.

Who Should Attend?

This seminar is suitable for **Directors, Chief Executive Officers, Financial Controllers, Compliance Officers and Company Secretaries.**

Our key features

- Specialised on Listco practices
- Verifiable CPD hours
- Connections to renowned speakers
- Professional community networking

Part A - Company Details

Company	<input type="text"/>	Stock Code	<input type="text"/>
Contact person	<input type="text"/>	Contact Tel	<input type="text"/>
E-mail	<input type="text"/>		

Part B - Personal Particulars of Attendant

Title	<input type="text" value="Dr. / Mr. / Mrs. / Ms."/>		
Name	<input type="text"/>	Position	<input type="text"/>
E-mail	<input type="text"/>	Contact Tel	<input type="text"/>

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

10 April 2019 (Wednesday) (19:00 – 21:00) *(Enrollment deadline is on 3 Apr 2019)*

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To enroll, please select one of the followings:

- Normal Fee (HK\$600)
- Member Fee (HK\$480)
- 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)
Room 602, 6th Floor, Capital Centre, No. 151 Gloucester Road, Wan Chai, 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. Listco Professional 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.