

Regular Listco CPD Training

Date

11 Nov 2020, Wed

LanguageCantonese
(Handout in English)**Venue**

Online

Rundown

12:30pm – 2:00pm

FeeHK\$200 Normal Fee
HK\$160 Member Fee**CPD Hours**1.5 hours
(please refer to Note 5)

Course ref: PDP/2011/01

Listing Compliance Series: How to mitigate Non-compliance – Risk Assessment & practical sharing

Course Outline:

Sound Corporate Governance is of paramount importance for effective Investor Relations & Listing Rules compliance is an indispensable component of sound Corporate Governance practices.

In recent years, the Securities and Futures Commission ("SFC") and the Hong Kong Stock Exchange ("HKEx") have stated on different occasions that they will strengthen the supervision, enforcement and censures of listed companies for breach of listing rules, and have disclosed hundreds of non-compliance cases of listed companies in the past years.

This is the second seminar of the "Listing Compliance series" and a continuity of the first seminar. This seminar will summarise the implications of the non-compliance cases published by the HKEX illustrated in the first seminar and provide some analysis and observation of the problems associated with the listing compliance. It also aims to provide some practical hints on implementation of risk assessment and internal control measures which is not commonly understood.

Speaker(s):

Refer to page 2

Who Should Attend?

This seminar is suitable for **Directors, CEOs, CFOs, Financial Controllers and Compliance Officers.**

Our key features

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

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(please refer to Note 5)**Speaker(s):**

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

Mr. Kwok obtained the EMBA from Kellogg – HKUST program, which is ranked Number 1 in the world in the latest Financial Times (FT) Global EMBA Rankings and has been crowned the best in the world nine times since 2007.

With over 30 years of experience in auditing, financial management and investment banking, Mr. Kwok, is a Certified Public Accountant and specialised in Transaction Advisory and Corporate Governance. He started his career with Ernst & Young and responsible for a numbers of audit, IPO and M&A engagements for listed companies in Hong Kong and oversea. He subsequently joined Peregrine Investments Group (now BNP Paribas Group) and participated in a numbers of IPO fund raising exercises and Securities and derivatives transactions.

From 1994 - 2001, he was appointed the role of executive director/ CFO of three 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 firm and also a registered and Responsible Officer of Corporate Finance (type 6) under the Securities and Futures Ordinance and 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 extensively in transacting advisory, corporate governance practices and corporate training.

Mr. Kwok has been acting as an Independent Non-Executive Director/ Chairman of audit committee of a number of Hong Kong listed companies, familiar with Listing Rules and Corporate Governance Code & Practices. 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 of Listco.

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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."/>	Position	<input type="text"/>
Name	<input type="text"/>	(Please provide full name for CPD Certificate issuance)	
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

11 November 2020 (Wednesday) (12:00 – 14:00) *(Enrollment deadline is on 4 Nov 2020)*

Listing Compliance Series: How to mitigate Non-compliance – Risk Assessment & practical sharing

Course ref: LPDP/2011/01

To enroll, please select one of the followings:

- Normal Fee (HK\$200)
- Member Fee (HK\$160)
- 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.