

CPD WEBINAR

SFC Investigation

Date: 24 July 2024, Wednesday (*Enrollment closed on Tuesday, 23 July 2024*)
Time: 19:00 – 20:00 **CPD Units:** 1 unit
Fee: \$100 for AIA and ACIA / \$150 for non-members
Language: Chinese (Supplemented with English PPT)
Remarks 1: - ZOOM link will be sent to your email after registration form and payment received
Remarks 2: - CPD Certificate will be sent via email after the seminar

Brief Introduction of the Webinar:

- A) Power to investigate under the SFO
- B) Persons in an investigation
- C) Offences in relation to investigation
- D) Obligations & Privileges under the SFO (search warrant here)
- E) Insider dealing under the SFO

During this webinar, Ms. Katrina Kwan will share her legal knowledge and practical experience in relation to SFC investigation, including but not limited to offences, obligations, and privileges under the Securities and Futures Ordinance (Cap 571), SFC interviews; etc.



Speaker: Ms. Katrina Kwan, LL.B (Hon)

Ms. Katrina Kwan is a partner of Messrs. So, Lung & Associates, Solicitors. Katrina's practice centres on commercial litigation and contentious regulatory advisory work (such as SFC, ICAC, AFRC and HKEX). She frequently acts for listed companies, licensed corporations, CPA firms, directors, shareholders, sponsor principals, responsible officers, fund investors, brokers on matters involving insider dealing, false trading, price rigging, false and misleading information, unlicensed activities, shareholder disputes, winding-up petition, breach of directors' duties, anti-money laundering, etc.

Apart from her practice, she is appointed as the honourable legal advisor, director and/or the committee member of various institutions and organizations. She also teaches commercial and business law as a lecturer and a dissertation supervisor of the Master of Laws. She is also a director of Pok Oi Hospital from 2023 to 2024.

Registration Form – SFC investigation 20240724

Name:	 ----- Your full name will be printed on the CPD Certificate	Membership No:	
Email:	 ----- Confirmation email and CPD certificate will be sent via Email	Mobile No:	

Payment:

1. Direct Deposit: DBS Bank
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2. Send Cheque Payable to "The Association of International Accountants - Hong Kong Branch" at
Rooms 1010-1011, 10/F Lu Plaza, 2 Wing Yip Street, Kwun Tong, Hong Kong

*Please email the payment image and the registration form to Ms. Aby Yuen at hongkong@aiaworldwide.com first.

Terms and Conditions:

- I have read the booking conditions below and agree to abide by them
- Email will be sent once registration form and payment received and No refund can be made.
- Enquiries: 2845 4982 (Tel); hongkong@aiaworldwide.com (email)