

CPD SEMINAR

SFC Investigation - Part 2 Case Sharing

Date: 28 Dec 2024, Saturday (*Enrollment closed on Monday, 23 Dec 2024*)
Time: 14:00 – 16:00 **CPD Units:** 2 units
Fee: \$250 for AIA and ACIA / \$300 for non-members
Language: Chinese (Supplemented with English PPT)
Venue: **Lecture Theater WK-N213, 2/F North Tower, PolyU HKCC (West Kowloon Campus)**
Address: 9 Hoi Ting Road, Yau Ma Tei, Kowloon
Remarks: CPD Certificate will be sent via email after attended the seminar

Brief Introduction of the Seminar:

Speaker will provide real Case sharing in this seminar under the following contents:

- 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 seminar, 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.

Registration Form – SFC investigation 20241228

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
[Account Number: 02-30613167 / Account Name: The Association of International Accountants - Hong Kong Branch]
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@aia worldwide.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@aia worldwide.com (email)