

Review of Hong Kong Major Market Misconduct Cases

About the topic

Market misconduct includes insider dealing, false trading, price rigging, stock market manipulation, disclosure of information about prohibited transactions and disclosure of false or misleading information inducing transactions in securities and futures contracts. Such conduct harms the interests of investors and, potentially, damages Hong Kong's reputation as an international financial centre. The Securities and Futures Ordinance ("SFO") introduces a dual civil and criminal regime under Parts XIII and XIV, to deal with market misconduct.

At this seminar, Mr. Stephen Suen, formerly an investigator of commercial crime and a director of enforcement of Securities and Futures Commission and now is a barrister-at-law specialising in litigation work related to white collar crime and enforcement of the SFO, Listing Rules and Takeovers Code, will examine major Hong Kong market misconduct cases that have been published by the Market Misconduct Tribunal and the Insider Dealing Tribunal and identify lessons to be learned from these cases. He will cover the relevant statutory framework, enforcement process and intriguing features of some of the major cases, e.g., the Shanghai Land, Hontex and Tiger Asia cases, and the insider dealer Du Jun case.

About the programme

Date & Time	9 May 2014, Friday 6:30 p.m. – 8:00 p.m.
Venue	Theatre of the Joint Professional Centre Unit 1, G/F, The Center 99 Queen's Road Central, Hong Kong (Please click here for the location map)
Fee	> CFG members - HK\$250 per person > Non-CFG members - HK\$350 per person <i>Priority is given to CFG members.</i> <i>Not a CFG member? Click HERE to join.</i>
CPD credit	1.5 hours (subject to actual attendance)
CPT credit	Please check with your compliance officer or other relevant personnel of your firm, as this event may be acceptable for CPT recognition for SFC licensed persons.
Language	English
Competency	Corporate Finance*
Rating	Intermediate level*
Application deadline	5 May 2014

Rundown

6:10 pm	Registration (Refreshments provided)
6:30 pm	Introduction
6:35 pm	Presentation by speakers
7:35 pm	Q&As / Discussion
7:55 pm	Closing remarks

Speaker

Mr. Stephen Suen
Barrister-at-law
Counsels Chambers

Chairperson

Mr. Ivan Chan
Convenor, CFG Management Committee,
Managing Director and Head of Investment
Banking, ChangJiang Corporate Finance
(HK) Limited

* Please refer [here](#) for descriptions of the various ratings and competencies.



About the speaker

Mr. Stephen Suen Barrister-at-law Counsels Chambers

Mr. Suen has accumulated solid experience and knowledge of over 30 years in enforcement of white collar crime, general and specialized fraud investigation and prosecution. In particular, his specialties include advising on regulation relating to white collar crimes, fraud investigation, securities and futures related investigation and prosecution vis-a-vis insider dealing, market manipulation, intermediaries' disciplinary proceedings, contravention of the general principles of the Code of Conduct and fitness and propriety of licensed persons under SFO, the Stock Exchange Listing Rules and Hong Kong Takeovers Code.

Mr. Suen started his career as a Police Inspector with the Royal HK Police Force in 1983. During his seven years with the police force (past three years at the Commercial Crime Bureau ("CCB")), he participated in a number of high profile complex commercial crime cases. In 1989, he joined the enforcement division of the then newly set up Securities and Futures Commission ("SFC") and was promoted to director of enforcement in 1999. As director of enforcement, Mr. Suen was responsible for leading and supervising teams of accountants and lawyers in the investigation and prosecution of insider dealing, market manipulation, intermediaries' misconduct, and referral of fraud and corruption cases to CCB and ICAC.

In 2007, Mr. Suen joined a Hong Kong listed company as its executive director and deputy managing director. He also acted as the key responsible officer of four licensed corporations within the listed group responsible for the overall supervision of seven regulated activities including dealing and advising in securities and futures contracts, margin financing, corporate finance and assets management.

After five years working for the listed group, Mr. Suen moved on to apply his unique and specialised experience and knowledge accumulated over the past years to practice law and regulations related to white collar crime, securities and futures misconduct at the Hong Kong Bar.

Mr. Suen holds Postgraduate Certificate in Laws (PCLL), Juris Doctor, Master in Accountancy, and Bachelor of Social Science (Economics). He is currently a member of the Hong Kong Bar Association, the Hong Kong Institute of CPAs and the Hong Kong Securities and Investment Institute.

Registration

The number of places is limited. In the event of over-subscription, **places will be allocated on a first-come-first-served basis with priority given to CFG members**. If you are not a CFG member, click [HERE](#) to download a CFG membership application form.

To register:

- **Online registration:** For the time being, this facility ([click here](#)) is available only to members who are Institute and CFG members. If you are not both, please reply by post or fax.
- **By post or fax:** Complete the attached reply slip and return it to the Institute **on or before 5 May 2014**, together with a cheque made payable to the "Hong Kong Institute of Certified Public Accountants" or "HKICPA". Fax registration will be accepted for payment by any VISA/Master card or the BOC HKICPA UnionPay card. Confirmation of registration will be sent by e-mail. If confirmation has not been received by 8 May 2014, please contact Ms May Hung at 2287 7009 / Ms Canace Leung at 2287 7089.



CFIG seminar – Review of Hong Kong Major Market Misconduct Cases

Finance & Operations Department
Hong Kong Institute of CPAs
37th Floor, Wu Chung House
213 Queen's Road East
Wanchai, Hong Kong

Fax no: 2893 9853

[*Click here](#) for online enrolment (read conditions set out under "Registration")

9 May 2014

(Reply on or before 5 May 2014)

FOR OFFICE USE

Seq. no.:
Handled by:

Please allow 4 days to process your application. You can check your enrolment status it at "[My CPA](#)". Unsuccessful enrolment will be notified before the commencement of the event with full refund.

Please type or print:-

Name: (*Mr./ Mrs. /Ms.) _____ Institute membership no.: _____

Company name: _____

Position held: _____ Email: _____

Telephone no.: _____ Fax no.: _____

You may use a separate sheet to list out the name, position and Institute membership no. (if applicable) of additional participant(s) from the same firm/company as the above applicant.

Please "✓" as appropriate

Admission Fee:	<input type="checkbox"/> CFIG member: HK\$250 per person x _____ person(s) = HKD _____ (Cheque no. _____)
	<input type="checkbox"/> Non-CFIG member: HK\$350 per person x _____ person(s) = HKD _____ (Cheque no. _____)
Payment by:	<input type="checkbox"/> Cheque (separate cheque for CFIG members and non-CFIG members, respectively). Cheque made payable to "Hong Kong Institute of Certified Public Accountants" or "HKICPA"
	<input type="checkbox"/> VISA / Master card <input type="checkbox"/> BOC HKICPA UnionPay card
Card Number:	_____
Card Expiry Date (MM/YY):	_____
Cardholder's Name (block letters):	_____
Cardholder's Signature:	_____
Date:	_____
<input type="checkbox"/> I would like to have an official receipt. (Remarks: Official receipt will be sent to your email address provided above.)	

Notes:

- Enrolments are accepted on a first-come-first-served basis with **priority given to CFIG members**. Telephone reservations will not be accepted.
- Full payment must be made before applications will be processed. Application by fax will ONLY be accepted when payment is made by credit card. Cash is strictly NOT accepted.
- The closing date for enrolment is **5 May 2014**.
- Confirmation will be sent by e-mail. If you have not received any confirmation by 8 May 2014, please contact Ms May Hung, on 2287 7009, or Ms Canace Leung, on 2287 7089.
- Unless the event is cancelled due to unforeseen circumstances, no refunds will be given after applications have been processed.
- Bad weather arrangement: The seminar will be cancelled if typhoon signal no. 8 or above / black rainstorm warning is hoisted, as announced by the Hong Kong Observatory, at or after 2:30 p.m. on the date of the event. In the event of cancellation due to bad weather, the admission fee will be refunded.

Your personal data collected from the enrolment process and administration of courses will be used for the purpose of the administration of the course on which you are enrolled. Such data collected may be accessible by the Institute's officers, persons or committees processing the application and related matters. In addition, the Institute may use the collected data for statistical research and analysis and, if applicable, for validation of CPD hours. The Institute intends to use the personal data of your name, email address and correspondence address to inform you, where relevant, of CPD activities, members' benefits, goods, services, facilities and events organized or provided by the Institute or other organizations. Members and registered students may opt out of receiving such materials at any time by logging in via the following link <https://www.hkicpa.org.hk/en/members-area/comm-preference/>. Non-members may opt out of receiving such materials at any time by sending an email to the Institute at privacyofficer@hkicpa.org.hk or a letter to the Institute's privacy officer. For more information about the privacy policy of the Institute, please go to <http://www.hkicpa.org.hk/en/service-tools/privacy-policy/>. **Please note that if you do opt out, you will no longer receive information about CFIG news and events.**

Payment & Enrolment Status Enquiry: 2287 7381
e-mail: finance@hkicpa.org.hk

Event Information Enquiry: 2287 7009 / 2287 7089
e-mail: may@hkicpa.org.hk

For payment by cheque, please fill-in your postal address for refund in case the event is full or cancelled.

Name :	Name :
Address :	Address :