



## Hong Kong Institute of CPAs & Securities Futures Commission

### Joint Seminar on PN 820 – The Audit of Licensed Corporations and Associated Entities of Intermediaries

<b>Date</b>	<b>Tuesday, 20 January 2009</b>
<b>Time</b>	6:30 p.m. – 8:30 p.m.
<b>Venue</b>	Auditorium, Hong Kong Institute of Certified Public Accountants, 27th Floor, Wu Chung House, 213 Queen's Road East, Wan Chai.
<b>Speakers</b>	<ul style="list-style-type: none"><li>- <b>Mr. Eric Tong</b>, Partner, Financial Services, Deloitte Touche Tohmatsu Hong Kong</li><li>- <b>Mr. Leo Lam</b>, Director, Intermediaries Supervision Department, Securities and Futures Commission</li><li>- <b>Ms. Ginni Wong</b>, Senior Manager, Intermediaries Supervision Department Securities and Futures Commission</li><li>- <b>Ms. Michelle Leung</b>, Senior Manager, Intermediaries Supervision Department Securities and Futures Commission</li></ul>
<b>Admission Fee</b>	HK\$190 for member / HK\$330 for non-member
<b>Event Code</b>	<b>F090120</b>
<b>CPD credit</b>	2 hours
<b>Application Deadline</b>	<b>14 January 2009</b>

#### ABOUT THE SEMINAR

The seminar comprises two parts as follows:

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|---|--|
| (A) Practice Note   | (B) Update on regulatory development and supervision of the broking industry   |
| <ul style="list-style-type: none"><li>• Description of Practice Note (PN) 820 covering the key areas and issues within the Practice Note</li><li>• Highlight of the key reporting responsibilities of the auditors</li><li>• Discussion of topical issues and areas of concern over applying PN 820</li><li>• Impact of the key Auditing Standards issued</li></ul> | <ul style="list-style-type: none"><li>• Key regulatory requirements applicable to securities margin financing</li><li>• Review of securities margin financing policies and practices</li><li>• Regulatory breaches and control deficiencies among the broking industry</li></ul> |

#### REGISTRATION

**To register**, please complete the enclosed enrolment form and return it with full payment to the Institute. Enrolments will be accepted **on a first-come-first-served basis** with priority given to the Institute's members.

**For enquiries**, please contact:

- 2287 7034 (Michelle Tse) for event information;
- 2287 7379 (David Lok) for payment and enrolment status.

**Acceptance is on a first-come-first-served basis. Confirmation of registration will be sent by e-mail. If confirmation has not been received on 15 January 2009, please contact Ms. Michelle Tse at 2287 7034 / Dora Ng at 2287 7220 or email: [mcs.msce@hkicpa.org.hk](mailto:mcs.msce@hkicpa.org.hk)**



Hong Kong Institute of CPAs &  
Securities Futures Commission -

**Joint Seminar on PN 820**  
**Enrolment Form**

MCS2 Event Code: F090120

Finance & Operations Department,  
Hong Kong Institute of CPAs  
37<sup>th</sup> Floor, Wu Chung House,  
213 Queen's Road East, Hong Kong.

Fax no: 2893 9853

**Registration deadline: 14 January 2009**

**FOR OFFICE USE**

Seq. no.: \_\_\_\_\_

Handled by: \_\_\_\_\_

[Please click here for online enrolment](#) (for HKICPA members only)

Please allow 4 days to process your application. To avoid delaying the process, please do NOT make any unnecessary enquiries. You can check your enrolment status at "MyCPA" at www.hkicpa.org.hk.

**Please type or print: -**

Name: (\*Mr. / Mrs. / Ms.) \_\_\_\_\_ HKICPA Membership No.: \_\_\_\_\_  
(if applicable)

Company name: \_\_\_\_\_

Position held: \_\_\_\_\_ Email: \_\_\_\_\_  
(for enrolment confirmation purpose)

Telephone No.: \_\_\_\_\_ Fax No.: \_\_\_\_\_

Please ✓ as appropriate

<b>Enrolment Fee:</b> <input type="checkbox"/> HK\$ 190 Member <input type="checkbox"/> HK\$ 330 Non-member			
<b>Payment by:</b> <input type="checkbox"/> Cheque no.: _____ (Bank: _____ ) <input type="checkbox"/> Visa / Master credit card			
*Cheque should be made payable to "Hong Kong Institute of Certified Public Accountants"			
For payment by credit card, please fill in the following:	Card no.:		
Cardholder's Name : (Please print)	Card Expiry Date (month/year) :		
Date :	Cardholder's Signature :		
<b>FOR OFFICE USE</b>	Auth. code no.	Handled by	Date

Note:

- No telephone reservation will be accepted.
- Full payment must be made before your enrolment will be processed.
- The closing date for enrolment is 14 January 2009.
- Confirmation email will be sent to successful participants by the Member & Corporate Services Department two working days prior to the event. If you do not hear from us by then, please contact Ms. Michelle Tse at 2287 7034
- Unsuccessful enrolment will be notified two days before the event with full refund by the Finance & Operations Department.
- Unless the event is cancelled due to unforeseen circumstances, no refund will be entertained after your enrolment has been processed.
- Bad weather arrangement: When typhoon signal no. 8 or above / black rainstorm warning is hoisted at or after 2:30 p.m. on the date of event. Admission fee will be refunded.

Payment & Enrolment Enquiry: 2287 7379  
e-mail: finance@hkicpa.org.hk

Event Information Enquiry: 2287 7034 / 2287 7220  
e-mail: mcs.msce@hkicpa.org.hk