

# Regulatory Issues for Listed Companies and some practical preventive measures



## Introduction:

Public reprimand, criminal sanctions, individual accountability and loss of reputation: these are some of the serious consequences of breaches of securities laws or listing rules. To avoid them or minimise the damages to you and your organisation, we have invited an experienced professional to talk on the topic. This seminar will discuss on the continuing obligations of listed issuers, the common breaches of the rules and some practical preventive measures.

## Highlights:

The speaker, Ms Jill Wong, will cover:

- Continuing obligations of directors and issuers of listed companies
- Inside information disclosure
- Accuracy of information contained in prospectus and announcements
- Timely publication of announcements, interim and annual results
- Corporate governance
- Whistle-blowers and complaints
- Dealing with HKEx and SFC together with case studies and recent enforcement examples

### Target audience:

**Listed issuers' directors, authorised representatives, accountants, company secretaries, legal and compliance officers etc.**

### Speaker Profile:



***Jill Wong***  
***Partner, Howse Williams Bowers***

Jill specialises in financial services and corporate regulatory and compliance issues, and has been identified as a leading lawyer in legal directories such as Chambers Asia Pacific, IFLR 1000, Who's Who Legal, AsiaLaw Leading Lawyers and Legal 500. She is named as an External Counsel of the Year in Asian-Mena's annual "Representing Corporate Asia and Middle East Survey 2013".

She was previously Deputy General Counsel at the Hong Kong Monetary Authority and was in-house counsel at Credit Suisse. In addition, Jill has also worked in leading international law firms in Hong Kong.

Jill's experience compasses all aspects of banking and securities laws and rules affecting listed companies. She is also active in new areas of regulatory scrutiny such as money-laundering, privacy, retail payment systems and competition. She advises on both contentious and non-contentious issues, and often in both capacities for the same clients; making Howse Williams Bowers' regulatory practice unique in its ability to advise clients from all perspectives.

She has hands-on practical experience in liaising with regulators, advising on regulatory compliance and implementing changes to internal practices, conducting internal investigations and advising on corporate governance. Jill has represented clients, both institutions and individuals, in numerous regulatory investigations and disciplinary inquiries.

Jill is active in publishing books and articles. She is an author of the Commentary and Annotations of the Securities and Futures Ordinance, published by Thomson Reuters and which is being updated in 2016. She is active in the financial services industry in several capacities, participating in the Editorial Board of Hong Kong Practical Guidance (published by LexisNexis) and serving on the HKICPA Disciplinary Panel and the British Chamber of Commerce Financial Markets Committee.

## Seminar Details

<b>Date:</b>	28 October 2016 (Friday)
<b>Time:</b>	2:30pm to 5:00pm
<b>Venue:</b>	Hong Kong Management Association, 4/F, Pico Tower, 66 Gloucester Road, Wan Chai, Hong Kong
<b>Medium:</b>	English
<b>Cancellation:</b>	There will be no refund for cancellation of booking initiated by the applicant. However, the registration may be transferred to another person from the same company or organization at no extra charge, subject to the prior consent of ICC-HK.
<b>Seat Confirmation:</b>	Seat confirmation is based on receipt of payment on a first come, first served basis.
<b>Enquiry:</b>	Contact Ms. Kokko Ko at Tel: 2973 0060 or e-mail to: <a href="mailto:publn@icchkcbc.org">publn@icchkcbc.org</a>

## Registration fee

**You will enjoy early bird discount if register and pay on or before 21 October, 2016.**

- ✧ HK\$ 750 /person (regular)
- ✧ HK\$ 650 /person (*early bird discount if register and pay on 21 October, 2016*)
- ✧ HK\$ 550 /person (for ICC-HK members)

## Registration

Interested parties, please complete the registration form and return to Ms Kokko Ko via [publn@icchkcbc.org](mailto:publn@icchkcbc.org) or fax to (852)2869 0360.

## REGISTRATION FORM

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**Time:** 2: 30p.m. – 5 p.m.  
**Venue:** Hong Kong Management Association, Pico Tower, 66  
 Gloucester Road, Wan Chai, Hong Kong  
**Medium:** English  
**CPD:** 2 Law Society CPD Points granted  
**Subject:** **“Regulatory Issues for Listed Companies and some practical preventive measures”**

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[publn@icchkcbc.org](mailto:publn@icchkcbc.org) for seats  
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 Ms Kokko Ko at Tel: 2973 0060

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