

The Hong Kong Society of Financial Analysts

Presents a seminar on

Securities and Futures Ordinance

19th August 2010 (Thursday)
7:00 p.m. - 8:15 p.m.

The Hong Kong Institute of Surveyors
Surveyors Learning Centre
Room 811, 8/F, Jardine House
1 Connaught Place, Central, Hong Kong

HK SFA is recognized by The Securities and Futures Commission (SFC) as an institution for providing Continuous Professional Training (CPT) Program. This seminar is qualified for 1 CPT hour.

As the recognized institution approved under SFC's CPT Program, the 1 CPT hour of this seminar is to receive due recognition from the Mandatory Provident Fund Scheme Authority (MPFA) as non-core CPD hours.



As a participant in the CFA Institute Approved-Provider of Continuing Education Program, the Hong Kong Society has determined that the above event qualifies for credit for the CFA Institute Continuing Education Program. Eligible for 1 CE/SER credit hour.

Securities and Futures Ordinance

With the increasing number of prosecution cases under the new SFO, it is important for all people in the industry to better understand this Ordinance. In particular, our common understanding may be quite different from that of the legal aspect. With more cases now concluded, there is better guidance available for us to follow.

Mr. Adrian Bell is a senior counsel experienced in dealing with investment related cases, and have represented the SFC in several cases. In this seminar, he will share with us his experience from the past cases which help illustrate the implementation and interpretation of the SFO.

About the Speaker:

Mr. Adrian Bell was born in UK. He studied Jurisprudence at Oxford University and was called to the Bar in London in 1976. Mr. Bell practised in London until 1979, then he joined the Legal Department in Hong Kong in 1979 (commercial crime unit) and was called to the Bar in Hong Kong in 1981. He has practised in Hong Kong as a barrister up to the present date. Mr. Bell specialises in securities and futures cases, commercial fraud and commercial litigation. He was appointed as senior counsel in 2010.

Securities and Futures Ordinance

Venue : The Hong Kong Institute of Surveyors, Surveyors Learning Centre
Room 811, 8/F, Jardine House, 1 Connaught Place, Central, Hong Kong

Date: Thursday, 19th August 2010

Time: **Registration** 7:00 p.m. – 7:15 p.m.
Presentation 7:15 p.m. – 8:15 p.m.

Fee: HKSF Member(s) at \$100/person
CFA Candidate(s) for Year 2010/11 at \$150/person
Guest(s) and non- Member(s) at \$200/person

Registration :

1. Interested parties are requested to **register online** at <http://www.hksfa.org>.
2. **Registration is only confirmed upon receipt of payment.**
3. **A place will be reserved for registrant upon successful online registration with email notification of registration details.**
4. After completing the online registration and payment process, registrants will receive email notifications with registration details. A reminder will also be sent before the event begins. If you have not received the email notification and reminder from HKSF, **it is the delegate's responsibility to contact HKSF to confirm their place.**

Policy for Substitutions, Cancellations and No Show :

1. **Registrations should be paid in full before the commencement of the event.** Immediate payment is required upon email confirmation. Should the registration fee remains outstanding, HKSF reserves the right to disallow entrance to the event.
2. **Full amount will still be charged** for **no show or enrolment made after Monday, 16th August 2010**, this would include those whose payment mode is "by cheque" but have not sent in the cheque to complete the payment process.
3. An administration fee HK\$50 will be charged for any cancellation of confirmed enrollment made on or before Monday 16th August. All cancellation requests must be made in writing and be confirmed by email from HKSF.
4. **Refund of the event fee (less an administration fee of HK\$50 per person)** will be given for cancellation received on/before Monday 16th August 2010.
 - **For payment made by credit card**, refund will be handled through the bank, please allow 4 to 6 weeks for processing. The amount will be refunded to the paid credit card account.
 - **For registrants whose payment mode is "by cheque"**, even if the cheque has not been sent to HKSF in full amount, the HK\$50 administration fee is also applicable and must be settled by registrants.
 - **For payment made by cash**, HKSF will arrange the refund cheque sending to registrants by mail, the amount will be the event fee less the administration fee HK\$50.
5. **No refund** will be given for cancellation received after 16th August 2010. For registrants whose payment mode is "by cheque" but have not sent in the cheque to complete the payment process, will still have to settle the event fee in full amount.
6. Substitutions are allowed. Please notify us prior to the event. Non-member rate applies if the substitute is not an HKSF member.
7. The Society reserves the right to change the venue, date or speaker of the event due to unforeseen circumstances.
8. To be awarded CPT/CPD/CE credit hours, full attendance of all parts of the event is required. No pro-rata credit hours will be awarded.