



HKTA seminar: Key Insights for Type 13 Licensing and Post-Licensing Requirements

The Talk will cover:

1. Highlights of licensing requirements for Type 13 regulated activity and related transitional arrangements.
2. Post-Licensing Regulatory Requirements for Type 13 Licensees at a glance, specific requirements under schedule 11 to the revised Code of Conduct, changes to the Product Codes and recent hot topic - VA custody in the context of spot VA ETFs.
3. Brief introduction of the examination format, syllabuses and learning outcomes for the two licensing examination papers under the Type 13 licensing regime and the grandfathering training programme offered by HKSI Institute.

**12
JUNE
2024**

**Wednesday
5.30PM -7.00PM**

**Hong Kong General Chamber of Commerce,
22/F United Centre, 95 Queensway. Admiralty, HK**

Speakers:

- **Mr. Eric Ho, Director of Licensing, Intermediaries, SFC**
- **Ms. Isabella Wong, Partner, Financial Services, Deacons**
- **Mr. Bernard Ho, Director - Curriculum & Examinations, Hong Kong Securities and Investment Institute**



**1.5 HKTA CPD point
1.5 CPD point for Law
Society being applied for**



English



**HKTA member \$500
Non-member \$600**



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Speakers

- **Mr. Eric Ho, Director of Licensing, Intermediaries, Securities and Futures Commission**

Mr. Ho has worked for the Securities and Futures Commission of Hong Kong for 25 years and is currently the Director of Licensing. He performs a gatekeeping role of the SFC to ensure that intermediaries and their representatives who intend to enter the Hong Kong securities industry meet the required regulatory standards. In particular, Mr Ho is responsible for developing licensing policies relating to the asset management sector, covering practitioners that operate public funds as well as private collective investment schemes, such as hedge funds and private equity funds, in Hong Kong. Before joining the SFC, Mr Ho has worked with the Hong Kong Monetary Authority, where he carried out the banking policy and banking supervision functions, and with KPMG as auditor. He holds a master degree in Finance and is a U.S. certified public accountant.

- **Ms. Isabella Wong, Partner, Financial Services, Deacons**

Ms. Wong has extensive experience servicing financial institutions on legal and regulatory matters. As a former regulator, Isabella gained hands-on experience in dealing with SFC regulatory matters (covering licensing and compliance aspects) for asset managers, investment banks, dark/liquidity-pool operators, sponsors and brokers etc., alongside participating in policy drafting and consultation works in relation to new regulatory regimes. Isabella also worked in a global asset manager and counseled its investment management and funds distribution businesses in the APAC (ex-Japan) regions. At the beginning of her legal career, Isabella served an international law firm as a capital market lawyer. She is a Member of the Law Society of Hong Kong and a practising lawyer in Guangdong-Hong Kong-Macao Greater Bay Area, China.

- **Mr. Bernard Ho, Director - Curriculum & Examinations, Hong Kong Securities and Investment Institute**

Mr. Ho is an experienced finance professional with nearly 30 years of expertise. Currently, as the Director of Curriculum and Examinations at the HKSI Institute, he oversees the examination department, ensuring alignment of licensing examinations and professional qualification programmes with legal, regulatory, and market requirements. Mr. Ho's dedication to quality assurance extends to the development and updating of study materials and the examination question bank. With a strong background in risk consulting and accounting, he possesses extensive knowledge of SFC regulations, IPOs, and corporate governance. He holds a bachelor's degree in economics and is a U.S. certified public accountant.

HKTA Seminar:

Key Insights for Type 13 Licensing and Post-Licensing Requirements



香港信託人公會
Hong Kong Trustees' Association

Enrolment Form

Date : 12 June 2024 (Wednesday) Time : 5:30pm - 7:00pm

Language : English

Fee : \$500 HKTA member

Venue : HKGCC, 22/F United Centre, 95 Queensway, Admiralty

\$600 Non-member

CPD credit : 1.5 HKTA CPD point & Law Society being applied for

Company Details

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Attendee(s) Details

First name	Last Name	Email	Tel no.	Fee
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Total:

Payment method

- Cheque payment (payable to "HK TRUSTEES' ASSOCIATION LTD") is attached and sent to HKTA, Room 739, 7/F, Grand Millennium Plaza, 181 Queen's Road Central, HK
- By bank transfer (**Standard Chartered Bank A/C No. 447-0-024582-3**). Please **email the bank receipt** (indicate attendee's full name and seminar date on it) to carmenwong@hktrustees.com
Please include payment of all bank charges if you settle the payment via bank remittance.

e-Receipt will be issued in favour of company name unless otherwise stated:

Do you require a CPD Certificate?

Yes, CTP no.

No

Note:

1. Enrolments with full payment are accepted on a first-come-first-served basis.
2. Post payment and post-dated cheque will NOT be accepted.
3. Payment is non-refundable unless the event is cancelled by the Association.
4. Enrolled participants will receive an e-mail confirmation at least 2 working days before the seminar. Unsuccessful applicants will also be notified around the same time. If you have not heard from us, please contact the HKTA Secretariat at 3511 6030 or queries@hktrustees.com. Seminar recording is not available.
5. The e-Attendance certificate will be issued within 10 working days after the seminar.
6. Attendees must provide and sign in the seminar with the same full name provided in this enrolment form.
7. No CPD point will be granted if the attendee is late or early departure for 10 minutes for the seminar.
8. If a black rainstorm warning or typhoon no. 8 is hoisted, the seminar may be cancelled or postponed. Please refer to the Association's announcement on its website on the day of the seminar.