



CHKLC & MinterEllison LLP

Listing Rules and Market Regulations Seminar Series

16 February · 23 February · 9 March | 4:30 pm – 5:30 pm

1 CPT per session

The Chamber of Hong Kong Listed Companies (CHKLC) is pleased to have invited law firm MinterEllison LLP to give a series of three seminars for our members concerning listing rules and market regulations. In these seminars, we will cover our thoughts on recent enforcement trends, including listing rules concerning listed issuers deemed to have insufficient assets and operations and the aftermath to them, the trading resumption process and challenges, as well as the enhanced regulatory powers of the Accounting and Financial Reporting Council and potential implications to listed issuers.

Details of Seminars:

Date :	16 February; 23 February; 9 March 2023		
Time :	4:30 pm – 5:30 pm		
Venue :	The Chamber of Hong Kong Listed Companies Rm 3710, 37/F, Hopewell Centre 183 Queen's Road East, Wanchai, Hong Kong		
Fee :	CHKLC Members : HK\$180.00 (each session)	Others: HK\$250.00 (each session)	
Language :	Cantonese supplemented with English	CPT :	1 CPT Hour (each session)

Enquiry : (852) 2970 0886-7 · info@chkcl.org · www.chkcl.org
Reservation will be confirmed on a first-come-first-served basis
CHKLC reserves the right of final discretion should there be any changes to the event



EVENT DETAILS

16 February 2023 Listed Companies with Insufficient Assets and Operations

This seminar will cover the latest trends of the Stock Exchange's regulation of Hong Kong listed companies, focusing on the concerns arising from the regulator's use of the requirements of sufficient operations and assets set out in Main Board Listing Rules 13.24 and GEM Board Listing Rules 17.26. The recent application of these requirements has given rise to suspension of trading of shares or even delisting of Hong Kong listed companies. This seminar will share insights in this regard arising from recent cases, and practical considerations listed companies ought to pay attention to.

23 February 2023 Resumption of Trading Applications and Corporate Internal Investigations

This seminar will cover the latest trends of Hong Kong listed company internal investigations, and share insights on the major key points to note from a legal and regulatory perspective. It will touch on the latest regulatory requirements and challenges in resumption of trading applications in this regard.

9 March 2023 Regulatory Revamp – The “Evolved” Financial Reporting Council

This seminar will discuss the new regulatory regime of the Accounting and Financial Reporting Council, covering an introduction to the new regulatory regime, and deliberate how the Accounting and Financial Reporting Council will make use of its regulatory powers, and potential implications on listed companies in Hong Kong.

About the Speakers



Desmond Yu
Partner
MinterEllison LLP

Desmond has over 20 years of extensive experience in regulatory matters and complex commercial litigation, with a focus on contentious financial services and regulatory matters, including compliance and governance matters, statutory/confidential investigations, disciplinary proceedings and statutory public inquiries, and financial services and securities related criminal matters.

Desmond represents a wide spectrum of clients, including international conglomerates, state-owned enterprises, publicly listed companies, financial institutions and fund managers, high net-worth individuals, and participants of all levels in the financial industry. Desmond's experience in matters involving financial regulators (such as The Stock Exchange of Hong Kong Limited), statutory bodies (such as the Hong Kong Monetary Authority, Securities and Futures Commission, and Accounting and Financial Reporting Council) and other law enforcement agencies (such as the Commercial Crime Bureau of the HK Police and the Independent Commission Against Corruption).

Desmond's experience makes him one of the rare bilingual experts in this area of practice in Hong Kong.



Jun Kwong
Partner
MinterEllison LLP

Jun has 10 years of experience, currently focusing on regulatory matters, commercial litigation, competition, and probate and estate administration. In respect of securities regulatory matters, Jun has extensive experience in assisting listed companies, directors and other individuals in regulatory investigations brought by regulators (including the Securities and Futures Commission and The Stock Exchange of Hong Kong Limited), and in relevant regulatory proceedings (including Market Misconduct Tribunal proceedings). Jun also has experience in advising the Accounting and Financial Reporting Council on various significant matters concerning statutory investigations and enquiries.

Jun has handled various independent internal investigations conducted by listed companies concerning allegations of corporate misconduct, malfeasance or fraud, internal compliance policies and procedures and corporate governance. Jun also has practical experience in handling competition law matters, including enforcement actions commenced by the Competition Commission of Hong Kong.

To: The Chamber of Hong Kong Listed Companies
Tel: (852) 2970 0886-7 Fax: (852) 2970 0555

Attn: Ms. Josie Ling
Email: josieling@chkcl.org

Registration Form

Listing Rules and Market Regulations

16 February · 23 February · 9 March 2023

(1 CPT Hour each session)

Part 1: Registration Details (Please ✓ the appropriate boxes)

CHKLC Members | Others

Contact Person :

Company : _____ Code : _____

Address : _____

Name : _____ Job Title : _____

Tel : _____ Mobile : _____ Email : _____

Part 2: Full Name of Participants:

	Name	Job Title	Email	Session(s)	CPT Enquired (Y/N)	Fee(s)
1						
2						

Total Fees: _____

Part 3: Programme Details (Please ✓ the appropriate boxes) (CHKLC Members: \$180 ; Others: \$250)

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|----|------------------------------------|------------------------|--|
| 1. | <input type="checkbox"/> Session 1 | 19 February 2023 (Thu) | Listed Companies with Insufficient Assets and Operations |
| 2. | <input type="checkbox"/> Session 2 | 23 February 2023 (Thu) | Resumption of Trading Applications and Corporate Internal Investigations |
| 3. | <input type="checkbox"/> Session 3 | 9 March 2023 (Thu) | Regulatory Revamp – The “Evolved” Financial Reporting Council |

Part 4: Notes

Fees paid by crossed cheque should be made payable to “The Chamber of Hong Kong Listed Companies”.
Please mail to Room 3710, 37/F, Hopewell Centre, 183 Queen’s Road East, Wanchai, Hong Kong

Bank remittance: Standard Chartered Bank (HK) Ltd. (HKD S/A : **003-447-1-089308-9**). Participants who submit the bank receipt are requested to write their name, company and sent email via josieling@chkcl.org for confirmation of payment.
All local and overseas bank charges are to be borne by remitter.

Registration will be confirmed upon full payment by email notification.

Registration fees paid are not refundable except if the event is fully booked or cancelled by CHKLC.

Participants must attend the whole event including the question & answer session. Otherwise, no CPT hour will be given.

CHKLC reserves the right of final discretion should there be any changes to the event.

For enquiry, please contact CHKLC’s Secretariat at (852) 2970 0886-7 or email to info@chkcl.org.