

HKTA seminar: Overview and insights into regulatory requirements for RA13

The Talk will cover:

Ever since the publication of the consultation conclusions which set out the regulatory requirements and expectations of the Securities and Futures Commission (SFC) for the new Type 13 licensed entities, the industry has been looking at ways to ensure continuing compliance with all relevant SFC regulatory requirements.

Meanwhile, the Securities and Futures (Financial Resources) Rules, known as the “FRR”, have been implemented by the SFC to establish the minimum capital and financial requirements that Licensed Corporations engaged in regulated activities must maintain to ensure the stability and integrity of the financial industry.

In this seminar, KPMG will provide an overview of common compliance and reporting challenges faced by Licensed Corporations when complying with the Financial Resources Rules and preparing their FRR return for filing to the SFC. KPMG will also introduce other areas of concern and challenges with respect to governance and oversight requirements, recording keeping requirements, and client money and client securities rules etc.

KPMG’s presentation during this seminar will include:

- Governance and oversight arrangements, including that for ROs and requirements under the SFC MIC regime
- Client money and client securities rules surrounding scheme money and scheme securities, including requirements under Schedule 11
- Recording keeping and notification requirements
- Financial resources rules, including the key requirements as well as the common challenges and pain points

**FRI
10 MAY
2024**

**3:30 PM - 4:00 PM REGISTRATION
4:00 PM - 5:00 PM PRESENTATION
5:00 PM - 6:00 PM NETWORKING**

**KPMG office, 8th Floor, Prince's Building,
10 Charter Road, Central**



1 HKTA CPD point



**English
Fee: Complimentary**

**Register
now –
spaces are
limited.**



Speaker

- **Longhui Loo, Director, Governance, Risk and Compliance Services, Hong Kong (SAR) KPMG China**

Longhui is a Director with more than ten years of experience in serving clients in the financial services industry. Prior to joining KPMG, he had extensive experience in managing and performing external audit work, alongside providing assurance and advisory services focused on regulatory compliance to various financial institutions in Hong Kong and the United Kingdom. Through leading engagement teams on various assurance and advisory engagements, he possesses extensive knowledge on different business processes and controls of banks, asset management companies and insurers.

REGISTER NOW



Fee: Complimentary

Register: Click [here](#) or by scanning QR code



1. 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.
2. The e-Attendance certificate will be issued within 10 working days after the seminar.
3. Attendees must provide and sign in the seminar with the same full name provided in this enrolment form.
4. No CPD point will be granted if the attendee is late or early departure for 10 minutes for the seminar.
5. 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.