



## 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.

**12  
JUNE  
2024**

**Wednesday  
5.30PM -7.00PM**

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



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



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



**REGISTER NOW**





## 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.



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

Company Name :

Contact Person :

Email :

Phone Number :

#### Attendee(s) Details

First name	Last Name	Email	Tel no.	Fee
				<input type="checkbox"/> \$500 HKTA member <input type="checkbox"/> \$600 Non-member
				<input type="checkbox"/> \$500 HKTA member <input type="checkbox"/> \$600 Non-member
				<input type="checkbox"/> \$500 HKTA member <input type="checkbox"/> \$600 Non-member
				<input type="checkbox"/> \$500 HKTA member <input type="checkbox"/> \$600 Non-member
				<input type="checkbox"/> \$500 HKTA member <input type="checkbox"/> \$600 Non-member

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](mailto: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:

- Enrolments with full payment are accepted on a first-come-first-served basis.
- Post payment and post-dated cheque will NOT be accepted.
- Payment is non-refundable unless the event is cancelled by the Association.
- 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](mailto:queries@hktrustees.com). Seminar recording is not available.
- The e-Attendance certificate will be issued within 10 working days after the seminar.
- Attendees must provide and sign in the seminar with the same full name provided in this enrolment form.
- No CPD point will be granted if the attendee is late or early departure for 10 minutes for the seminar.
- 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.