

SEMINAR ON REVISED CODE ON UNIT TRUSTS AND MUTUAL FUNDS

Speakers : Sophia Man, Partner, Baker McKenzie
Kennan Castel-Fodor, Lawyer, Baker McKenzie
Date : Thursday, 19 March 2020
Time : 5:30pm – 6:30pm (Registration starts at 5:00pm)
Venue : Baker & McKenzie, 14th Floor, One Taikoo Place, 979 King's Road, Quarry Bay
CPD : One point for HKTA Certified Trust Practitioner™
: Law Society CPD point being applied for

The talk will cover:

- Obligations of trustees/custodians
 - New elements to existing obligations relating to internal controls and systems
 - Codification of implied existing obligations
 - New obligations
 - Proper monitoring of cash flow
 - Measures to verify ownership of scheme property
 - Escalation mechanisms for breaches
- Trustees/custodians' role in relation to duties of the manager
 - Why trustee/custodians should care about the manager's role
 - Existing duties
 - New "Key Control Attribute"
- Key changes relating to managers
 - Minimum capital requirement
 - Investment expertise and experience
 - Enhanced obligations
- Investment restrictions
 - Financial derivatives instruments
 - Diversification requirements
 - Liquidity profile
 - Money market funds
- Additional derivatives disclosure
- Scheme changes and notification
 - Changes that require SFC's prior approval
 - Notice requirements to investors

Speakers biographies:

Sophia Man, Partner, Baker McKenzie

Ms. Man is a Partner with Baker McKenzie in the Hong Kong office. Ms. Man has over 18 years' experience in advising trustees, fund managers, custodians, administrators and employers on fund formation, restructuring, investment and regulatory matters. Sophia is the chair of the Retirement Schemes Committee of the Hong Kong Law Society. She advises leading pension service providers on establishment, on-going maintenance, compliance and regulatory (including investigations and enquiries), M&A and restructuring issues relating to pension schemes.

Kennan Castel-Fodor, Lawyer, Baker McKenzie

Mr. Castel-Fodor is a Registered Foreign Lawyer with Baker McKenzie in the Hong Kong office. He provides advice to MPF schemes and their service providers on all aspects of the scheme business, including on-going maintenance, restructuring, compliance and regulatory issues. He has experience in US regulatory issues related to fund structure / formation, marketing and registration requirements for non-US clients. Mr. Castel-Fodor also has experience advising US registered funds and their boards, investment advisors and related financial services firms. He is actively engaged in the Firms' global commodities and derivatives practice

For further enquires:

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SEMINAR ENROLLMENT FORM

Topic : Revised Code on Unit Trusts and Mutual Funds
Speakers : Kennan Castel-Fodor, Lawyer, Baker McKenzie
Sophia Man, Partner, Baker McKenzie
Date : Thursday, 19 March 2020
Time : 5:30pm – 6:30pm (Registration starts at 5:00pm)
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Seminar Fee : HK\$400 (member); HK\$450 (non-member)
CPD points : One point for HKTA Certified Trust Practitioner TM
: Law Society CPD point being applied for

Name of Company _____

Name(s) of attendee(s) _____

Contact Person: _____ Phone: _____

(Please provide email address of each attendee for sending confirmation and attendance certificate)

Email: _____ Mobile: _____

Payment (please tick as appropriate)

☐ HK\$400 (member) x _____ Person = HK\$ _____

☐ HK\$450 (non-member) x _____ Person = HK\$ _____

Payment method (please tick as appropriate)

☐ Cheque payment (made payable to “HK TRUSTEES’ ASSOCIATION LTD”) is attached and sent to **HKTA, Room 1103, 11/F., V Heun Building, 138 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

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

Do you require an attendance certificate? (please tick as appropriate)

☐ Yes (attendees must sign in and out at the seminar and be present throughout the seminar)

☐ No

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1. Post-dated cheque will **NOT** be accepted.
2. Payment are non-refundable unless the event is cancelled by the Association.
3. Seat reservation is confirmed on a first-come first-served basis with full payment.
4. e-Attendance certificate will be issued within 10 working days after the seminar.