

Course Outline 課程簡介

Recent consideration and investigation trends of SFC & ICAC

證監會及廉政公署最近審議及調查趨勢

- An outline of the Regulatory Framework governing Listing Companies and SFC Licenced Corporations in Hong Kong with focus on fraud prevention and detection, internal audit and fraud risk management.
- To consider, from the perspective of a former senior member of ICAC the practiced and compliance issues relating to the exercise of investigation powers of the Securities and Futures Commission (“SFC”) under the Securities and Futures Ordinance;
- References will be made to recent investigations by the SFC and ICAC.