



香港上市公司商會

THE CHAMBER OF HONG KONG LISTED COMPANIES

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## CHKLC DIRECTOR TRAINING SERIES 2021

A six-part training programme aiming at supporting directorship in Hong Kong

**Event Dates: 29 Apr / 27 May / 24 Jun / 9 Sep  
7 Oct / 4 Nov 2021  
(Thursday 4:30 pm – 6:30 pm)**



**Programme Partner:  
BDO Limited**



**Supporting Organisation:  
The Hong Kong Independent Non-Executive  
Director Association**



Company directors play a pivotal role in company success. With the increasing demand of corporate governance and ESG of listed companies both from the regulators and shareholders, coupled with the tightening of various sets of rules and regulations with more serious consequences, company directors operate in an increasingly challenging environment. Once again, the Chamber of Hong Kong Listed Companies is launching a training programme for company directors. Addressing the common issues faced by directors, the programme will equip directors with the most relevant information and updated knowledge about directorship and will help them discharge their duties effectively.

The whole programme comprises six sessions dealing with the important aspects of directorship for a listed company. These range from corporate governance, risk management to the latest updates in various applicable rules and laws. Attending this training series will fulfill the training requirements under the revised Code of Corporate Governance by the HKEX.

The Chamber is pleased to partner with BDO in offering this programme whose involvement ensures the relevance of the topics covered and adds depth to the discussion.

<b>Date:</b>	29 Apr / 27 May / 24 Jun / 9 Sep / 7 Oct and 4 Nov 2021	
<b>Time:</b>	Thursday 4:30 pm – 6:30 pm	
<b>Venue:</b>	The webinars will be delivered via ZOOM (Login details will be provided to participants in the confirmation email)	
<b>Language:</b>	English for Session 1 / Cantonese for Session 2 to 6	
<b>Fee:</b>	<u>CHKLC Members / BDO Clients &amp; Contacts / Members of HKiNED Association:</u> Full Course - HKD2,700 Per Session(s) – HKD500	<u>Non-member:</u> Full Course - HKD3,240 Per Session(s) – HKD600
<b>CPT:</b>	2 CPT Hours Per Session (Total 12 CPT Hours)	
<b>Session Topics:</b>	<ol style="list-style-type: none"> <li>1. What Makes a Good Board and Director Duties (Conducted in English)</li> <li>2. Insights on Listed Companies Suspension</li> <li>3. Insights on Climate Change Disclosure Analysis and Managing Transition Challenges</li> <li>4. SFC and HKEX's Regulatory Oversight, Enforcement Actions and Director's Liabilities</li> <li>5. The Latest Challenges of IT Security Risk</li> <li>6. Annual Regulatory Update 2021</li> </ol>	

12 CPT Hours

**Enquiry:** CHKLC Secretariat ☎ (852)2970 0886-7 📠 (852)2970 0555 @ info@chkclc.org

CHKLC reserves the right of final discretion should there be any changes to the event.  
[www.chkclc.org](http://www.chkclc.org)



SESSION 1

**What Makes a Good Board and Director Duties  
(Conducted in English)**

29 April (Thu)

Overview: |

- What a good board looks like; characteristics and challenges of boards in Hong Kong
- Board composition and roles played by different members; advice to achieve greater board diversity
- Essential board processes and how to improve them
- Director duties under recent Hong Kong rule requirements and increasing disciplinary enforcement

**Neil Waters**

**Managing Partner & Office Leader, Hong Kong, Egon Zehnder**

Neil Waters leads the Hong Kong office and the firm's board and CEO succession practice in Hong Kong. He has spent more than 20 years advising global clients on a range of challenging matters related to CEO and board succession. His clients include governments, community organizations, and private sector companies in numerous industries. During his time at Egon Zehnder, Neil has also played a senior role in professional development of the firm's consultants globally.

Prior to joining Egon Zehnder, Neil was a Consultant and Engagement Manager with McKinsey & Company. Earlier in his career, he was a Systems Engineer and Marketing Representative with IBM Australia.

Neil has an electrical and electronic engineering degree from the University of Adelaide in South Australia and an MBA from Cornell University in the U.S. When not working, he enjoys European handball, chess, reading, sharpening his Latin, and curling. He has also served on the board of the Melbourne International Festival of the Arts, the leading arts festival in Australia.

SESSION 2

**Insights on Listed Companies Suspension**

27 May (Thu)

Overview: |

- Types of suspension initiation
- Regulatory update: suspension and delisting regime
- Case studies – common causes of suspension
- Resumption review process
- Response strategies to successful resumption

**Vivian Chow**

**Principal of Risk Advisory, BDO**

Vivian Chow is an experienced professional drawing upon a background that includes corporate governance, regulatory and compliance, consulting, and audit and financial reporting in Hong Kong, China and the United States.

Vivian has worked with a diverse group of clients from non-governmental organisations to multinational public and private companies across several industries in providing corporate governance, risk management, internal audit, and regulatory and compliance review and readiness.

Vivian is a US Certified Public Accountant.

## Overview:

- An overview of global climate change disclosure landscape
- Insights from climate change disclosure analysis
- Climate change governance
- Climate change sectors' impact
- Risks and opportunities
- Decarbonisation strategy – case studies

## Ricky Cheng

## Director and Head of Risk Advisory, BDO

Ricky Cheng specialises in assisting clients in managing their internal audit function and meeting corporate governance requirements in both China and Hong Kong.

Ricky has 20 years of risk and assurance experience. He worked for large international accounting firms and had commercial internal audit experience. His expertise covers various services such as Sarbanes-Oxley Compliance, risk management assessment, compliance assistance, corporate governance compliance review, internal audit assistance, business process review, Environmental, Social and Governance (ESG) readiness and reporting support services review, stored value facilities (SVF) licence independent assessment review, etc.

The portfolio of clients managed by Ricky comes from various industries including transportation, property development and construction, gaming and entertainment, hospitality, manufacturing, gold and minerals mining, fast moving consumer goods, retailing and department chain stores, financial institutions such as brokerage houses and derivative products companies.

Ricky is a frequent event speaker of related topics for professional body organisations and training for listed and non-listed companies.

## Current and past professional/public appointments

- Member, Advisory Peer Group of the Open University of Hong Kong (2020 – present)
- Member, Membership Committee of The Institute of Internal Auditors Hong Kong (2019 – present)
- Member, Sustainability Committee of The Hong Kong Institute of Certified Public Accountants (2018 – present)
- Member, Training Committee of The Hong Kong Institute of Directors (2013)
- Member, ACCA Hong Kong Committee

## Qualifications and professional affiliations

- Fellow of the Hong Kong Institute of Certified Public Accountants
- Fellow of the Associate of Chartered Certified Accountants
- Certified Internal Auditor

## Peter Pang

## Director of Risk Advisory, BDO

Peter Pang has extensive experiences in managing corporate governance, risk management, internal control review, internal audit, Sarbanes-Oxley and other assurance projects for local, regional and international clients.

Peter has more than 20 years of risk and assurance experience. Prior to joining BDO, he was the Head of Risk of a listed aircraft leasing company with operations in Asia, Europe and America. He also worked in a large international accounting and advisory firm as head of department.

Peter served clients in various industries with a focus on financial services, including banking, securities, fund and asset management, trust operation, investment banks, aircraft leasing, airlines, regulatory and professional organisations, public services, property development, trading, manufacturing and retailing.

## Qualifications and professional affiliations

- Fellow of the Hong Kong Institute of Certified Public Accountants
- Fellow of the Institute of Chartered Accountants in England and Wales
- Certified FRM of Global Association of Risk Professionals (GARP)

**SESSION 4****SFC and HKEX's Regulatory Oversight, Enforcement Actions and Directors' Liabilities****9 September (Thu)**

## Overview: |

- Explain SFC and HKEX's regulatory powers over listed issuers and directors
- Analyse themes of recent enforcement actions with real case illustration
- Common pitfalls for directors in SFO and listing rules compliance

**Jimmy Chan****Solicitor**

Jimmy Chan is a solicitor in private practice. He worked at two international law firms and spent 14 years with the Hong Kong Securities and Futures Commission (SFC) and served as Director and Head of International and Policy of the Enforcement Division before leaving the SFC in 2017. He has twice been awarded the Outstanding Individual Award by the SFC for his efforts on the Lehman Brothers Minibond resolution and the securities and futures appellate work respectively. He graduated from the University of Hong Kong, University College London and Harvard Law School. He is a recipient of Chevening Scholarship and Harvard HKJC Scholarship. He is qualified as a solicitor in Hong Kong and England and Wales (non-practising) and as an attorney in the State of New York.

**SESSION 5****The Latest Challenges of IT Security Risk****7 October (Thu)**

## Overview: |

- IT Security gaps in endpoints during global pandemic
- Ransomware and cyber-extortion payments double in 2020
- Keeping up with global data security regulations
- Cybersecurity and the business: aiming for alignment

**Roger Lo****Senior Manager of Risk Advisory, BDO**

Roger Lo has over 10 years of professional experience in data security on IT infrastructure and systems. With a mixed business and information technology background, he has worked in Fortune 500 companies, insurance, hospital, and telecommunications to provide technical review and policy management on cybersecurity, IT system, sensitive data & IT infrastructure.

His clients are corporations listed in Hong Kong & China, he has conducted data integrity review for a number of regulated businesses, such as Securities firms, Assets Management, Casino, Hospitality, Manufacturing & Retail. Particularly, Roger's duties are advising on reengineering these businesses by providing IT risk assessment in compliance to China Cybersecurity Law, ISO 27001 as well as US NIST Cybersecurity Framework.

He is a Certified ISO/IEC 27001 Senior Lead Auditor, member and Certified Information Systems Auditor (CISA) of the Information Systems Audit and Control Association (ISACA), associate member of Cloud Security Alliance (CSA) and was a Cisco Certified Network Associate (CCNA).

**Helicon Ho****Assistant Manager of Risk Advisory, BDO**

Helicon Ho has extensive experience in software development and IT consultation for both software development and implementation.

Helicon has a mixture background of Business and IT which gives him the edge to understand business pain point and develop and design software accordingly. He worked for leading Microsoft partners in Hong Kong and had led project to deliver custom solution to a leading utility company in Hong Kong. The experience from IT consulting and software development enrich his approach to IT audit activities.

The clients that Helicon served comes from various industries including retail, charity, property developer and e-commerce business. He had gained broad exposure to different business models and operation inefficiency.

Helicon is an open source project contributor. He is a Certified Information Systems Auditor (CISA).

## Overview: |

- An annual update on the laws and regulations that affect or are of concern to listed companies
- An annual date on the amendments (if any) to the Listing Rules, the Securities and Futures Ordinance, and the Companies Ordinance affecting listed companies

**Daniel Wan****Partner, Head of IPO/ECM Hong Kong, Addleshaw Goddard (Hong Kong) LLP**

Daniel graduated from the University of Leicester, UK with a first class honours degree in law. Daniel was admitted as a solicitor of the High Court of Hong Kong and the Supreme Court of England and Wales.

Daniel specialises in HK IPOs. Daniel has helped 30 companies to list in Hong Kong since 2013. In terms of total number of successful HK IPOs, Daniel's law firm, Addleshaw Goddard is one of the top 10 HK IPO law firms acting for underwriters. Addleshaw Goddard is recognized by Legal 500 under the "Hong Kong – Capital Markets (Equity)" category in four consecutive years of 2018, 2019, 2020 and 2021.

Daniel also took part in HKEX' reforms in 2017, 2018, 2020 and 2021. Daniel represented various sponsor firms and a number of investment bankers to submit responses and provide various suggestions to HKEX.

Daniel provides IPO and sponsor related courses at the HK Law Society, HKICS, HKICPA and HKSI. Daniel also gives seminars to listed companies and investment bankers from time to time.

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](mailto:josieling@chkcl.org)

**Registration Form**  
**CHKLC DIRECTOR TRAINING SERIES 2021**  
**(2 CPT hours per session)**

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

CHKLC Member       BDO Client / Contact       HKINEDA Member       Non-member

**Contact Person:**

Company: \_\_\_\_\_ Code : \_\_\_\_\_

Address: \_\_\_\_\_

Name: \_\_\_\_\_ Job Title: \_\_\_\_\_

Tel.: \_\_\_\_\_ Mobile: \_\_\_\_\_ Email : \_\_\_\_\_

**Full Name of Participants:** (Please ✓ the appropriate boxes)

No.	Name	Job Title	Email	Session (S) / Full Programme (FP)	Fee
1				<input type="checkbox"/> S x ( ) <input type="checkbox"/> FP	
2				<input type="checkbox"/> S x ( ) <input type="checkbox"/> FP	
3				<input type="checkbox"/> S x ( ) <input type="checkbox"/> FP	
4				<input type="checkbox"/> S x ( ) <input type="checkbox"/> FP	
5				<input type="checkbox"/> S x ( ) <input type="checkbox"/> FP	

Note: For online registrations made by contacts of BDO and members of The Hong Kong Independent Non-Executive Director Association, please use the registration codes of "BDO" and "HKINEDA" respectively under the "Partner Code" section.

Total (HK\$) : \_\_\_\_\_

**Part 2: Programme Details** (Please ✓ the appropriate boxes) (Member/Partner: FP \$2700 / S \$500 ; Non-member: FP \$3240 / S \$600)

1.	<input type="checkbox"/> Full Programme (FP)	(29 April to 4 November 2021)
2.	<input type="checkbox"/> Session 1	29 April 2021 (Thu) What Makes a Good Board and Director Duties (Conducted in English)
3.	<input type="checkbox"/> Session 2	27 May 2021 (Thu) Insights on Listed Companies Suspension
4.	<input type="checkbox"/> Session 3	24 June 2021 (Thu) Insights on Climate Change Disclosure Analysis and Managing Transition Challenges
5.	<input type="checkbox"/> Session 4	9 Sept 2021 (Thu) SFC and HKEX's Regulatory Oversight, Enforcement Actions and Director's Liabilities
6.	<input type="checkbox"/> Session 5	7 Oct 2021 (Thu) The Latest Challenges of IT Security Risk
7.	<input type="checkbox"/> Session 6	4 Nov 2021 (Thu) Annual Regulatory Update 2021

**Part 3: 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: Please provide the bank-in slip via [josieling@chkcl.org](mailto: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](mailto:info@chkcl.org).