

## Anatomy of a law enforcement/regulatory “dawn raid”

*Presenter:*

**Kevin Yam**, Partner, Kennedys  
**Bertha Ng**, Associate, Kennedys

### Course Details:

<b>Date:</b> 28 September 2018, Friday	<b>Language:</b> English	<b>CPD Law Points:</b> 2.0
<b>Time:</b> 2:30 pm – 4:40 pm	<b>Level:</b> Standard <sup>3</sup>	<b>CPD BC Law Points:</b> 2.0
<b>Venue:</b> Room 201, 2/F Prosperous Building, 48 - 52 Des Voeux Road Central, Hong Kong	<b>Fee:</b> HK\$1,600 / HK\$1,440 (for online registration)*	<b>CPT SFC<sup>1</sup>:</b> 2.0
		<b>CFA CE<sup>2</sup>:</b> 2.0

Regulators and law enforcement agencies have in recent times become more aggressive in investigating alleged large-scale corporate misconduct, bribery and fraud. This means that major executions of search warrants and the exercise of immediate arrest and interview powers (which together are features of what is commonly referred to as “dawn raids” conducted by law enforcement agencies and regulators) has become and could, for some time to come, continue to be more widespread. In this seminar, we will conduct a run through of some of the main practical issues associated with facing and handling a dawn raid, as well as follow-up work and issues in its aftermath. “War stories” from past experiences will be recounted along the way.

### Highlights of the course include:

- Overview of investigative agency powers (ICAC, SFC, etc.)
- Pre-Raid Planning: How your company can prepare for the unexpected
  - When and who to call in event of a ‘raid’?
  - Where to put the law enforcement/regulatory agents?
  - What documents can you provide? Computers?
  - Understanding ‘Privileged Documents’
- Responding to investigators
- Secrecy provisions
- Aftermath and follow-up
- Case studies

**Note 1 – CPT Requirements:** Our courses can fulfil CPT requirements. The Securities & Futures Commission has advised that although formal endorsement will not be given for the training we provide, it does not mean that the training programmes we organize do not meet the CPT purpose. Registrants should note that your employer, as **the corporate licensee** of your SFC registration, **is responsible for determining** whether our courses or any training course satisfy CPT requirements i.e. **that the training you receive are of appropriate standard and relevance to your maintaining and enhancing the technical knowledge and professional expertise**. Please check with your employer before registering for our courses. C&S does not warrant that the attendance of our courses would automatically be recognized by the SFC as fulfilling your CPT requirements.

**Note 2 –** As a participant in the CFA Institute Approved-Provider Program, C&S has determined that this program qualifies for 2 credit hours. If you are a CFA Institute member, CE credit for your participation in this program will be automatically recorded in your CE Diary.

**Note 3 – Standard:** for those who have basic knowledge of the topic.

\*For registration conditions & further queries, please contact our office at (852) 2901-1333 or visit our website at <http://www.courses-seminars.com>

Enjoy up to 10% Discount for Online Registration!

### Registration Form

#### Course Details:

**Course Name:** Anatomy of a law enforcement/regulatory "dawn raid"

**Course Code:** CPD1802028

#### Participant(s) Details:

Firm / Company: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Nature of Business: \_\_\_\_\_

Tel: \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

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

*Please make additional copies, if necessary:*

Name of Attendee 1: Dr. / Mr. / Mrs. / Ms.

*(as on practicing certificate or registration of trainee solicitor contract)*

Job Title: \_\_\_\_\_ E-mail: \_\_\_\_\_

Solicitor No. / CFA Member No.: \_\_\_\_\_ Place & Year of Admission: \_\_\_\_\_

CPD Law Pts required  CPT Hours required  CE CFA  Others: \_\_\_\_\_

Certificate required:  Yes  No

Name of Attendee 2: Dr. / Mr. / Mrs. / Ms.

*(as on practicing certificate or registration of trainee solicitor contract)*

Job Title: \_\_\_\_\_ E-mail: \_\_\_\_\_

Solicitor No. / CFA Member No.: \_\_\_\_\_ Place & Year of Admission: \_\_\_\_\_

CPD Law Pts required  CPT Hours required  CE CFA  Others: \_\_\_\_\_

Certificate required:  Yes  No

Name of Attendee 3: Dr. / Mr. / Mrs. / Ms.

*(as on practicing certificate or registration of trainee solicitor contract)*

Job Title: \_\_\_\_\_ E-mail: \_\_\_\_\_

Solicitor No. / CFA Member No.: \_\_\_\_\_ Place & Year of Admission: \_\_\_\_\_

CPD Law Pts required  CPT Hours required  CE CFA  Others: \_\_\_\_\_

Certificate required:  Yes  No

Cheque for HK\$ \_\_\_\_\_ enclosed

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

#### Payment Methods:

To reserve your seat(s), please complete the registration form and forward full payment of course fee via one of the following methods:

- Make cheques payable to "Courses & Seminars Limited" and mail your payment together with this registration to our office (Room 201 & 203, 2/F Prosperous Building, 48-52 Des Voeux Road Central, Hong Kong).
- Submit cash / cheque payment in person at our office (Room 201 & 203, 2/F Prosperous Building, 48-52 Des Voeux Road Central, Hong Kong).
- Direct transfer to our account at HSBC (102-437431-001).

For registration conditions & further queries, please contact our office at (852) 2901-1333 or visit our website at <http://www.courses-seminars.com>