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Duties and Liabilities of Responsible Officers under the SFO

Presenter:

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Course Details:

Date:	24 September 2019, Tuesday	**Language:**	English	**CPD Law Points:**	3.0
Time:	9:30 am – 12:45 pm	**Level:**	Standard[3]	**CPD BC Law Points:**	3.0
Venue:	Room 201, 2/F Prosperous Building, 48-52 Des Voeux Road Central, Hong Kong	**Fee:**	HK$2,200 / HK$1,980 (for online registration)*	**CPT Hours[1]:**	3.0
				CFA CE / SER Credits[2]:	3.0 / 2.0

The SFO requires appointment of Responsible Officers (***ROs***) for each licensed corporation. ROs bear significant responsibilities and duties, and it is essential that every RO and licensed corporation understands what these are, along with the serious consequences if these responsibilities and duties are not fulfilled. We will, by reference to real life examples, provide an overview of the RO regime, the key duties and responsibilities of ROs and the pitfalls that ROs need to avoid.

Highlights of the course include:

- *Appointment of a responsible officer*: Who is eligible and what requirements must be satisfied?
- *Making and processing of the application*: Procedure, timeline and potential objections from the SFC
- *Duties of a RO*: The rules and the expectations
- *Liabilities of a RO*: The sources of liabilities and consequences. We will in particular discuss real life examples of action taken against ROs and the key issues which ROs ought to be aware of

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 – C&S is registered with CFA Institute as an Approved Provider of continuing education programs. This program is eligible for 3.0 CE credit hours, inclusive of 2 hours in the content area of Standards, Ethics, and Regulations (SER), as granted by CFA Institute. If you are a CFA Institute member and would like to receive CE credit for your attendance at the approved program(s), please provide your name, CFA Institute member number and e-mail address.
Note 3 – **Standard:** for those who have basic knowledge of the topic.
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Registration Form

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Course Name: Duties and Liabilities of Responsible Officers under the SFO **Course Code:** CPD1902098

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Tel: _____ Fax: _____ E-mail: _____

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Please make additional copies, if necessary:

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

Job Title: _____ E-mail: _____

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

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Name of Attendee 3: Dr. / Mr. / Mrs. / Ms. _____
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- Pay online with Credit Card via PayPal at https://www.courses-seminars.com
- Submit cheque payment in person at our office (**Room 201, 2/F, Prosperous Building, 48-52 Des Voeux Road Central, Hong Kong**).
- Direct transfer to our account at HSBC (102-437431-001).

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