


Institute News



CHARTERED GOVERNANCE Hong Kong

Issue 9 • September 2023

HKCGI Securities Law and Regulation Guidance Note (Ninth Issue) – SFC's Initiatives to Address Cross-Border Insider Dealing

SFC's Initiatives to Address Cross-Border Insider Dealing

Governance professionals must stay abreast of the most recent enforcement-related regulatory reforms. The purpose of this guidance note is to keep them well-informed. In June 2022, the Hong Kong Securities and Futures Commission (SFC) consulted the market on proposals to broaden certain enforcement-related sections of the Securities and Futures Ordinance (SFO) referred in this guidance note. In response to the expansion of the territorial reach of the SFO's provisions on insider dealing, which is most directly related to listed issuers of all the proposals made, our Institute submitted that:

'In relation to the proposal to extend insider dealing in Hong Kong to securities or derivatives listed overseas, we need more clarity on the scope of the proposed legislation to comment further. For example, would insider dealing be determined by reference to Hong Kong or the law of the overseas jurisdiction? How would our mutually exclusive criminal or civil regime work if there are no corresponding regimes in the overseas jurisdictions, or if the regimes are mutually inclusive? Concerning criminalising this type of conduct, would this amount to a 'thought crime' meaning taking steps to commit insider dealing being the yardstick to find criminal liability, or would there be a need to have actual insider dealing committed in the overseas jurisdiction? From the governance perspective, we recommend more guidance and investor education if a change is made to the SFO's reach beyond Hong Kong.'

Read more >

Contact us >

Gratitude is expressed to Ms Hannah Cassidy, Partner, Head of Financial Services Regulatory, Asia, Herbert Smith Freehills, as author of this guidance note; Mr Daniel Wan FCG HKFCG, Partner, Head of Capital Markets, Connauld Ziemann Law Firm is Chairman of the Institute's Securities Law and Regulation Interest Group. The other members are Agnes Wong, BN Wang FCG HKFCG, CK Low FCG HKFCG, CK Poon FCG HKFCG/PEI, Dr David Ng FCG HKFCG and Tommy Tong FCG HKFCG. Mrs April Chan FCG HKFCG, Institute Past President, is Chairman of the Institute's Technical Consultation Panel with oversight of the Institute's Interest Groups. Mohan Dattwani FCG HKFCG/PEI, Institute Deputy Chief Executive serves as Secretary and contributing editor to the Institute's Interest Groups. If you have any comments and/or suggestions relating to the Institute's thought leadership, please contact: mohan.dattwani@hkgi.org.hk.

This hybrid event, '**Latest Global Sustainability & Climate Disclosure and HKEX Rules**', will be held and broadcasted from HKEX Connect Hall. HKEX is the venue sponsor.

The deadline for enrolment is on **11 September 2023 at 2:00 pm.**

[Read more](#) >

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CHARTERED GOVERNANCE
Hong Kong

Supporting Organisation
HKEX
香港交易所

Latest Global Sustainability & Climate Disclosure Standards and HKEX Rules

14 September 2023 (Thursday)
Seminar(Hybrid Mode) 4.00pm – 5.30pm
Cocktail reception 5.30pm – 6.30pm

You will learn
This seminar explores how Hong Kong listed issuers can effectively implement international sustainability and climate standards, aligning governance to meet evolving HKEX ESG requirements. By showcasing successful case studies and discussing collaborative approaches, the event aims to inspire affirmative change towards a more resilient and sustainable future for listed issuers.

 Register Now

Opening Address (10 mins)
 Ms Edith Shih FCG(CS, CGP) HKFCG(CS, CGP)(PE)
Past International President, The Chartered Governance Institute and Past President, HKCCI, Executive Director and Company Secretary, CK Hutchison Holdings Limited

ISSB: Developments to Global Sustainability & Climate Standards (15 mins)
 Ms Teresa Ko JP BBS FCG HKFCG
Senior Partner, Hong Kong and China Chairman, Freshfields Bruckhaus Deringer; Co-Vice Chair, IFRS Foundation

Getting Ready for HKEX's Enhanced Climate-related Disclosures (15 mins)
 Ms Kelly Lee
Senior Vice President, Policy and Secretariat Services, Listing Division, HKEX

Panel discussion and Q&A session (50mins)

Panelists
 Mr Gabriel Wilson-Otto
Head of Sustainable Investing Strategy, Fidelity International
Ms Teresa Ko JP BBS FCG HKFCG
Ms Kelly Lee
Ms Edith Shih FCG(CS, CGP) HKFCG(CS, CGP)(PE)

Moderator
(in order of appearance)

CPD Accreditation:
HKCCI: 1.5 ECPD points, The Law Society of Hong Kong: TBC
For enquiries, please contact the Institute's Professional Development Section: 2881 6177, or email: cpd@hkgi.org.hk.

The Hong Kong Chartered Governance Institute 香港公司治理公會 (Incorporated in Hong Kong with limited liability by guarantee)



Corporate Governance Paper Competition and Presentation Awards 2023

Saturday 16 September 2023
10.00am - 1.00pm

The annual Corporate Governance Paper Competition and Presentation Awards organised by the Institute aims to promote the importance of good governance among local undergraduates. This is a great opportunity for students to learn about teamwork and to research, write and present their thoughts on a selected theme. The topic this year entices applicants to evaluate the question – 'Climate change disclosures – is the world too focused on this topic?'

- Awards**
- **Best Paper:** HK\$11,000
The best paper will be published in the HKCGI monthly journal
 - **Best Presentation:** HK\$6,000
 - **Audience's Favourite Team:** HK\$2,000
 - ... and more prizes



For registration

For enquiries, please contact the Qualifications and Assessments Section at (852) 2830 6039 or email: student@hkcg.org.hk.

Silver sponsors: CLIFFORD CHANCE, MESSERSTADT PARTNERS, MAYER BROWN 好士打

Publication sponsor: Wolters Kluwer

Supporting organisations:



Enrolment for the CG Paper Competition and Presentation Awards 2023 is *currently open*.

We eagerly anticipate the presentations from the six finalist teams on **16 September 2023**.

[Read more](#) >

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The '**Family Office**' conference is supported by the Financial Services and the Treasury Bureau, this hybrid event will be held and broadcasted from Deloitte China's office. Deloitte China is the venue sponsor.

The deadline for registration is **21 September 2023 at 2:00 pm.**

[Read more](#) >

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CHARTERED GOVERNANCE
Hong Kong

Supporting Organisation
財經事務及庫務局
Financial Services and the Treasury Bureau

Family Office – Means Governance Opportunities for You!

Family Office: Governance Aspects, Thought and Opportunities.

- Date** Friday, 22 September 2023
- Time** 2.15 pm – 5.30 pm (3 hours)
- Format** Hybrid (physical & online)
- Venue** Deloitte China, 35/F One Pacific Place, 88 Queensway, Hong Kong

Enrol Now

Major Policy Initiative - Attracting Family Offices to HK

You will learn:

- Technical & Policy Initiatives
- The Immense Governance Opportunities
- Practical Sharing from Market Players

Keynote: Mr Joseph H L Chan JP, Under Secretary for Financial Services and the Treasury, The Government of Hong Kong SAR

Not to be missed! Physical seats are limited.

Enquiries
For enquiries, please contact HKCGI's Professional Development Section by phone (2881 6177) or email (cpd@hkcg.org.hk).

Venue Sponsor
Deloitte.

The Hong Kong Chartered Governance Institute 香港公共治理公會 (Incorporated in Hong Kong with limited liability by guarantee)





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Governance Professionals Information Session

 Date: Tuesday 26 September 2023

 Time: 1.00pm - 2.00pm

 Language: Cantonese

 Webinar session. No physical attendance is required.

 HKCGI Member, Graduate, Student, Student Ambassador & Non-Member



REGISTER NOW

The Institute organises the Governance Professionals Information Session to introduce the dual qualification. Chartered Secretaries (CS) and Chartered Governance Professionals (CGP) are highly demanded by employers in Hong Kong and the Mainland of China. These professions not only offer promising career prospects, it is also a rewarding experience for those seeking a challenging and widely-recognised career in corporate governance.

Speakers



Sam Lo ACG HKACG
Company Secretarial Manager,
China Overseas Grand Oceans
Group Limited (81.HK)



Emily Ng ACG HKACG
Senior ESG Manager, ANTA
Sports Products Limited

Facilitator

Melani Au ACG HKACG, Senior Manager, Membership, HKCGI

For enquiries, please contact the Qualifications and Assessments Section:
(852) 2830 6039 or email: student@hkcgi.org.hk.

Enrolment for the Governance Professionals Information Session is now open. The registration will close on **21 September 2023.**

[Read more](#) >

[Contact us](#) >

The nomination for the HKCGI Prize 2023 is now open, and all members are welcome to submit their nominations **before 30 September 2023.**

[Read more](#) >

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Hong Kong

Calling for Nominations of HKCGI Prize 2023

2022
Samantha Suen
FCG HKFCG
Past President and Former Chief Executive, HKCGI

2021
April Chan
FCG HKFCG
Past President and Chairman of Technical Consultation Panel, HKCGI

2020
Mai Chee
FCG HKFCG
Private Commissioner for Personal Data

2019
Edith Shih
FCGICS, CGPI
HKFCGCS, CGPI (PE)
Past International President, CGA, Past President, HKCCI, Executive Director and Company Secretary, CS, Hui Shun Holdings Ltd

2018
Peter Greenwood
FCG HKFCG
Former HKCGI Representative to CGI Council

2017
Natalia Seng
FCG HKFCG
Past President, HKCCI

2016
Gordon Jones
BBS FCG HKFCG
Former Registrar of Companies

2015
Neil McNamara
FCG HKFCG
HKCCI

2014
Michelle Rogers
BBS KC, FCG HKFCG
Former Vice-President of the Court of Appeal of Hong Kong

2013
Edwin Fung
FCG HKFCG
Past President, HKCCI

2012
John Brewer
Past Chairman, The Association of the Institute of Chartered Secretaries and Administrators in Hong Kong

2011
Duffy Wong
BBS JP FCG HKFCG
Past Chairman, The Association of Chartered Secretaries and Administrators in Hong Kong

2010
Mike Scates
FCG HKFCG
Past Chairman, The Institute of Chartered Secretaries and Administrators in Hong Kong

(Prize Awardees from 2010 to 2022)

The Hong Kong Chartered Governance Institute Prize 2023

The Hong Kong Chartered Governance Institute Prize will be awarded to a member or members who have made significant contributions to the Institute, and the Chartered Secretary and Chartered Governance Profession over a substantial period. Awardees are bestowed with the highest honour – recognition by their professional peers.

For details, please visit www.hkcg.org.hk or contact Melani Au: 2830 6007, or email member@hkcg.org.hk

Governance for Family-owned Companies'. The seminar will be held on **13 September 2023 at 8.00 am** (Hong Kong time).

Hong Kong has its fair share of family-owned companies, and if you would like to learn international perspectives and governance-related issues on the topic, please join the seminar.

[Read more](#) >



CSIA & TRIALOGUE SUSTAINABILITY SURVEY



CSIA and Trialogue have prepared a questionnaire focusing on sustainability to enable and empower Corporate Secretaries to advance integrated thinking within their organisations.

You are invited to complete this survey by **8 September 2023**.

[Read more](#) >

Student Ambassadors Programme 2023/2024

We are calling Institute members to join us as our mentors under the SAP Mentorship Programme to nurture the young generations as future governance professionals.

Members are invited to submit [the registration form](#) **on or before 16 September 2023**.

[Read more >](#) [Contact us >](#)

[See all news](#)

Forthcoming Activities

Professional Development

19/09/2023

Tax Governance Enhancement – Due Compliance, Less Tax (Cross-border Transactions)

[Enrol](#)

25/09/2023

Compliance Check of Hong Kong Private Companies – Purposes, Practical Tips and Remedial Actions

[Enrol](#)

25-26/09/2023

第七十一期公司治理專業人士強化持續專業發展講座

[Enrol](#)

[Upcoming ECPD webinars/seminars](#)

[ECPD Videos on Demand](#)

[Contact us >](#)

[See all activities](#)

Reminders

Learning support for CGQP examinations preparation

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Examination Technique Online Workshops and student seminars

[More](#) >

Update of CPD policy

[More](#) >

Practitioner's Endorsement Application 2023/2024

[Apply](#) >

Annual renewal for the financial year 2023/2024 –
Deadline: 30 September 2023

[More](#) >

Election to [Associateship](#) and [Fellowship](#) application
deadline in 2023



Fee schedule in 2023/2024
[Studentship, Membership, Graduateship and
Affiliated Person](#)

Special discounts and benefits offered by external
merchants

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Other News and Activities

BDO ESG Awards 2023

The BDO ESG Awards recognises outstanding listed companies in Hong Kong that have made a positive impact in the areas of Environmental, Social and Governance (ESG) – those that implement outstanding sustainability initiatives.

Please click [HERE](#) for more information.

The Law Society of Hong Kong organises a Joint Institutes Seminar

A Joint Institutes Seminar on '*ESG and Board-Shareholder Engagement in M&A*' will be held in hybrid mode on 20 September 2023 from 10.00 am to 12.00 pm at the Function Room, The Law Society of Hong Kong, 3/F, Wing On House, 71 Des Voeux Road Central, Hong Kong.

Please click [HERE](#) for more information.

Bulletin Board Updates (BBUs)

[BBU No. 88 \(2023\)](#) – IRD News Update: Hong Kong and Bangladesh entered into tax pact

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