

tricolor

Seminar 2014



**STRIVING FOR  
CORPORATE  
SUSTAINABILITY**



## Corporate Governance & Regulatory Updates

As our valued business partner,  
you are cordially invited to Tricolor Seminar 2014.

**Date:** 26 November 2014, Wednesday  
**Time:** 2:30 p.m. – 6:00 p.m.  
**Venue:** Convention Hall L1,  
Hong Kong Convention and Exhibition Centre  
Wan Chai, Hong Kong

## Programme

2:00 p.m. – 2:30 p.m. <b>Registration</b>	
2:30 p.m. – 2:50 p.m. <b>Opening Address</b>	Dr David K P Li
2:50 p.m. – 3:10 p.m. <b>Tricor Update</b>	Mr Julian Chow
3:10 p.m. – 3:40 p.m. <b>Accountability: A Cornerstone of Sustainable Development</b> Keynote speech	Mr Benjamin Tang
3:40 p.m. – 4:10 p.m. <b>Preparing for Environmental, Social and Governance (ESG) Disclosure and Reporting</b> Distinguished speaker will share experience in planning and implementing ESG Disclosure and Reporting.	Dr Richard Welford
4:10 p.m. – 4:40 p.m. <b>Tea Break</b>	
4:40 p.m. – 5:20 p.m. <b>Integrating Risk Management into Business</b> <i>(Panel Discussion)</i> Leading experts will discuss how a risk management framework and associated initiatives could facilitate management to achieve corporate sustainable development.	Mr Patrick Lam Mr David F Samy Dr Richard Welford Professor Say H Goo <i>(Moderator)</i>
5:20 p.m. – 5:30 p.m. <b>New Corporate Governance Code (CG Code) Proposal on Internal Control and Risk Management</b> Tricor Hong Kong executive will highlight proposed amendments to the CG Code regarding internal control and risk management and likely responses from listed issuers.	Mr Mandict Wong
5:30 p.m. – 5:50 p.m. <b>Certain Implications of the New Companies Ordinance (new CO) and Amendments to the Listing Rules (Rule Amendments)</b> Tricor Hong Kong executives will discuss the impact of certain provisions in the new CO relevant to listed companies and associated Rule Amendments.	Ms Kitty Chan Ms Caron Lee
5:50 p.m. – 6:00 p.m. <b>Closing Address</b>	Mr Johnny Ng

## Speakers' Biographies



**Dr David K P Li**  
**Chairman & Chief Executive**  
**The Bank of East Asia, Limited**

Dr David K P Li is Chairman & Chief Executive of The Bank of East Asia.

Dr Li has been a prime mover in the development of Hong Kong's financial infrastructure for over 40 years. He represented the Finance Constituency in the Legislative Council of Hong Kong from 1985 to 2012. He is a Director of a number of prominent public companies, both in Hong Kong and overseas.

Dr Li is a strong supporter of educational causes, and is currently the Pro-Chancellor of The University of Hong Kong and Chairman of the INSEAD East Asia Council. He is also the Founder and Chairman of the Friends of Cambridge University in Hong Kong and the Prince Philip Scholarship Scheme.

Among his many commitments to registered charities, Dr Li is Chairman of The Salvation Army Hong Kong and Macau Command Advisory Board, and Chairman of St. James' Settlement.

Dr Li holds a Master's degree in Economics and Law from the University of Cambridge in the United Kingdom. He is a Fellow of the Chartered Institute of Bankers and the Institute of Chartered Accountants in England and Wales.



**Mr Julian Chow**  
**Group Managing Director**  
**Tricor**

Mr Julian Chow is Group Managing Director at Tricor. Prior to joining Tricor in 2002, Mr Chow was a Partner at Ernst & Young Hong Kong (EY) and was the Founder and Managing Director of Tengis Limited, a leading provider of corporate, trust and investor services under EY. He has over 35 years of experience in these professional service areas.

Mr Chow is a Chartered Secretary and a Fellow of The Hong Kong Institute of Chartered Secretaries (HKICS) and The Institute of Chartered Secretaries and Administrators (ICSA) in the United Kingdom. Mr Chow was a Council Member of HKICS in the 1990's. Currently, he is an Honorary Council Member of the Hong Kong Committee for UNICEF. Mr Chow graduated from the Hong Kong Polytechnic (now The Hong Kong Polytechnic University).



**Mr Benjamin Tang**  
**Former Director of Audit**  
**Audit Commission of Hong Kong**

Mr Benjamin Tang joined the Hong Kong Government as an Administrative Officer in 1974. He served in various government posts which included working in the Hong Kong Government Office in London in the 1980s and the Independent Commission Against Corruption (ICAC) in the 1990s.

He was appointed by the Central Government as Director of Audit of the HKSAR in 2003 and retired in 2012. Thereafter, he was awarded the Gold Bauhinia Star (GBS).

After completing the Inquiry Into the Collision of Vessels Near Lamma Island in 2012, Mr Tang currently serves as Chairman of the Centennial College Audit Committee and member of the College Council, and also serves as member of the Operations Review Committee of the ICAC and Audit Committee of the Croucher Foundation. He has recently been appointed an Independent Non-executive Director of the MTR Corporation.



**Dr Richard Welford**  
**Chairman**  
**CSR Asia**

Dr Richard Welford is one of the Founders and the Chairman of CSR Asia.

Dr Welford has over 20 years of experience working in the fields of environmental management and social responsibility. He has worked with some of the leading multinational enterprises and local companies and NGOs in Asia. He is also a Board Director of a number of other organizations including ERP Environment, the Compliance Practitioners Association and AIDS Concern.

Dr Welford was one of the early pioneers in developing social audit and reporting methodologies with UK-based organizations in the 1990s. From 2002 to 2010 he was also a Professor at The University of Hong Kong and headed up the Corporate Environmental Governance Programme.



**Mr Patrick Lam**  
**Executive Director**  
**NWS Holdings Limited**

Mr Patrick Lam is an Executive Director of NWS Holdings Limited.

Mr Lam is responsible for overseeing the services business of the New World Group (the Group) and managing the financial and human resources aspects of NWS Holdings Limited. He is also a Director of certain subsidiaries of the Group, including being the Vice Chairman and a Non-executive Director of Newton Resources Ltd, and a Non-executive Director of Wai Kee Holdings Limited and Road King Infrastructure Limited, all being listed public companies in Hong Kong.

Mr Lam is a Chartered Accountant by training and is a Fellow of the Hong Kong Institute of Certified Public Accountants (HKICPA) and the Institute of Chartered Accountants in England and Wales (ICAEW), and a member of the Institute of Chartered Accountants of Ontario, Canada (CPA Ontario). He is a member of the Asian advisory board of Richard Ivey School of Business, Western University, Canada.



**Mr David F Samy**  
**Partner, Advisory-Risk**  
**Ernst & Young Advisory Services Ltd**

Mr David F Samy is a Partner of Ernst & Young (EY) Advisory Services in Hong Kong. He leads Advisory-Risk within the Internal Audit and Risk Transformation domains.

Mr Samy has over 20 years of professional advisory experience related to internal audit, risk governance and compliance – insights from which he has shared with EY clients in Kuala Lumpur, New York and Hong Kong.

His clients include a mix of Hong Kong based listed companies and multinational businesses that have a footprint in the Asia Pacific region, operating within the pharmaceutical, retail, specialty chemicals and hospitality sectors. He also currently serves several Hong Kong public sector entities within the education, tourism and housing sectors.

Mr Samy is a Certified Public Accountant and Chartered Accountant (Malaysia).



**Professor Say H Goo**  
**Professor of Law**  
**The University of Hong Kong**

Professor Say H Goo is Professor of Law at The University of Hong Kong, Director of Asian Institute of International Financial Law (AIIFL) and Deputy Director of Ronald Coase Centre for Property Rights Research (RCCPRR).

He is also Honorary Visiting Professor at University of Exeter, Co-Principal Investigator of RGC research grant project on Enhancing Hong Kong as an International Financial Centre, member of the Standing Committee on Company Law Reform, member of the International Advisory Board of the Centre for Corporate Law and Securities Regulation in Melbourne, editorial member of leading international journals and reviewer for well-known publishers and journals. He has visited Harvard and Cambridge Universities and spoken at UN, UNCITRAL, APEC and Insol Conferences.

Professor Goo is a graduate of University of Leicester (LLB) and University of East Anglia (LLM).



**Mr Mandict Wong**  
**Director**  
**Tricor Hong Kong**

Mr Mandict Wong is a Director of Business Services at Tricor.

His responsibilities include internal control, business process enhancement, knowledge management and systems application for Tricor and clients.

Mr Wong has over 20 years of experience as finance director, project manager, auditor and consultant servicing China and other Asia Pacific markets.

He is a Fellow of the Hong Kong Institute of Certified Public Accountants (HKICPA) and CPA Australia (CPAA), a Certified Internal Auditor, a Certified Information Systems Auditor and an Associate of both The Hong Kong Institute of Chartered Secretaries (HKICS) and The Institute of Chartered Secretaries and Administrators (ICSA) in the United Kingdom. He holds Bachelor and Master's degrees in Accounting and a Postgraduate Diploma in Corporate Administration.

Prior to joining Tricor, Mr Wong was a Director of Risk and Compliance Advisory Services of KPMG in Hong Kong and Southern China.



**Ms Kitty Chan**  
**Senior Manager**  
**Tricor Hong Kong**

Ms Kitty Chan is a Senior Manager of Corporate Services at Tricor.

Ms Chan has over 20 years of experience in the corporate secretarial field. She is currently the joint company secretary of a Hong Kong listed issuer.

Ms Chan is a Chartered Secretary and a Fellow of both The Hong Kong Institute of Chartered Secretaries (HKICS) and The Institute of Chartered Secretaries and Administrators (ICSA) in the United Kingdom. She is a holder of the Practitioner's Endorsement from HKICS. Ms Chan holds an Honours Bachelor's degree in Accountancy from City University of Hong Kong and a Bachelor of Laws degree from the University of London.

Prior to joining Tricor, Ms Chan was a Manager of Corporate Services with PricewaterhouseCoopers in Hong Kong.



**Ms Caron Lee**  
**Director**  
**Tricor Hong Kong**

Ms Caron Lee is a Director of Corporate Services at Tricor.

Ms Lee has over 20 years of experience in the corporate secretarial field. She is currently the company secretary / joint company secretary of five Hong Kong listed issuers.

Ms Lee is a Chartered Secretary and a Fellow of both The Hong Kong Institute of Chartered Secretaries (HKICS) and The Institute of Chartered Secretaries and Administrators (ICSA) in the United Kingdom. She is a holder of the Practitioner's Endorsement from HKICS. Ms Lee holds an Honours Bachelor's degree in Accountancy from City Polytechnic of Hong Kong (now City University of Hong Kong).

Prior to joining Tricor, Ms Lee was a Manager of Company Secretarial Services with Ernst & Young / Tengis Limited in Hong Kong.



**Mr Johnny Ng**  
**Group Chief Executive**  
**Tricor**

Mr Johnny Ng is Group Chief Executive at Tricor. Prior to joining Tricor in 2003, Mr Ng was a Partner at PricewaterhouseCoopers in Hong Kong, heading up the Business Services Division. He has over 35 years of public accounting and commercial experience in Hong Kong and overseas, and has also lectured at universities and colleges.

Mr Ng is a Chartered Accountant and a Certified Public Accountant. He holds a Bachelor's degree in Economics & Statistics from The University of Hong Kong and a Juris Doctor degree from The Chinese University of Hong Kong. Currently he is pursuing a doctoral degree in business administration and his research interests are in the areas of corporate governance and independent directors.

Mr Ng is the Vice Chairman of the Hong Kong Committee for UNICEF. He also served as a member of the Accountancy Training Board of the Vocational Training Council for 6 years prior to his retirement in 2011.



## Enrolment

Please enrol for the seminar on or before **7 November 2014** via our seminar website at <http://www.hk.tricorglobal.com/seminar2014>. You will need to fill in your Privilege Number as provided in our invitation letter/email. For multiple enrolments from the same company, please use the same Privilege Number. Seating will be allocated on a first-come-first-served basis. The seminar will be conducted in English.

As with previous years, the seminar is offered to participants free of charge.

## Certificate of Attendance

Participants who have attended the **whole** of the seminar will receive a Certificate of Attendance.

## CPD Points

CPD points are being applied for from the Law Society of Hong Kong. Participants may claim CPD points/hours with other professional associations (such as HKICPA & HKICS), subject to the verification process of the respective professional association. For details, please contact the relevant professional association directly.

The Listing Rules require directors and company secretary of listed issuers to undertake continuous professional development. CPD hours from seminar attendance may be used to meet such requirement.

## Enquiries

For enquiries, please contact our Marketing & Communications team: Ms Fannie Sin at 2980 1063 or Ms Alice Wong at 2980 1103, or email us at [seminar2014@hk.tricorglobal.com](mailto:seminar2014@hk.tricorglobal.com).



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