


## 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 FCC 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 FCC HKFCG, CK Low FCC HKFCG, CK Poon FCC HKFCG/PEI, Dr David Ng FCC HKFCG and Tommy Tong FCC HKFCG. Mrs April Chan FCC HKFCG, Institute Past President, is Chairman of the Institute's Technical Consultation Panel with oversight of the Institute's Interest Groups. Mohan Dattwani FCC 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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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, HKCGI, 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:**  
HKCGI: 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](mailto: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](mailto:student@hkcg.org.hk).

**Silver sponsors:** CLIFFORD CHANCE, MESSERLET NORTH PROCELLOS, 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](#) >

[Contact us](#) >

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](#) >

[Contact us](#) >



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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.**

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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@hkcg.org.hk](mailto:student@hkcg.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](#) >

[Contact us](#) >

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**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](http://www.hkcg.org.hk) or contact Melani Au: 2830 6007, or email [member@hkcg.org.hk](mailto:member@hkcg.org.hk)

**CHARTERED GOVERNANCE**  
Hong Kong

Corporate booth  
CV review workshop (for pre-registered students)  
Group discussion with professionals  
Sharing from members  
Workshop on professional image and workplace etiquette

**THE CAREER PATHS OF A GOVERNANCE PROFESSIONAL 2023**

Saturday 7 October 2023  
2.30pm - 5.30pm  
N101, Hong Kong Convention and Exhibition Centre

Platinum Sponsor: **CR** 公司註冊處 COMPANIES REGISTRY  
Silver Sponsor: **Baker McKenzie**

Supporting Organisations: **CIHE** City University of Hong Kong, **CUHK** The Chinese University of Hong Kong, **HKUST** The Hong Kong University of Science and Technology, **CUHK LAW**, **CUHK Business School**, **CUHK School of Management**, **CUHK School of Public Administration and Applied Social Sciences**, **CUHK School of Social Sciences**, **CUHK School of Journalism and Mass Communication**, **CUHK School of Continuing Education**, **CUHK School of Professional Education**, **CUHK School of Education**, **CUHK School of Design**, **CUHK School of Architecture**, **CUHK School of Environmental and Planning Studies**, **CUHK School of Urban Planning and Design**, **CUHK School of Landscape Architecture**, **CUHK School of Architecture and Design**, **CUHK School of Architecture and Design**, **CUHK School of Architecture and Design**.

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Enrolment for The Career Paths of a Governance Professional 2023 (Career Day) is now open.

The latest trends in career developments and practical interview techniques will be shared on **7 October 2023**.

[Read more >](#)

[Contact us >](#)

**Chartered Governance Institute** In partnership with **ASCLA** Colegio Nacional de Consejeros Profesionales Independientes de Empresas, A.C.

**LIVE WEBINAR DISCUSSION**  
12/13 September 2023

**Good Governance for Family-owned Companies**

18:00 Mexico City 12 Sep | 19:00 Lima 12 Sep | 20:00 Toronto 12 Sep |  
08:00 Hong Kong 13 Sep | 10:00 Sydney 13 Sep

[Register Now](#)

Ms Edith Shih FCG(CS, CGP) HKFCG(CS, CGP)(PE), Past International President, Honorary Adviser to Council and Institute Past President will speak at a free webinar organised by the Chartered Governance Institute (CGI) on 'Good

***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

[More](#) >

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](#)

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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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