

Updates to Securities and Futures Commission Code of Conduct



Speakers:

Alan Linning, Partner, Mayer Brown

Susanne Harris, Partner, Mayer Brown

Wei Na Sim, Counsel, Mayer Brown

Updates to Securities and Futures Commission Code of Conduct

On 5 November 2021, amendments to the Securities and Futures Commission Code of Conduct were gazetted to introduce new requirements and standards expected of intermediaries engaged in bookbuilding, pricing, allocation and placing activities with effect from 5 August 2022. The new requirements seek to reduce conflicts of interest and enhance transparency in the price discovery process.

Alan Linning, Susanne Harris and Wei Na Sim from Mayer Brown Hong Kong's financial services regulatory & enforcement practice will be joining the Chamber for an interactive discussion on the scope and impact of these new rules. During this webinar you will also be able to hear first-hand some practical tips on how to prepare for the requirements.

About the speakers



Alan Linning is a partner of Mayer Brown with over 30 years of experience in commercial litigation with a focus on financial services regulatory matters and investigations. During his career, Alan has held a senior role in the finance sector and with the Hong Kong Securities and Futures Commission as Executive Director of Enforcement. Alan is listed as a leading litigation and financial service regulatory lawyer by Chambers Global and IFLR 1000.



Susanne Harris is a partner in the Hong Kong office of Mayer Brown. Susanne is experienced in cross-border, financial regulatory and compliance investigations. She has conducted internal investigations for financial institutions and acted for financial services clients in SFC, HKMA and other regulatory investigations. Susanne has advised on a range of legal, regulatory and reputational

issues for banks with a focus on governance and financial crime risk management.



Wei Na Sim is a counsel in Mayer Brown's Hong Kong office. She advises and acts for companies in complex litigation, investigations and regulatory enforcement matters, with a focus on cross-border matters in the financial services industry. Wei Na has assisted banks to handle independent compliance monitor reviews

conducted on affiliates in Asia, Europe and the US. Wei Na also has in-depth experience in commercial disputes resolution work in Singapore.

Pricing

- Member: HK\$140
- Non-Member: HK\$250

Details on how to join will be sent via email by 5pm the day before the webinar.

Terms & Conditions

- Reservations in advance are required. Please consider your booking confirmed unless notified otherwise.
- Cancellations must be made in writing 24 hours prior to the event. No shows will be charged.
- This event is closed to the media.
- The event will be cancelled if the No.8 Typhoon signal or the Black Rain Storm warning is in force.
- By attending this event, you agree to be photographed, recorded, and/or filmed and give

permission to use your likeness in promotional and/or marketing materials.

- For further information please email catherine@britcham.com
- All payments for this event need to be settled by credit card through PayPal. Please note you do not need a PayPal account to complete payment.