

CompliancePlus Consulting

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Press Release

29 Aug 2017 - CompliancePlus conducted a seminar on HK SFC Compliance and Licensing with Shenzhen Essence International

On 25 Aug 2017, a seminar on compliance and licensing matters was conducted by CompliancePlus Consulting Limited in Shenzhen Essence International. Ms Josephine Chung (“Ms. Chung”), Director of CompliancePlus, was the keynote speaker of the seminar. On occasion, Ms. Chung successfully delivered a sharing themed on “How to apply for Hong Kong SFC type 9 license”, covering latest requirements in practising asset management in Hong Kong.

Over 60 attendees representing top-level fund managers from across the country participated in this interactive seminar. Ms. Chung briefed the participants about the types of SFC regulated activity as well as basic approval criteria, then elaborated on the SFC’s specific requirements on both corporations and Responsible Officers (RO). The last part of the sharing covered application procedures with regard to type 9 license and ongoing obligations for licensed firms.

The attendees actively participated in the Q&A session of the seminar. Ms Chung utilized this session to go through some frequent problems encountered by the mainland firms while applying for SFC licenses, and clarified some common misunderstandings. She also provided some prudent suggestions according to latest policy requirements and her seasoned experience in terms of license applications.

With the rapid economic development and capital accumulation in the Mainland China, the demand for overseas asset management continuously expands, which prompts more fund managers seeking to obtain Hong Kong SFC licenses so as to provide asset management services. As an award-winning compliance company, CompliancePlus Consulting Limited is committed to provide the best compliance advisory services to the financial companies in Hong Kong and across the Asia Pacific.

For more information, please contact:

CompliancePlus Consulting Limited
801, Two Exchange Square, 8 Connaught Place,
Central, Hong Kong
Tel: +852 - 3487 6903
Website: www.complianceplus.hk
Email: info@complianceplus.hk