

# Equity Crowdfunding



by  
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Practising Solicitor,  
Certified Anti-Money Laundering  
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Mr. Albert So, practising solicitor of High Court of Hong Kong and the Chairman of Hong Kong Mediation and Arbitration Centre. Over the past years, he has been responsible for handling financial crime prosecutions, and has also been the lecturer of various law and mediation programmes in Hong Kong and overseas universities.

Before Mr. So joined the legal profession, he had been one of the team members of a financial regulatory authority, responsible for conducting criminal investigation, handling litigation and disciplinary-related professional proceedings. Throughout his professional time as a regulator, he had personally handled over 800 financial disputes and their relevant litigations.

With the rapid development of the internet and social media, crowdfunding activities have emerged internationally and locally over the past few years. Crowdfunding is an umbrella term describing the use of monetary contributions, obtained from a large number of individuals or organisations, to fund a project, a business, a company, a loan or a donation, and other needs through an online platform.

Equity crowdfunding (ECF) is a common type of crowdfunding activity where investors usually invest in a project or a business (often a start-up) through an online platform, typically in return for an interest in shares issued by a company.

A combination of interactive lectures, case studies, practical scenario trainings, role-play sessions, group discussion/sharing will be used in the seminar. Upon the completion, participants should be able to acquire the necessary Fintech, corporate finance, legal, compliance and regulatory professional knowledge and identify the common issues to perform their daily duties effectively.

## Topics to be covered include:

- How does ECF work?
- Risks associated with ECF
- Risk of bankruptcy of the issuer
- Liquidity risk/lack of secondary market liquidity for the equity investments
- Risk of conducting unlicensed activities
- How is ECF regulated in Hong Kong?
- Disclosure risks
- Risk of collapse, fraud or malpractice by the platform
- Cross-border risk
- Cyber security and Cyber-attacks
- Illegal activities, fraud and money laundering
- Legal issues and consideration for investors

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Code:	<b>EVT000000218</b>	Level:	<b>Intermediate</b>
Date:	<b>12 June 2018 (Tuesday) (Amended)</b>	Language:	<b>English</b>
Time:	<b>09:30 - 12:45</b> (Reception starts at 09:00)	Accreditation(s):	<b>LSHK 3.0 CPD Points</b> <b>SFC 3.0 CPT Hours</b>
Venue:	<b>Kornerstone Institute</b> 15/F, Hip Shing Hong Centre 55 Des Voeux Road Central Central, Hong Kong	Request for Rerun:	<b>Please Contact Us for Details</b>



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