

## Broker Forum

**Venue: SFC's office (54/F, One Island East, 18 Westlands Road, Quarry Bay, HK)**

**Date: 2 February 2026, Monday**

**Time: 16:30 – 18:15**

**Language: Cantonese**

### Rundown and Speakers

Time	Topic	Speakers
15:45-16:30 (45 mins)	Registration	
16:30-16:35 (5 mins)	Welcome remarks	<ul style="list-style-type: none"> <li>Dr Eric Yip, Executive Director, Intermediaries Division, SFC</li> </ul>
16:35-16:40 (5 mins)	Opening keynote	<ul style="list-style-type: none"> <li>Hon Robert Lee Legislative Council (Functional Constituency – Financial Services), HKSAR</li> </ul>
16:40-18:10 (90 mins)	Industry development and regulatory updates	
	<ul style="list-style-type: none"> <li>Integrated Fund Platform</li> </ul>	<ul style="list-style-type: none"> <li>Mr Victor Lau, Head of Fund Platform Platform &amp; Market Structure Development, HKEX</li> </ul>
	<ul style="list-style-type: none"> <li>IPO sponsor conduct issues</li> </ul>	<ul style="list-style-type: none"> <li>Ms Jessica Chan, Associate Director Corporate Finance Division, SFC</li> </ul>
	<ul style="list-style-type: none"> <li>Expected controls when onboarding clients and preventing potential layering activities</li> </ul>	<ul style="list-style-type: none"> <li>Mr Frankie Fan, Senior Manager</li> <li>Ms Sharon Wong, Senior Manager Intermediaries Division, SFC</li> </ul>
	<ul style="list-style-type: none"> <li>Panel discussion – Finfluencers &amp; Brokers: Balancing Growth, Risk &amp; Compliance in the Digital Era</li> </ul>	<ul style="list-style-type: none"> <li>Ms Audrey Au, Director</li> <li>Ms Carmen Lam, Senior Manager Intermediaries Division, SFC</li> <li>Mr Mofiz Chan, Chairman Hong Kong Securities &amp; Futures Professionals Association</li> <li>Mr Jaseper Tsang, Vice Chairman The Hong Kong Institute of Financial Analysts and Professional Commentators Limited</li> <li>Mr Dennis Lau, Responsible Officer, Customer Services and Dealing Director Huatai Financial Holdings (Hong Kong) Limited</li> </ul>
18:10-18:15 (5 mins)	Closing remarks	<ul style="list-style-type: none"> <li>Dr Eric Yip, Executive Director Intermediaries Division, SFC</li> </ul>
18:15	Forum ends	