

# Consultations, Codes and Guidelines

The following were published in 2004-2005:

Consultation Papers : 9	
August 2004	1. Consultation Paper on the Proposed Repeal of Certain Class Exemptions made under section 38A(2)/342A(2) of the Companies Ordinance
September 2004	2. Consultation Paper on the Proposed Measures to Address Risks Arising from Securities Margin Financing
November 2004	3. Consultation Paper on a Review of the Codes on Takeovers and Mergers and Share Repurchases
December 2004	4. Consultation Paper on the Review of the Level and Funding of the Investor Compensation Fund, Broker Defaults since 1998 and the Operation of the Investor Compensation Arrangements
January 2005	5. Consultation Paper on Proposed Amendments to the Securities and Futures (Stock Market Listing) Rules
January 2005	6. Consultation Paper on the Review of the Disclosure of Interests Regime under Part XV of the SFO
February 2005	7. Consultation Paper on Proposed Amendments to Schedule 5 of the SFO
February 2005	8. Consultation Paper on Investments in REITs by Collective Investment Schemes Authorised under the Code on Unit Trusts and Mutual Funds
March 2005	9. Consultation Paper on Draft Practice Note on Overseas Investments by SFC-Authorised REITs
Conclusions : 5	
October 2004	1. Consultation Conclusions on the Regulation of Sponsors and Independent Financial Advisers
November 2004	2. Consultation Conclusions on the Regulatory Framework for Addressing Analyst Conflicts of Interest
November 2004	3. Consultation Conclusions on the Proposed Repeal of Certain Class Exemptions made under section 38A(2)/342A(2) of the Companies Ordinance
November 2004	4. Consultation Conclusions on the Draft Guidelines on Good Disclosure of Securities Services Related Fees and Charges
March 2005	5. Consultation Conclusions on the Review of the Level and Funding of the Investor Compensation Fund, Broker Defaults since 1998 and the Operation of the Investor Compensation Arrangements
Codes & Guidelines : 3	
April 2004	1. Guidance Note on Position Limits and Large Open Position Reporting Requirements
November 2004	2. Guidelines to Address Analyst Conflicts of Interest
November 2004	3. Guidelines on Disclosure of Fees and Charges Relating to Securities Services