

# Consultations, Codes and Guidelines

The following were published in 2003-2004:

## Consultation Papers: 6

1.	SFC and FSTB Joint Consultation Paper on the Proposal to Empower the Securities and Futures Commission to Initiate a Derivative Action on Behalf of a Company	May 2003
2.	SFC and HKEx Joint Consultation Paper on the Regulation of Sponsors and Independent Financial Advisers	May 2003
3.	Consultation Paper on a Proposed Amendment to the Securities and Futures (Price Stabilizing) Rules in Relation to Recognition of Overseas Rules	July 2003
4.	Consultation Paper on the Securities and Futures (Contracts Limits and Reportable Positions) (Amendment) Rules 2003 and Proposed Amendments to the Guidance Note on Position Limits and Large Open Position Reporting Requirements	September 2003
5.	Consultation Paper on Draft Guidelines on Good Disclosure of Securities Services Related Fees and Charges	October 2003
6.	Consultation Paper on the Regulatory Framework for Addressing Analyst Conflicts of Interest	March 2004

## Conclusions: 8

1.	Consultation Conclusions on the Draft Guidelines for Persons Using the Internet to Collect Applications for Securities in a Public Offering	April 2003
2.	Consultation Conclusions on the Draft Code on Real Estate Investment Trusts	July 2003
3.	Consultation Conclusions on Proposals for a Scripless Securities Market	September 2003
4.	Consultation Conclusions on the Draft Guidelines for Regulating Index Tracking Exchange Traded Funds under the Code on Unit Trusts and Mutual Funds	October 2003
5.	SFC and FSTB Joint Consultation Conclusions on the Proposal to Empower the Securities and Futures Commission to Initiate a Derivative Action on Behalf of a Company	November 2003
6.	Consultation Conclusions on Proposed Amendment to the Securities and Futures (Price Stabilizing) Rules in relation to Recognition of Overseas Rules	November 2003
7.	SFC and FSTB Joint Consultation Conclusions on Proposed Amendments to the Companies Ordinance to Facilitate Offers of Shares and Debentures	November 2003
8.	Consultation Conclusions on the Securities and Futures (Contracts Limits and Reportable Positions) (Amendment) Rules 2003 and Proposed Amendments to the Guidance Note on Position Limits and Large Open Position Reporting Requirements	March 2004

## Codes & Guidelines: 5

1.	Guidelines for Electronic Public Offerings	April 2003
2.	Code on Real Estate Investment Trusts	July 2003
3.	Licensing Information Booklet	August 2003
4.	Guidelines for Regulating Index Tracking Exchange Traded Funds	October 2003
5.	Codes on Takeovers and Mergers and Share Repurchases updates	February 2004