

Consultations, Codes and Guidelines

The following were published in 2005-06:

Consultation papers: 5	
April 2005	1. Consultation Paper on the Proposed Revised Prevention of Money Laundering and Terrorist Financing Guidance Note
May 2005	2. Consultation Paper on the Review of Chapter 8.7 of the Code on Unit Trusts and Mutual Funds (Hedge Fund Guidelines)
June 2005	3. Consultation Paper on the Regulation of Sponsors and Compliance Advisers
August 2005	4. Consultation Paper on Possible Reforms to the Prospectus Regime in the Companies Ordinance
November 2005	5. A Healthy Market for Informed Investors – A Report on the Derivative Warrants Market in Hong Kong

Conclusions: 8	
April 2005	1. Consultation Conclusions on Investments in Real Estate Investment Trusts by Collective Investment Schemes Authorised under the Code on Unit Trusts and Mutual Funds
May 2005	2. Consultation Conclusions on the Review of the Disclosure of Interests Regime under Part XV of the SFO
June 2005	3. Consultation Conclusions on Draft Practice Note on Overseas Investments by SFC-authorized Real Estate Investment Trusts
August 2005	4. Consultation Conclusions on a Review of the Codes on Takeovers and Mergers and Share Repurchases
September 2005	5. Consultation Conclusions on Proposed Amendments to Schedule 5 to the SFO
September 2005	6. Consultation Conclusions on Consultation Paper on the Review of Chapter 8.7 of the Code on Unit Trusts and Mutual Funds (Hedge Fund Guidelines)
October 2005	7. Consultation Conclusions on the Proposed Revised Prevention of Money Laundering and Terrorist Financing Guidance Note
March 2006	8. Hong Kong's Derivative Warrants Market-the Way Forward Results of the Consultation on the SFC's Six-Point Plan

Codes & guidelines (including amendment parts): 3	
June 2005	1. Revised Code on Real Estate Investment Trusts
September 2005	2. Revised Code on Unit Trusts and Mutual Funds (Hedge Fund Guidelines)
October 2005	3. Revised Codes on Takeovers and Mergers and Share Repurchases