

# statistical comparisons

The following table shows certain key market data and statistics related to the work of the SFC in the past three years.

|  | 2009-10         | change (%) | 2008-09  | change (%) | 2007-08  |
|--|-----------------|------------|----------|------------|----------|
| <b>Market activities and transactions</b>                                  |                 |            |          |            |          |
| Number of listed companies on the Stock Exchange Main Board                | <b>1,332</b>    | 22%        | 1,092    | 4%         | 1,055    |
| Market capitalisation (\$ billion)   | <b>18,055.6</b> | 79%        | 10,080.8 | -40%       | 16,825.3 |
| Average daily market turnover (\$ billion)                                 | <b>67.1</b>     | 14%        | 58.7     | -41%       | 99.0     |
| Total number of listing applications reviewed under the dual filing regime | <b>132</b>      | 52%        | 87       | -35%       | 134      |
| Total number of takeovers and share repurchases transactions handled       | <b>363</b>      | 37%        | 266      | -26%       | 357      |
| Total NAV of all compensation funds (\$ million)                           | <b>2,023.8</b>  | 8%         | 1,873    | -2%        | 1,916    |
| <b>Licensees and investment products</b>                                   |                 |            |          |            |          |
| Applications for SFC licences  | <b>6,518</b>    | -9%        | 7,150    | -21%       | 9,035    |
| Applications to conduct new regulated activity                             | <b>19,248</b>   | -6%        | 20,450   | -20%       | 25,478   |
| Total number of SFC licensees  | <b>36,581</b>   | -2%        | 37,310   | 9%         | 34,384   |
| Total number of SFC-authorized schemes                                     | <b>2,599</b>    | -8%        | 2,833    | -2%        | 2,881    |
| NAV of authorised unit trusts and mutual funds (US\$ billion) <sup>1</sup> | <b>926.9</b>    | 48%        | 628.3    | -42%       | 1,077.2  |
| <b>Enforcement action</b>  |                 |            |          |            |          |
| Total number of cases handled  | <b>298</b>      | 166%       | 112      | -30%       | 161      |
| Entities successfully prosecuted   | <b>34</b>       | 26%        | 27       | -59%       | 66       |
| Unsuccessful prosecutions  | <b>3</b>        | 0%         | 3        | 0%         | 3        |
| Disciplinary inquiries conducted   | <b>82</b>       | -17%       | 99       | -32%       | 145      |
| Actions against licensees  | <b>56</b>       | 12%        | 50       | -38%       | 81       |



|   | 2009-10 | change (%) | 2008-09 | change (%) | 2007-08 |
|---|---------|------------|---------|------------|---------|
| <b>Reaching out</b>   |         |            |         |            |         |
| Press releases issued   | 151     | -21%       | 192     | -15%       | 227     |
| Total average daily hit rate of corporate and InvestEd websites | 719,708 | 13%        | 636,668 | 3%         | 615,869 |
| Public enquiries  | 3,176   | -75%       | 12,762  | 56%        | 8,179   |
| Public complaints <sup>2</sup>                                  | 2,742   | -73%       | 10,070  | 614%       | 1,410   |
| Consultation papers issued                                      | 6       | 100%       | 3       | -50%       | 6       |
| Consultation conclusions issued                                 | 2       | -50%       | 4       | 33%        | 3       |
| Codes and guidelines issued                                     | 1       | -83%       | 6       | 500%       | 1       |

#### Finances and staff

|  |         |    |         |      |         |
|--|---------|----|---------|------|---------|
| Income (\$ million)                          | 1,798.4 | 6% | 1,696.1 | -33% | 2,546.3 |
| Expenses including depreciation (\$ million) | 729.7   | 7% | 683.8   | 17%  | 585.0   |
| Number of staff <sup>3</sup>                 | 501     | 5% | 478     | 8%   | 442     |

<sup>1</sup> Net Asset Value (NAV) as at 31 December 2009, 2008 and 2007.

<sup>2</sup> The figures reflect the number of complainants.

<sup>3</sup> The breakdown of the figures is as follows:

|              | 31 March 2010 |        | 31 March 2009 |        | 31 March 2008 |        |
|--------------|---------------|--------|---------------|--------|---------------|--------|
|              | Actual        | Budget | Actual        | Budget | Actual        | Budget |
| Professional | 373           | 401    | 349           | 383    | 322           | 356    |
| Support      | 128           | 135    | 129*          | 124    | 120           | 121    |
|              | 501           | 536    | 478           | 507    | 442           | 477    |

\* A number of junior professional staff headcount vacancies were filled by supporting staff.

Note: Figures have been rounded to the nearest digit, and nearest decimal for dollars.

Further statistics of the SFC's activities are provided in Activity and Market Data starting on page 109.