

# Meet Our People

Our people talk about what makes them proud to work at the SFC and carry out our mission to maintain sound capital markets and advance Hong Kong's position as a global financial hub.

The SFC's statutory mission to safeguard the interests of the investing public has been a motivating force for Nelson Siu since he joined the SFC seven years ago. As part of his work, he was recently involved in successfully defending judicial review proceedings brought against the SFC. "It felt great being part of the team that secured the Court's dismissal of the challenge to one of the SFC's fundamental powers," he said.



Peixia Li is proud to be the super-connector who bolsters enforcement cooperation between the SFC and China Securities Regulatory Commission (CSRC). It is an honour to spearhead the establishment of a normalised enforcement cooperation mechanism between the two regulators and lead her team to coordinate efforts to resolve critical policy issues and major enforcement cases. She emphasised that this collaboration must deepen to combat increasingly complex market misconduct. In 2019, her team received high recognition from the leaders of the SFC, CSRC and Ministry of Finance for facilitating the milestone tripartite memorandum of understanding on audit working papers.

When Ken Yeung joined the SFC from the financial sector three years ago, the broad range of responsibilities in the anti-money laundering team and the need to adjust to new perspectives as a regulator were both very challenging and motivating for him. "It is a never-ending learning process to keep myself abreast of international standards as well as market developments to help swiftly identify money laundering trends in the securities and virtual asset sectors." He added that his thought-provoking policy discussions with senior executives have been particularly rewarding.



Grace Lau was pleased to play a part in the initiative to fully digitalise the SFC's licensing platform and contribute to the development of this major gatekeeping tool. "The digitalised platform streamlines the licensing process and makes it more efficient and eco-friendly for both the SFC and intermediaries," she related. "Integrating the risk assessment functions also raises our work effectiveness." She learnt that the success of any project depends primarily on communication and collaboration.



Andrew Wan leads the Corporate Affairs Division which plays a crucial role to ensure the smooth functioning of the SFC. He also takes pride in his decade-long service on the board of the Investor and Financial Education Council since setting it up in 2012 and believes its work contributes to improving the public's financial literacy. Another rewarding experience came from his leading role in the interior design of the SFC's new office in Quarry Bay, creating an avant-garde yet professional workspace for colleagues. "The affairs of the SFC are connected through the good work of Corporate Affairs."

Eunice Cheng was a key member of the team managing the introduction of the Hong Kong investor identification regime. "The regime is a much-needed enhancement to our market monitoring which helps improve surveillance, stem misconduct and facilitate enforcement action," she said. Rounds of stakeholder engagement were followed by a multimedia publicity campaign, and she believes all of these were essential to the project's successful implementation.



"As a new staff member, I realised on day one that the SFC is dedicated to the accuracy and clarity of its messages for both the financial industry and the public," said Gerald Cheung, who joined the SFC from the financial sector in 2022. It is important for him to ensure the SFC's external communications are unambiguous as their impact can be wide-ranging. He added that comprehensive considerations of market integrity and public interest are "baked" into all our communications, however routine they may be.

Being closely involved in the policy work relating to the Fast Interface for New Issuance (FINI) system was a source of tremendous job satisfaction for Joan Ng. "By modernising and shortening the initial public offering settlement process, including the associated regulatory processes, FINI will help cement Hong Kong's status as a world-class capital raising hub without compromising regulatory standards," she explained. Given the large number of stakeholders involved, the project required her to think about not only regulatory considerations but also market efficiency and information integrity.



For Raymond Hung, contributing to policy work that drives a better industry provides a strong sense of achievement. As one of the SFC's representatives in an international project on liquidity risk management of investment funds—a top priority for authorities worldwide—he found it challenging to balance different views among working group members and achieve proportionate policy outcomes. "I had extensive discussions with different authorities to understand their concerns and needs so we could reconcile our core interests to reach a consensus," he related.