

Stakeholders

We engage with stakeholders proactively to help them understand our work and provide them with up-to-date regulatory information.

In November, we hosted the fourth SFC Regulatory Forum, a one-day event to facilitate the exchange of views amongst local and international senior policymakers, professionals and industry participants on Hong Kong's future development as China's international financial centre and other regulatory and topical issues. Over 1,100 senior representatives from the financial services industry, listed companies, industry organisations and regulatory bodies attended the forum.

At the Hong Kong Fintech Week 2021 in November, which we co-organised, our Deputy Chief Executive Officer and Executive Director of Intermediaries Ms Julia Leung delivered a speech on regulation and the development of financial technology. She also discussed the SFC's recent climate-related regulatory initiatives in interviews with local media.

During the quarter, our senior executives spoke at 14 local and international events including the Hong Kong Institute of Certified Public Accountants' "COP26: Race to Zero" webinars, ASIFMA¹ Compliance Week 2021 and the Green Way Forum hosted by the European Chamber of Commerce in Hong Kong. In an interview with the Hong Kong Securities Association's *Participants* publication, our Chief Executive Officer Mr Ashley Alder discussed the SFC's work priorities, including fostering closer cross-border collaboration with Mainland authorities and promoting Hong Kong's green and sustainable finance strategy.

We released the following publications in the quarter:

- The *Asset and Wealth Management Activities Survey 2020* provided a comprehensive overview of Hong Kong's asset and wealth management industry².
- The *Financial Review of the Securities Industry* provided statistics on the financial positions of securities dealers and securities margin financiers as well as the financial performance of SEHK³ participants in the first half of 2021.
- The *Half-yearly Review of the Global and Local Securities Markets* discussed the performance of major stock markets as well as risks and uncertainties facing Hong Kong and international markets in the first half of 2021.
- The September issue of the *Takeovers Bulletin* highlighted the public censure of BIT Mining Limited for breaching the rules on special deals.

We issued statements about Next Digital Limited and unregulated virtual asset platforms in the quarter. We also published 12 circulars providing guidance on a wide range of matters, including the implementation of the Hong Kong investor identification regime and over-the-counter securities transactions reporting regime, the management and disclosure of climate-related risks by fund managers and updates on anti-money laundering and counter-terrorist financing.

In September, we introduced a new "Suspected Unauthorised CIS Alert List" on our website to draw attention to suspected unauthorised CIS arrangements⁴. Investors are urged to be extremely careful if they plan to invest in an unauthorised investment scheme.

¹ The Asia Securities Industry & Financial Markets Association.

² See Products on page 8.

³ The Stock Exchange of Hong Kong Limited.

⁴ A collective investment scheme (CIS) may not be offered to the public in Hong Kong without the SFC's authorisation.

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Publications and other communications

	Quarter ended 30.9.2021	Six months ended 30.9.2021	Six months ended 30.9.2020	YoY Change (%)
Press releases	23	53	64	-17.2
Policy statements and announcements	2	3	7	-57.1
Consultation papers	0	1	3	-66.7
Consultation conclusions	3	4	4	0
Industry-related publications	4	5	7	-28.6
Codes and guidelines ^a	0	0	4	N/A
Circulars to industry	12	25	32	-21.9
Corporate website average daily page views ^b	27,681	27,688	40,456	-31.6
General enquiries	751	3,034	3,589	-15.5

a Includes updates to previous versions.

b The average number of webpages browsed per day during the reporting period.