

Stakeholders

We engage with a wide range of stakeholders to provide them with up-to-date regulatory information and help them understand our work.

At the fourth SFC Regulatory Forum in November, senior regulators and industry leaders shared insights on Hong Kong's future development as China's international financial centre and other regulatory and topical issues. More than 1,100 senior representatives from the financial industry, listed companies, professional services firms and industry associations attended the full-day event in person and online.

We co-organised Hong Kong Fintech Week 2021, held in November, where our Deputy Chief Executive Officer and Executive Director of Intermediaries Ms Julia Leung spoke on regulation and the development of financial technology.

During the quarter, our senior executives spoke at 40 local and international events including the 26th UN Climate Change Conference of the Parties, UN Climate Finance and Sustainable Investing Conference, Green Horizons Summit, Eco Expo Asia 2021 and Hong Kong Green Finance Association Annual Forum as well as events organised by the Investment Company Institute, Hong Kong Securities and Investment Institute, Institute of International Finance, the US Treasury and the UN Principles for Responsible Investment. We also supported 11 industry events. In interviews with Bloomberg and CNBC, our Chief Executive Officer Mr Ashley Alder discussed green and sustainable finance including the importance of creating global standards around company sustainability reporting.

We hosted webinars for the industry to provide an update on major regulatory developments related to anti-money laundering and counter-terrorist financing, introduce the Hong Kong investor identification regime and over-the-counter securities transactions reporting regime and provide guidance on the implementation of the regulatory requirements for the management and disclosure of climate-related risks by fund managers.

We released the following publications in the quarter:

- *SFC-HKMA¹ Joint Survey on the Sale of Non-exchange Traded Investment Products 2020* reported the findings of the regulators' first joint survey of these selling activities by licensed corporations and registered institutions².
- *Report on Operational Resilience and Remote Working Arrangements* set out regulatory standards to promote the operational resilience of intermediaries and discussed measures to manage the major risks of remote working arrangements such as working from home².
- *Report on the Securities and Futures Commission's Annual Review of the Exchange's Performance in its Regulation of Listing Matters* summarised the SFC's findings and recommendations of its latest review of the Stock Exchange of Hong Kong Limited³.



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¹ Hong Kong Monetary Authority.

² See Intermediaries on page 7.

³ See Corporates on page 5.

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- The December issue of the *Takeovers Bulletin* discussed the interpretation of the Takeovers Code for schemes of arrangement and the application of the Codes on Takeovers, Mergers and Share Buy-backs to a grandfathered Greater China issuer.

We published 29 circulars providing guidance on a range of matters including the distribution of insurance-linked securities and related products, the implementation of the enhanced competency framework for licensees, the findings of a concurrent SFC-HKMA thematic review of spread charges and other practices and updates on anti-money laundering and counter-terrorist financing.

Publications and other communications

	Quarter ended 31.12.2021	Nine months ended 31.12.2021	Nine months ended 31.12.2020	YoY change (%)
Press releases	36	89	99	-10.1
Policy statements and announcements	0	3	8	-62.5
Consultation papers	1	2	7	-71.4
Consultation conclusions	2	6	6	0
Industry-related publications	4	9	8	12.5
Codes and guidelines ^a	1	1	6	-83.3
Circulars to industry	29	54	53	1.9
Corporate website average daily page views ^b	28,231	27,870	36,298	-23.2
General enquiries	644	3,678	5,334	-31

a Includes updates to previous versions.

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