



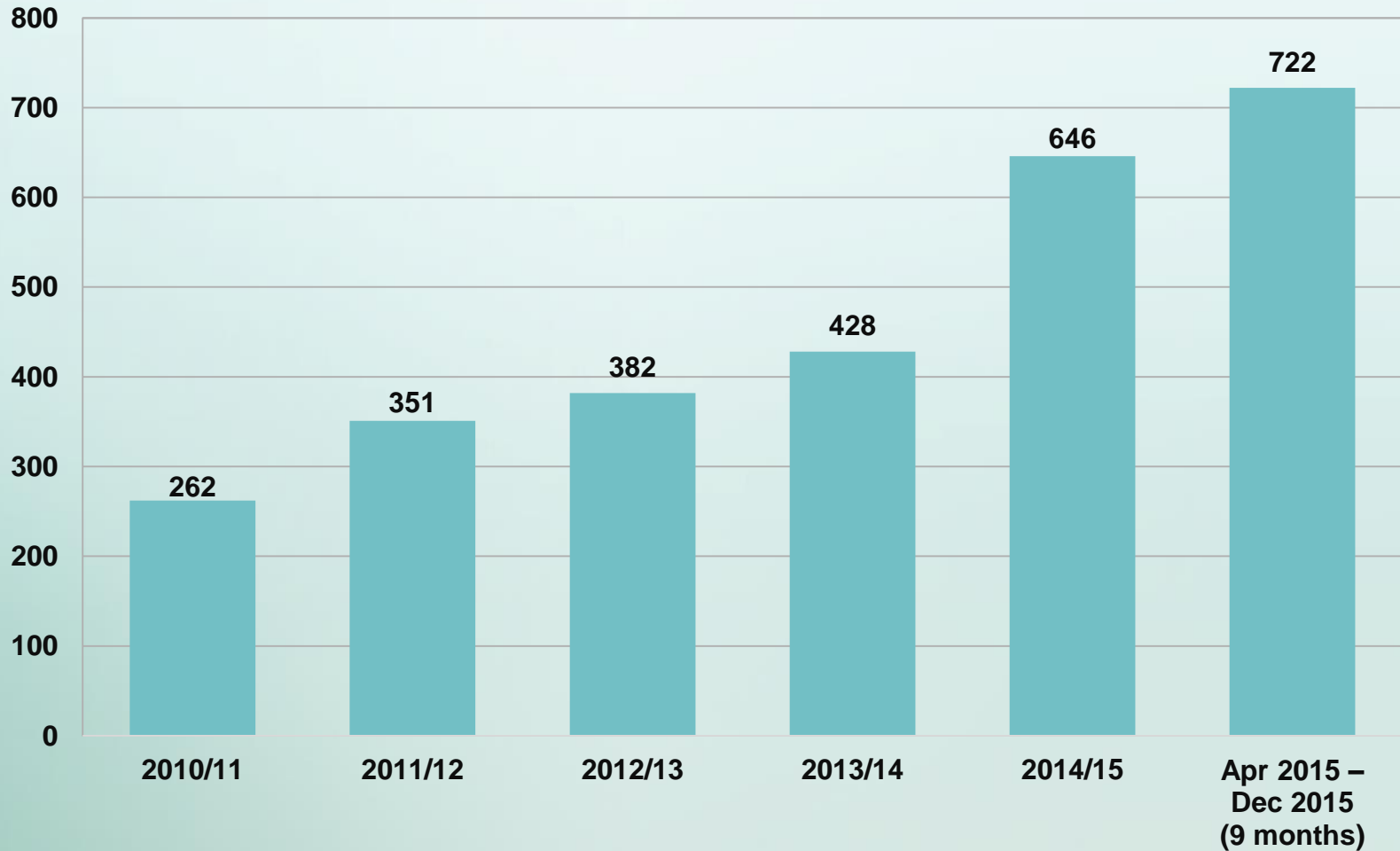
SECURITIES AND
FUTURES COMMISSION
證券及期貨事務監察委員會

SFC REGULATORY FORUM

Panel 5: Trends in regional enforcement

23 February 2016

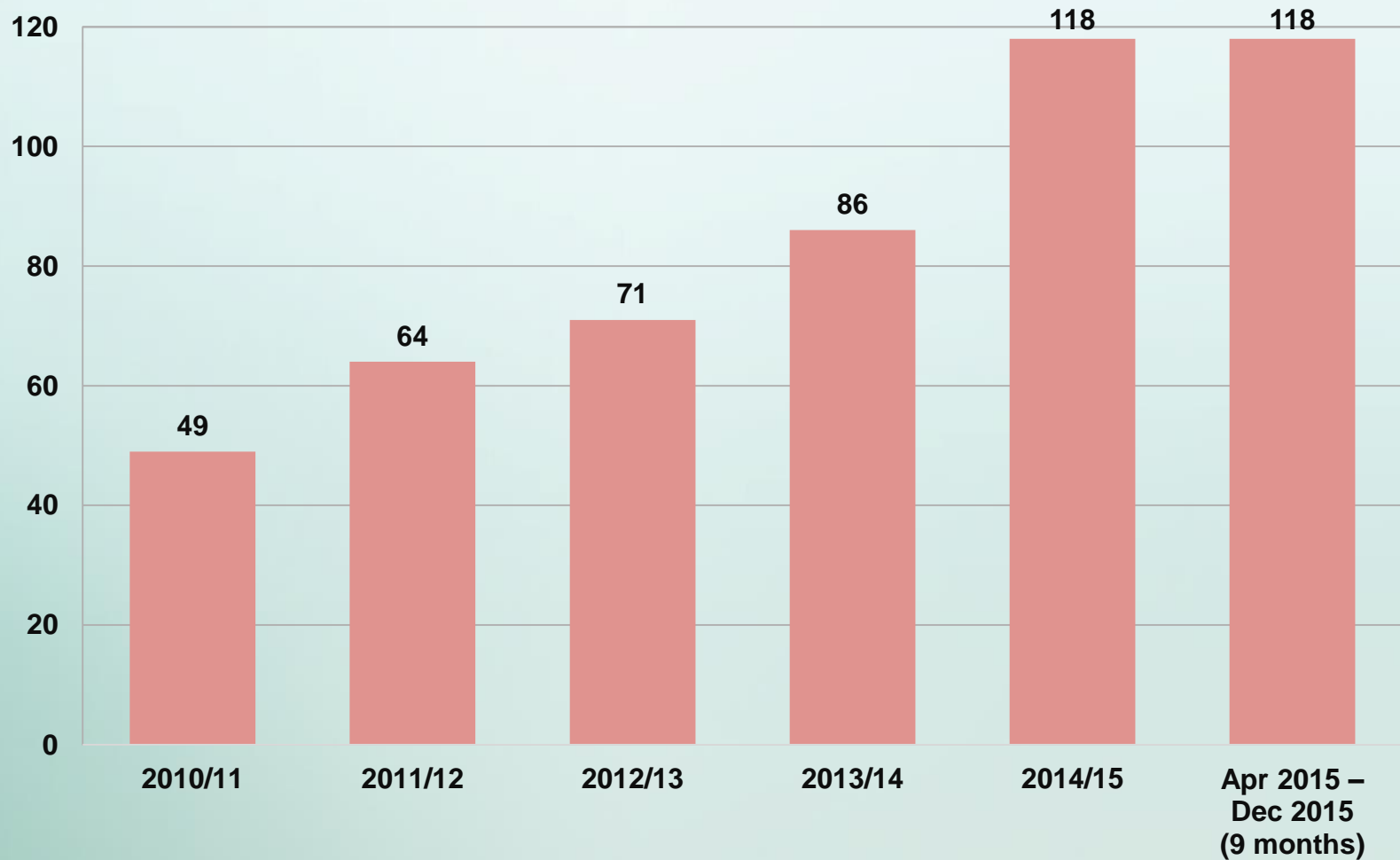
Total number of investigations



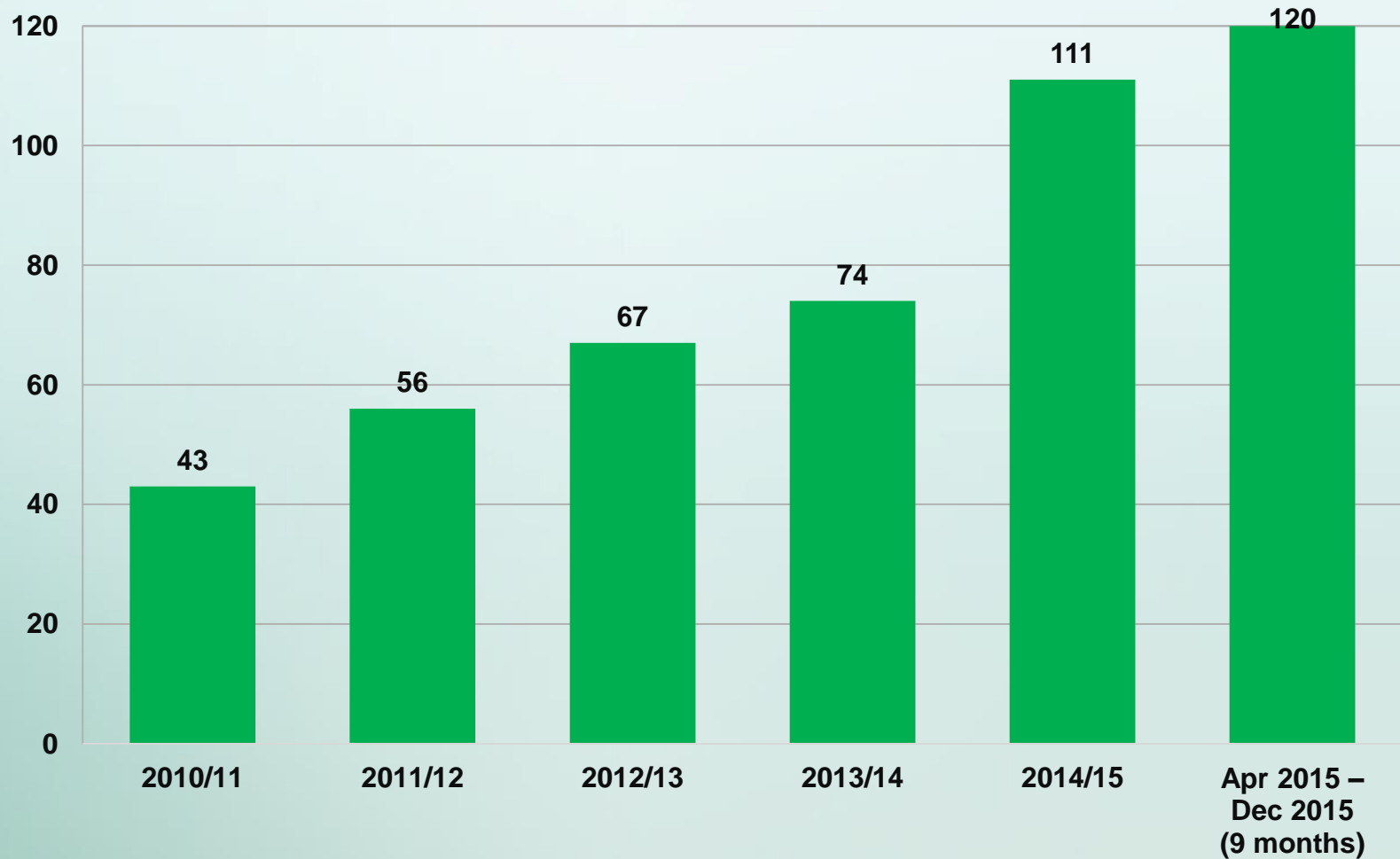
Major types of investigations

- **Corporate disclosure and governance**
- **Insider dealing**
- **Intermediary misconduct**
- **Market manipulation**
- **Unlicensed activities**

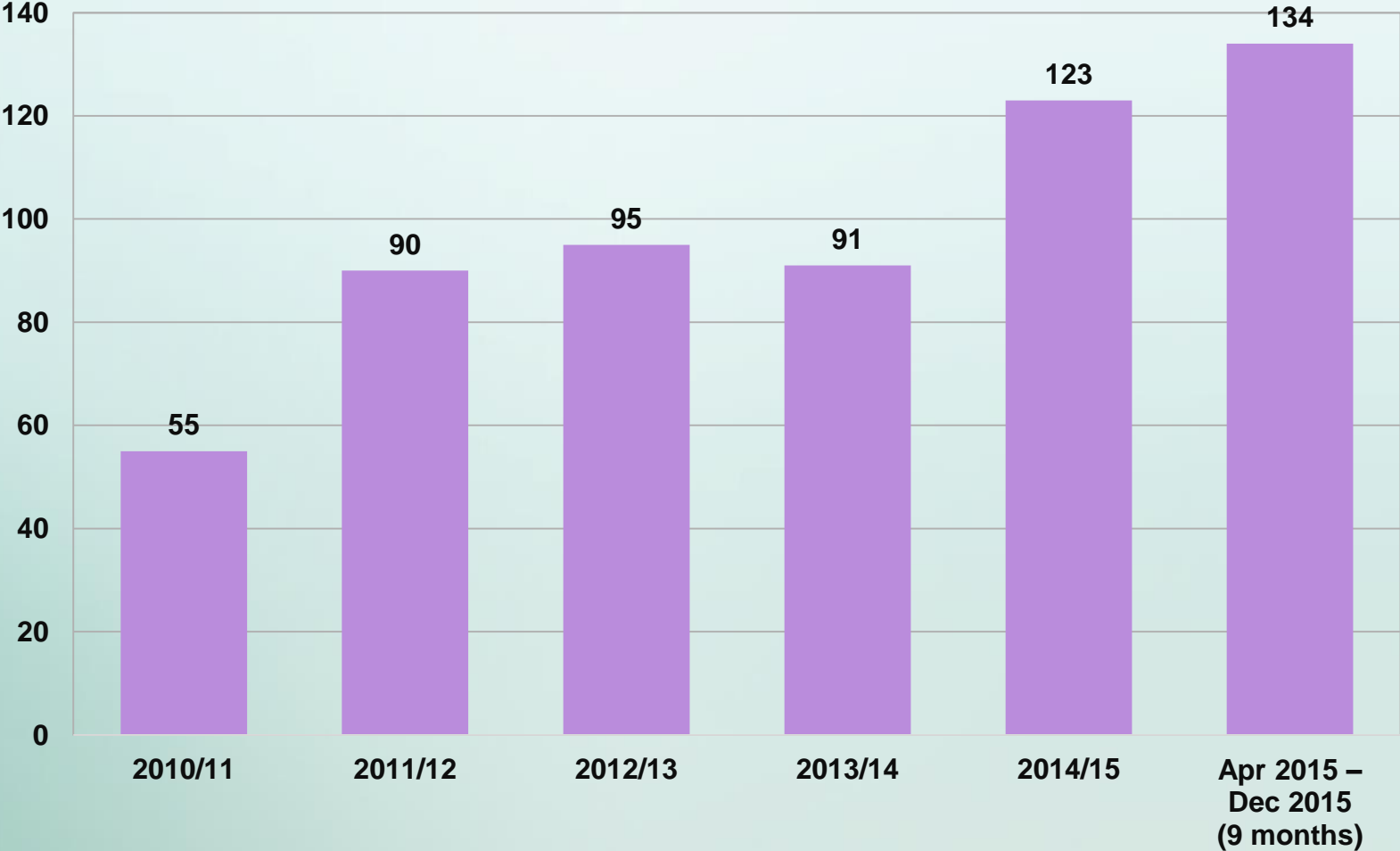
Listed company investigations



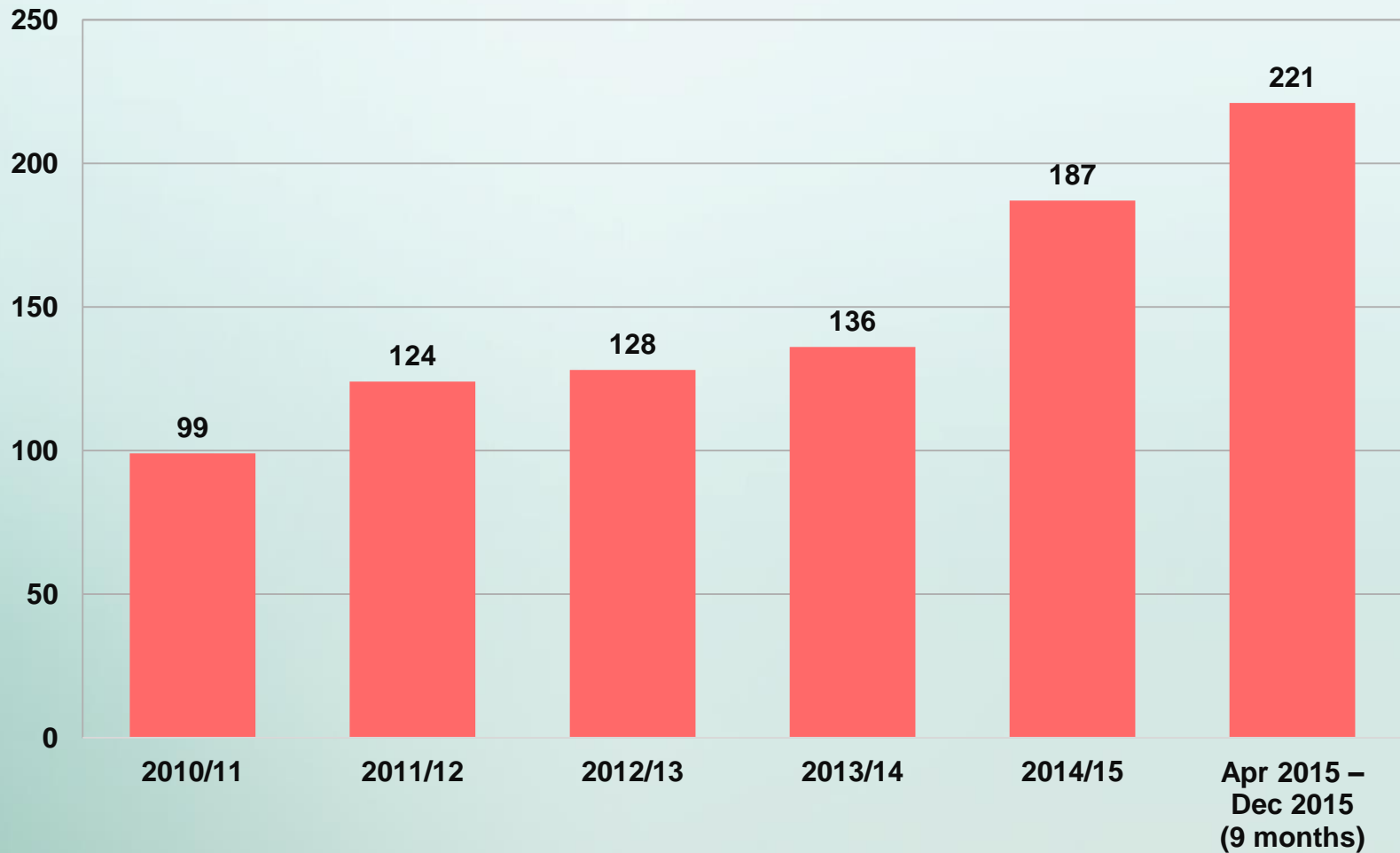
Insider dealing investigations



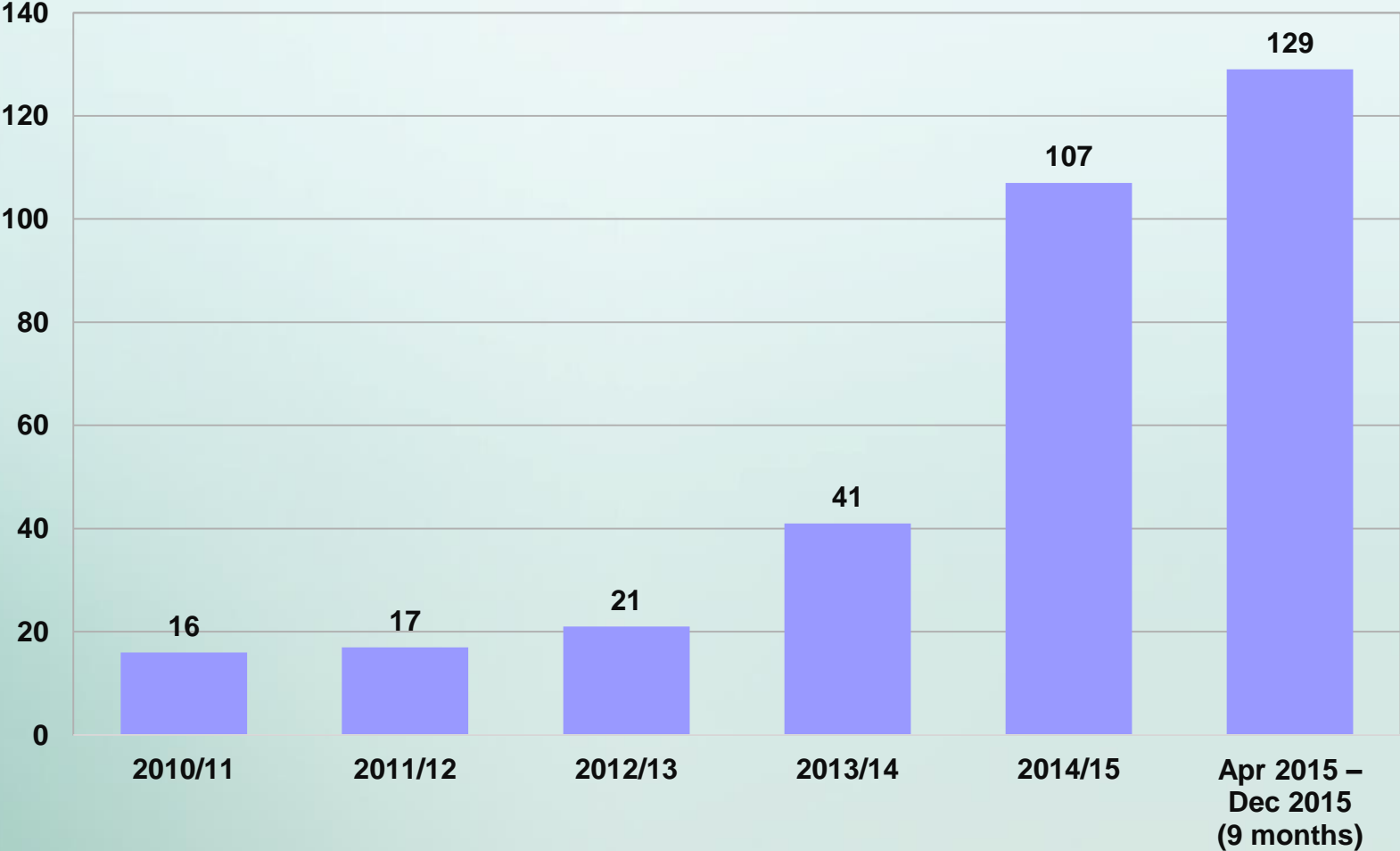
Market manipulation investigations



Intermediary conduct investigations



Unlicensed activity investigations



Persons/entities subject to enforcement proceedings

