

17 May 2019

Circular to licensed corporations

List of comparable OTCD jurisdictions

The Securities and Futures Commission (SFC) today published in a Gazette Notice (Annex) the jurisdictions which are determined by the SFC to be comparable OTCD jurisdictions under paragraph 20.5 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission, effective 14 June 2019.

Further to the jurisdictions set out in the December 2018 consultation conclusions (Note), Ireland has now been added.

The list of comparable OTCD jurisdictions is also published on the SFC website:

<https://www.sfc.hk/web/EN/regulatory-functions/intermediaries/supervision/list-of-comparable-otcd-jurisdictions.html>

Should you have any questions regarding the contents of this circular, please contact your case officer in charge.

Intermediaries Supervision Department
Intermediaries Division
Securities and Futures Commission

End

SFO/IS/026/2019

Note: [Consultation Conclusions on \(1\) the OTC derivatives regime for Hong Kong – Proposed requirements in relation to OTC derivative risk mitigation and client clearing; and \(2\) Proposed conduct requirements to address risks posed by group affiliates.](#)