



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

**The right place for people  
with a purpose**

**Where you can do more**

**[www.sfc.hk](http://www.sfc.hk)**



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## The right place for people with a purpose

The Securities and Futures Commission is a place where people support each other and work together towards a single meaningful purpose, focused on doing the right things for the right reasons. The SFC Graduate Trainee Programme is the right place for graduates with the drive to reach for something bigger and better for their future. As Hong Kong's securities regulator, responsible for protecting investors and improving the region's standing as a world-class centre for investment, the Programme ensures we have a vital pipeline of young talent flowing into key functional areas of the Commission.





I get to play a role in forming and enforcing the rules and regulations that help maintain Hong Kong's position as a world-class investment centre.

"I am proud of being a member of a globally-respected regulator of the securities market. I am also immensely proud of the meaning behind my work."

Frankie Lai  
2011 Graduate Trainee Intake

## We work together to serve a legitimate purpose – protecting investors and preserving the integrity of Hong Kong's investment environment

The Commission plays a vital role in applying specialist expertise to protect investors and improve Hong Kong's standing as a world-class centre for investment. In particular, we are devoted to:

- developing and maintaining securities and futures markets that are competitive, efficient, fair, orderly and transparent
- minimising crime and misconduct in such markets
- reducing systemic risks in the industry
- protecting the investing public
- helping the public understand the workings of the securities and futures industry
- assisting the Government in maintaining Hong Kong's financial stability

There are significant and very positive differences about working with Hong Kong's securities regulator. All of our people work together as a single team for a single legitimate purpose – to fulfil our mandate as a globally respected regulator, protect investors and to preserve the integrity of Hong Kong's investment community, in order to ensure it remains a world-class investment centre.

This gives our people a real sense of purpose and pride – a feeling that they are doing something positive and contributing their expertise and skills to the financial community. There's also a sense of virtue – the focus here is on intellectual integrity rather than commercial gain, a focus not on achieving sales quotas or keeping time sheets, but on getting things done in the right way for the right reasons.



I have access to a broad spectrum of investment industry experience and the opportunity to develop expert-level knowledge of Hong Kong investment markets.

## We have a unique positioning in the financial community and our specialist industry knowledge has to be in-depth and comprehensive

As the securities regulator, it is our responsibility to know every single aspect of the investment business with a comprehensive and in-depth level of understanding. We have to be specialist experts across a broad range of activities and business areas. We must operate with the highest level of integrity and professionalism.

This unique positioning creates extremely interesting and very different work across a diverse range of operations. Our people have the opportunity to work alongside and gain exposure to some of the smartest, most knowledgeable people, both within the Commission as well as in the industry. Their position and status also gives them a level of authority and respect amongst their peers.

This creates an environment where people are given the time and the coaching to gain in-depth knowledge of, and become a specialist in, a particular aspect of our operations. In addition there are opportunities for our people to participate in cross-divisional projects or move across functions to broaden their suite of skills and knowledge. Both are valuable in helping our people to develop their level and type of expertise and, therefore, their careers.

“The SFC is a highly respected regulator in the international community of securities and futures regulators. I am proud to be a part of this efficient and professional regulatory body, which effectively protects the interest of investors and maintains the orderliness of the securities and futures industry in Hong Kong.”

**Karen Hui**  
2011 Graduate Trainee Intake

## This is a professionally challenging environment with an open culture, where development and positive change can be achieved

As a professional statutory body we have an important and complex responsibility. We are also constantly developing to keep pace with changes in the markets. We have an open culture where people are encouraged to challenge conventions, to develop and stay ahead of a continually changing and complex trading environment.

We help our people develop their potential by providing structured courses and other training programmes. We also continue to invite local and overseas market participants, economists and academics to share their insights with our people.

“Experiencing how different departments operate and engaging in different tasks along the pipeline have helped broaden my perspective and developed the way I think and approach problems.”

Iris Li  
2009 Graduate Trainee Intake



## We abide by our core values of being proactive and professional

Recognising that people drive our success - we recognise them as our greatest assets and stand by our third core value - making sure that people count.



### Professional & Courageous Proactive

Committed & accountable;  
fair & ethical

Adaptive & dynamic;  
continuously improve

### People-count

Collaborative with clear & open  
communication;  
work/life effectiveness

These core values provide a common language to guide our employees' behaviour. Throughout the years, we have devoted much time and effort to cultivating a working environment in which these values are reinforced and promoted. In so doing, we hope to attract, motivate, and retain the best talent.

### Your colleagues are

- passionate about serving the community
- determined with a sense of purpose
- committed and demonstrate a "can-do" attitude
- willing to go the extra mile

### Your leaders are

- clear and consistent in their direction
- consultative in decision-making processes
- open to different opinions
- always available to give advice

"I love the working culture at the SFC. Everyone treats me with respect and supervisors provide even new Trainees with plenty of advice and opportunities."

Karen Lui  
2010 Graduate Trainee Intake

## SFC Graduate Trainee Programme

Over the course of three years, the SFC Graduate Trainee Programme will put bright, young and driven individuals with a motivation for public service and the desire to build long-term careers in a position to experience truly challenging opportunities across the breadth of our operations.

Encompassing learning based around relationships, experience and education, the Commission offers you a gateway to make a real positive impact on the Hong Kong investment environment.



I get to play a central role in the running of the Hong Kong's investment markets and make a real impact on the way people do business.

## Graduate development

The SFC takes a three-pronged approach to graduate training and development.

### Relationship-based learning

Working closely with SFC colleagues will form a central part of every trainee's development process throughout the Programme. This will take in coaching, multi-source feedback, opportunities to interact with members of Senior Management and a range of valuable networking opportunities.

### Experience-based learning

Learning through practical experience is a vital step on the road to developing the specialist expertise which the SFC requires. Trainees will take on three eight-month functional attachments within one of the following divisions/ departments, before moving into a full-year job placement in the Programme's third year.

- CEO's Office and Central Services
- Corporate Finance
- Enforcement
- Intermediaries Supervision
- Licensing
- Investment Products
- Supervision of Markets
- Corporate Affairs
  - External Relations
  - Human Resources
  - Information Technology
  - Finance and Administration

Trainees will also benefit from participation in various intra- and cross-divisional projects or activities during the course of the Programme, further expanding their skills, experience and network within the Commission.

### Education-based learning

The Programme also places an important emphasis on the value of direct education, with a curriculum structure spanning the entire three years designed to continuously develop trainee knowledge from orientation through to management, relationship and technical skills, including computing and languages. This will come in the form of classroom activities, in-house sharing sessions and seminars, and a selection of e-learning modules.



## Selection criteria

Applicants will need to be of the highest calibre to win a place within the Programme: we are looking for individuals with a wide range of relevant qualifications, experiences, skills and qualities to offer.

University Degree	Experience	Language	Other Qualities / Criteria
<ul style="list-style-type: none"> <li>Major in <b>Law / Accounting / Finance / Economics / BBA</b> or any other disciplines</li> </ul>	<ul style="list-style-type: none"> <li><b>Internship</b> experience preferable</li> </ul>	<ul style="list-style-type: none"> <li>Excellent command of written and spoken <b>Chinese &amp; English</b> (a minimum of 7 out of 9 in IELTS)</li> </ul>	<ul style="list-style-type: none"> <li><b>Professional &amp; Courageous</b> Committed &amp; accountable; fair &amp; ethical</li> </ul>
<ul style="list-style-type: none"> <li>Demonstrate <b>good academic results</b> anticipated upper - second class honour or above</li> </ul>	<ul style="list-style-type: none"> <li><b>Extra-curriculum activities</b> demonstrating <b>leadership / organization</b> skills</li> </ul>	<ul style="list-style-type: none"> <li>Proficiency in <b>Putonghua</b></li> </ul>	<ul style="list-style-type: none"> <li><b>Proactive</b> Adaptive &amp; Dynamic; continuously improve</li> </ul>
			<ul style="list-style-type: none"> <li><b>People-count</b> Collaborative with clear &amp; open communication/ work-life effectiveness</li> </ul>
			<ul style="list-style-type: none"> <li><b>Public Service Motivation</b> Desire to serve the public</li> </ul>

## What we offer

The Programme offers merit-based progression, from trainee contracts right through to long and successful careers in the Commission.



Sponsorships for various professional examinations and part-time education, as well as support for study and examination preparation are also offered to help you further strengthen your skills and lead you to success.



## What You Need To Do

The Programme placement process operates to a strict recruitment schedule over the course of three months, allowing us to properly assess candidates and select those best suited to long-term success within the SFC.



## Join us and enjoy the exposure and the support to achieve greater things in your professional and personal life

All applications for the Programme should be submitted on or before the application deadline using the electronic Application Form which can be accessed through the web link on the "Career" page of the SFC website.

For more information and to apply:

[www.sfc.hk](http://www.sfc.hk)



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