



HONG KONG MONETARY AUTHORITY
香港金融管理局

Our Ref.: B1/15C
G16/1C

5 May 2017

The Chief Executive
All Authorized Institutions

Dear Sir/Madam,

Arrangements for mandatory electronic filing of notifications and reports under Part XV of the Securities and Futures Ordinance

I am writing to draw your attention to the press release “Arrangements for electronic filing of disclosure of interests notifications” issued by the Securities and Futures Commission (SFC) today¹, announcing the arrangements for mandatory electronic filing of notifications and reports under Part XV of the Securities and Futures Ordinance (SFO). The mandatory electronic filing requirement will come into effect on 3 July 2017. It will cover notifications of interests of substantial shareholders, directors and chief executives of listed corporations as well as the results of investigations of share ownership by listed corporations. The requirement will be applicable to listed authorized institutions (AIs) and listed holding companies of AIs.

In connection with the above, relevant notifications and reports of listed AIs and listed holding companies of AIs should be filed with the Monetary Authority via the Supervisory Communication Website (SCW) with effect from the aforesaid date. The HKMA will create a new sub-section “Securities and Futures Ordinance” under the “Notification” section of the SCW for this purpose.

¹ Please refer to the following link for the press release:
<http://www.sfc.hk/edistributionWeb/gateway/EN/news-and-announcements/news/doc?refNo=17PR63>

If there are any questions about this circular, please approach your usual supervisory contacts at the HKMA.

Yours faithfully,

Raymond Chan
Executive Director (Banking Supervision)

c.c. SFC (Attn: Ms Alexandra Yeong, Director, Corporate Finance Division)