

23 September 2021

## Circular to Intermediaries

### Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) Webinar

The Securities and Futures Commission (SFC) issued the [consultation conclusions](#)<sup>1</sup> on the HKIDR and the OTCR (**Consultation Conclusions**) in August 2021. To facilitate the implementation of the regimes, the SFC will host two sessions of a webinar on the HKIDR and the OTCR for the industry on 11 October 2021 and 12 October 2021 respectively. The webinar will be conducted via WebEx. Hong Kong Exchanges and Clearing Limited (HKEX) will jointly present on the implementation details of the HKIDR at the webinar.

#### Objectives

The objectives of the webinar are –

- to introduce the regulatory framework and key elements of the HKIDR and the OTCR; and
- to provide guidance on preparations for and implementation of the regimes.

#### Who should attend

The HKIDR and the OTCR will apply to “relevant licensed or registered persons” as defined in the new paragraph 5.6(b) and paragraph 5.7(a) of the Code of Conduct<sup>2</sup> respectively (which are set out in Appendix C to the Consultation Conclusions). Such “relevant licensed or registered persons” are generally expected to comprise licensed corporations and registered institutions licensed or registered for Type 1 regulated activity<sup>3</sup> (**Type 1 Intermediaries**).

Type 1 Intermediaries are invited to nominate relevant management, compliance and information technology personnel to attend the webinar. They may also nominate representatives from their system vendors to attend. Each Type 1 Intermediary may nominate up to three representatives to attend each session of the webinar. Nominated representatives should enrol for the webinar by filling out the registration form set out below.

Intermediaries licensed or registered for other types of regulated activities and which are interested in the webinar may also nominate representatives to attend by filling out the registration form below. However, successful registration would be subject to availability due to capacity limit of the webinar.

The webinar is free of charge.

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<sup>1</sup> The consultation conclusions on proposals to (1) implement an investor identification regime at trading level for the securities market in Hong Kong and (2) introduce an over-the-counter securities transactions reporting regime for shares listed on the Stock Exchange of Hong Kong. Relevant regulatory requirements and documents published by the SFC and HKEX for the HKIDR and the OTCR are accessible via the [SFC webpage](#) and [HKEX HKIDR Web Corner](#).

<sup>2</sup> The Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

<sup>3</sup> This refers to Type 1 regulated activity (dealing in securities) as defined in Schedule 5 to the Securities and Futures Ordinance (Cap. 571).



## Enrolment

Nominated representatives from licensed corporations and registered institutions should complete and submit the online registration form below on or before 5 October 2021 (Tuesday).

Date	Time	Language	Online Registration Form
11 Oct 2021 (Monday)	5:00 pm – 6:00 pm	Cantonese	<a href="https://www.hkidrotcr.com/#/regime/reg">https://www.hkidrotcr.com/#/regime/reg</a>
12 Oct 2021 (Tuesday)		English	

*Recommended browser: Google Chrome*

Successful applicants will be notified by email at least one day before the relevant session of the webinar.

If you have any queries, please contact us at [HKIDROTCR\\_webinar@sfc.hk](mailto:HKIDROTCR_webinar@sfc.hk).

## Securities and Futures Commission