

SFC's Enforcement Priorities for 2024 and Beyond



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Speakers:

Christopher Wilson, Executive Director of Enforcement,
The Securities and Futures Commission

Alan Linning, Partner, Mayer Brown

**The Securities and Futures Commission ("SFC")'s
Enforcement Priorities for 2024 and Beyond**

This event will provide an opportunity for members and their guests to hear from the SFC's Executive Director of Enforcement, Christopher Wilson, about the SFC's enforcement priorities for 2024 and how these align with the regulator's Strategic Priorities for 2024-2026, announced on 23 January 2024.

In the last couple of years, the SFC's stated top priority has been to crack down on investment fraud and social media pump and dump syndicates, often in conjunction with the Hong Kong Police and the ICAC. Will this focus continue?

The SFC has also made significant efforts to deter corporate fraud related to listed companies to protect investor interests. In today's challenging market conditions, does corporate fraud remain a major concern for the SFC?

Possible misconduct by licenced intermediaries has always been an area the SFC has kept a close watch on. In recent years, it has taken high-profile action against IPO sponsors and intermediaries for anti-money laundering and counter-financing of terrorism breaches, as well as for internal control failures. Will we see more of the same? Will these concerns be overtaken by the virtual-asset related misconduct that has been in the news in recent months? Or by other concerns?

Finally, in pursuing its enforcement agenda, will the SFC collaborate with the other Hong Kong regulators – HKMA, Insurance Authority, Accounting and Financial Reporting Council and the Hong Kong Stock Exchange?

About the speakers



Mr Christopher Wilson is Executive Director of the SFC overseeing the Enforcement Division, which has the mission of upholding the integrity of the Hong Kong

securities and futures markets by deterring unlawful or improper activities through effective surveillance and enforcement.

Prior to joining the SFC, Kit was Deputy General Counsel at HSBC in Hong Kong from 2016 to 2022, a managing director in Legal at JPMorgan in Hong Kong from 2004 to 2015 and Deputy General Counsel at Citizens Bank in Boston, US, from 2015 to 2016.

Kit began his legal career at Simpson Thacher in New York, Singapore and Hong Kong.



Alan Linning is a partner in the litigation & dispute resolution practice of Mayer Brown in Hong Kong. Alan has over 35 years experience in commercial litigation and disputes, with a focus on financial services regulatory matters and investigations. Prior to joining Mayer Brown, Alan was in private practice with another international firm. Before that he headed the Asia-Pacific compliance team of a leading investment bank. He was previously the Executive Director of the Enforcement Division of the SFC.

This event is hosted by Jeremy Sheldon.

Ticket includes a full hot English breakfast buffet.

Please note that Business Attire is required by the Hong Kong Club - collared shirts must be worn by men, and jeans, sandals and sports shoes are not permitted. To see the full list of club rules on dresscode, please [click here](#).

Pricing

- Start-up Member: HK\$440
- Member: HK\$550
- Non-Member: HK\$680

Terms & Conditions

- Reservations in advance are required. Please consider your booking confirmed unless notified otherwise.
- Cancellations must be made in writing 24 hours prior to the event. No shows will be charged.
- This event is closed to the media.

- The event will be cancelled if the No.8 Typhoon signal or the Black Rain Storm warning is in force.
- By attending this event, you agree to be photographed, recorded, and/or filmed and give permission to use your likeness in promotional and/or marketing materials.
- For further information please email catherine@britcham.com
- All payments for this event need to be settled by credit card through PayPal. Please note you do not need a PayPal account to complete payment.