



合規通訊 2020 年 10 月

十月焦點

1. [高盛（亞洲）有限責任公司在 1Malaysia Development Berhad 債券發售犯有嚴重監管缺失遭證監會譴責及罰款 3.5 億美元](#)
2. [民銀資本控股有限公司及其前董事因未有及時披露內幕消息而遭市場行為失當行為審裁處施加制裁](#)
3. [證監會公開譴責蘇煜均違反《收購守則》並對其施加冷淡對待令](#)

如對合規事宜有任何查詢，歡迎電郵至 info@fycompliance.com.hk 或致電 +852 2541 1599 聯絡 FY Compliance，我們隨時為您提供協助！

證監會

2020 年 10 月 29 日

[證監會暫時吊銷張詠儀的牌照 12 個月](#)

[證監會就應對基金所涉及的氣候相關風險展開諮詢](#)

2020 年 10 月 22 日

[高盛（亞洲）有限責任公司在 1Malaysia Development Berhad 債券發售犯有嚴重監管缺失遭證監會譴責及罰款 3.5 億美元](#)

2020 年 10 月 16 日

[民銀資本控股有限公司及其前董事因未有及時披露內幕消息而遭市場行為失當行為審裁處施加制裁](#)

2020 年 10 月 15 日

[證監會公開譴責蘇煜均違反《收購守則》並對其施加冷淡對待令](#)

[《證券及期貨條例》（第 571 章）所指的所有持牌法團、持牌代表及註冊機構，或《銀行業條例》（第 155 章）第 20（10）條所指的有關人士](#)

保險業監管局

2020 年 10 月 20 日

[Amendments to Hong Kong Financial Reporting Standard 17 Insurance Contracts（只備有英文版）](#)

[附件: HKICPA Letter on Amendments to HKFRS 17（只備有英文版）](#)

2020 年 10 月 12 日

[United Nations \(Anti-Terrorism Measures\) Ordinance（只備有英文版）](#)

[G.N. \(E.\) 159 of 2020（只備有英文版）](#)

2020 年 10 月 9 日

[Updated list of relevant persons and entities under the United Nations Sanctions \(ISIL and Al-Qaida\) Regulation（只備有英文版）](#)



List of relevant persons and entities (只備有英文版)

香港金融管理局

2020 年 10 月 21 日

有關利率基準改革的客戶保障 (暫時只備有英文版)

2020 年 10 月 20 日

人壽保險轉保 (暫時只備英文版本)

附件 認可機構就人壽保險轉保的作業手法及相關預期標準 (只備有英文版)

涉及認可機構聘用的收數公司的投訴 (暫時只備英文版本)

2020 年 10 月 16 日

利率基準改革

2020 年 10 月 12 日

香港適用的司法管轄區逆週期緩衝資本 (CCyB) 比率

廉政公署

2020 年 10 月 21 日

廉署起訴兩名放債人公司前職員涉嫌詐騙轉介費六十萬元

2020 年 10 月 19 日

廉署起訴兩名前保險代理涉詐騙一百萬「握手費」

2020 年 10 月 6 日

中小企業董事涉詐騙銀行融資一千九百萬元今提堂

香港海關 – 金錢服務經營者

2020 年 10 月 9 日

United Nations Sanctions (ISIL and Al-Qaida) Regulation, United Nations (Anti- Terrorism Measures) Ordinance, United Nations Sanctions (Democratic Republic of the Congo) Regulation 2019 (Amendment) Regulation 2020 & United Nations Sanctions (South Sudan) Regulation 2019 (Amendment) Regulation 2020 (9 Oct. 2020) (只備有英文版)



Compliance Newsletter – October 2020

October's top news

1. [SFC reprimands and fines Goldman Sachs \(Asia\) L. L. C. US\\$350 million for serious regulatory failures over 1 Malaysia Development Berhad's bond offerings](#)
2. [Market Misconduct Tribunal sanctions CMBC Capital Holdings Limited and its former directors for late disclosure of inside information](#)
3. [SFC publicly censures So Yuk Kwan and imposes a cold-shoulder order for breach of the Takeovers Code](#)

For assistance in compliance issue, please contact FY Compliance by calling at +852 2541 1599 or email to info@fycompliance.com.hk. We are pleased to help solve your issue.

SFC

29 Oct. 2020

[SFC suspends Sandra Cheung Wing Yi for 12 months](#)

[SFC consults on climate-related risks in funds](#)

22 Oct. 2020

[SFC reprimands and fines Goldman Sachs \(Asia\) L. L. C. US\\$350 million for serious regulatory failures over 1 Malaysia Development Berhad's bond offerings](#)

16 Oct. 2020

[Market Misconduct Tribunal sanctions CMBC Capital Holdings Limited and its former directors for late disclosure of inside information](#)

15 Oct. 2020

[SFC publicly censures So Yuk Kwan and imposes a cold-shoulder order for breach of the Takeovers Code](#)

[All licensed corporations, licensed representatives and registered institutions within the meaning of the Securities and Futures Ordinance \(Cap. 571\) or relevant individuals within the meaning of section 20 \(10\) of the Banking Ordinance \(Cap. 155\)](#)

Insurance Authority

20 Oct. 2020

[Amendments to Hong Kong Financial Reporting Standard 17 Insurance Contracts](#)

[Encl: HKICPA Letter on Amendments to HKFRS 17](#)

12 Oct. 2020

[United Nations \(Anti- Terrorism Measures\) Ordinance](#)



[G.N. \(E.\) 159 of 2020](#)

9 Oct. 2020

[Updated list of relevant persons and entities under the United Nations Sanctions \(ISIL and Al-Qaida\) Regulation](#)

[List of relevant persons and entities](#)

HKMA

21 Oct. 2020

[Customer protection in respect of reform of interest rate benchmarks](#)

20 Oct. 2020

[Life insurance policy replacement](#)

[Encl: Practices of AIs and expected standards on life insurance policy replacement](#)

[Complaints against debt collection agents employed by authorized institutions](#)

16 Oct. 2020

[Reform of interest rate benchmarks](#)

12 Oct. 2020

[Applicable jurisdictional countercyclical capital buffer \(CCyB\) ratio for Hong Kong](#)

ICAC

21 Oct. 2020

[Money lender duo charged with \\$600,000 referral fees fraud](#)

19 Oct. 2020

[Two former insurance agents charged with \\$1m signing fee fraud](#)

6 Oct. 2020

[SME director in court for \\$19m banking facilities fraud](#)

HK Custom & Excise – Money Service Operators Licensing System

9 Oct. 2020

[United Nations Sanctions \(ISIL and Al-Qaida\) Regulation, United Nations \(Anti- Terrorism Measures\) Ordinance, United Nations Sanctions \(Democratic Republic of the Congo\) Regulation 2019 \(Amendment\) Regulation 2020 & United Nations Sanctions \(South Sudan\) Regulation 2019 \(Amendment\) Regulation 2020 \(9 Oct. 2020\)](#)