

## **CRA Regulation and Investor Education documents collected by Hong Kong Securities Institute**

### **Documents related to Credit Rating Agency Regulations:**

1. Asian Development Bank Institute- The Financial Crisis and the Regulation of Credit Rating Agencies: A European Banking Perspective

<http://www.adbi.org/files/2010.01.26.wp188.credit.rating.agencies.european.banking.pdf>

2. Securities and Futures Commission, HK – Consultation Paper Concerning the Regulatory Oversight of Credit Rating Agencies

<http://www.sfc.hk/sfcConsultation/EN/sfcConsultFileServlet?name=rocra&type=1&docno=1>

3. SFC, HK-Consultation Conclusion Concerning the Regulatory Oversight of Credit Rating Agencies

[http://www.sfc.hk/sfc/doc/EN/speeches/public/consult/conclusions\\_cra\\_eng.pdf](http://www.sfc.hk/sfc/doc/EN/speeches/public/consult/conclusions_cra_eng.pdf)

4. Mayor Brown- EU Regulation of Credit Rating Agencies in Europe

<http://www.mayerbrown.com/publications/article.asp?id=6529&nid=6&print=Y>

5. Shearman & Sterling- EU and US Developments in the Regulation of Credit Rating Agencies

[http://www.shearman.com/fia\\_021909](http://www.shearman.com/fia_021909)

6. IOSCO- Code of conduct for Credit Rating Agencies

<http://www.iosco.org/library/pubdocs/pdf/IOSCOPD173.pdf>

### **Document related to Investor Education:**

Financial Services and the Treasury Bureau, HK- Proposed Establishment of an Investor Education Council and a Financial Dispute Resolution Center

[http://www.fstb.gov.hk/fsb/ppr/consult/doc/consult\\_iec\\_fdrc\\_e.pdf](http://www.fstb.gov.hk/fsb/ppr/consult/doc/consult_iec_fdrc_e.pdf)