

The Hong Kong Chartered Governance Institute

China BBU No. 2

- 1 The China Securities Regulatory Commission has issued the Circular on the Transitional Arrangements for Administrative Licensing Items Before and After the Full Implementation of the Stock Issuance Registration System
中国证券监督管理委员会发出《关于全面实行股票发行注册制前后相关行政许可事项过渡期安排的通知》
Issuing Authority: China Securities Regulatory Commission
Date of Issuance: 1 February 2023
Effective Date: 1 February 2023
Link:<http://www.csrc.gov.cn/csrc/c100028/c7047622/content.shtml>
- 2 The People's Bank of China has recently issued the Administrative Measures for Related Party Transactions of Financial Holding Companies
中国人民银行发布《金融控股公司关联交易管理办法》
Issuing Authority: The People's Bank of China
Date of Issuance: 1 February 2023
Effective Date: 1 March 2023
Link:<http://www.pbc.gov.cn/tiaofasi/144941/144957/4789611/index.html>
- 3 The Ministry of Finance of the People's Republic of China has issued the Operating Guidelines for the Deliberation of Resolutions by Directors Representing State-owned Equity in Financial Institutions
《金融机构国有股权董事议案审议操作指引（2023年修订版）》
Issuing Authority: Ministry of Finance of the People's Republic of China
Date of Issuance: 3 February 2023
Effective Date: 19 January 2023
Link:http://jrs.mof.gov.cn/zhengcefabu/gszl/202302/t20230202_3864937.htm

- 4 The Shenzhen Stock Exchange (SZSE) has issued the newly revised Guidelines for Self-regulation of Listed Companies No. 3 – Industry-specific Information Disclosure and the Guidelines for Self-regulation of Listed Companies No. 4 – Industry-specific Information Disclosure on the ChiNext Board
深圳证券交易所发布新修订的《上市公司自律监管指引第3号——行业信息披露》和《上市公司自律监管指引第4号——创业板行业信息披露》
Issuing Authority: Shenzhen Stock Exchange
Date of Issuance: 10 February 2023
Effective Date: 10 February 2023
Link:http://www.szse.cn/lawrules/rule/stock/supervision/currency/t20230210_598652.html
http://www.szse.cn/lawrules/rule/stock/supervision/chinext/t20230210_598653.html
- 5 The China Securities Regulatory Commission issued Relevant Rules for Fully Implementing Registration-based IPO System, which include a total of 57 rules, such as the Administrative Measures for the Registration of Initial Public Offerings and the Administrative Measures for the Registration of Issuance of Securities by Listed Companies
证监会发布实施全面实行股票发行注册制制度规则，包括《首次公开发行股票注册管理办法》、《上市公司证券发行注册管理办法》等 57 部
Issuing Authority: China Securities Regulatory Commission
Date of Issuance: 17 February 2023
Effective Date: 17 February 2023
Link:http://www.csrc.gov.cn/csrc/c101953/zfxxgk_zdjk.shtml
- 6 The China Securities Regulatory Commission (CSRC) issued the Trial Administrative Measures of Overseas Securities Offering and Listing by Domestic Companies and the Circular on the Arrangements for the Filing-based Administration of Overseas Securities Offering and Listing by Domestic Companies
证监会发布《境内企业境外发行证券和上市管理试行办法》以及《关于境内企业境外发行上市备案管理安排的通知》
Issuing Authority: China Securities Regulatory Commission
Date of Issuance: 17 February 2023
Effective Date: 31 March 2023
Link:<http://www.csrc.gov.cn/csrc/c100028/c7124479/content.shtml>

- 7 **Four Authorities issued the revised Provisions on Confidentiality and Archives Administration for Overseas Securities Offering and Listing by Domestic Companies**
四部门发布修订的《关于加强境内企业境外发行证券和上市相关保密和档案管理工作的规定》
Issuing Authority: China Securities Regulatory Commission, Ministry of Finance of the People's Republic of China, National Administration of State Secrets Protection and National Archives Administration of China
Date of Issuance: 24 February 2023
Effective Date: 31 March 2023
Link:<http://www.csrc.gov.cn/csrc/c101954/c7162474/content.shtml>
- 8 **The China Securities Regulatory Commission has recently released the Administrative Measures for Network and Information Security in Securities and Futures Industries**
中国证券监督管理委员会制发《证券期货业网络和信息安全管理办法》
Issuing Authority: China Securities Regulatory Commission
Date of Issuance: 27 February 2023
Effective Date: 1 May 2023
Link:<http://www.csrc.gov.cn/csrc/c101953/c7202800/content.shtml>
- 9 **The Shanghai Stock Exchange has recently issued the Action Plan for Further Advancing the Initiative of "Opening Doors for Handling Review, Regulation and Services"**
上海证券交易所公布《进一步推进“开门办审核、开门办监管、开门办服务”行动方案》
Issuing Authority: Shanghai Stock Exchange
Date of Issuance: 1 March 2023
Effective Date: 1 March 2023
Link:http://www.sse.com.cn/aboutus/mediacenter/hotandd/c/c_20230301_5717230.shtml

- 10 The Shanghai Stock Exchange and the Shenzhen Stock Exchange have released the Implementation Measures for Shanghai-Hong Kong Stock Connect Business (Revised in 2023) and the Implementation Measures for Shenzhen-Hong Kong Stock Connect Business (Revised in 2023) respectively
上海证券交易所、深圳证券交易所各自发布《沪港通业务实施办法（2023年修订）》和《深港通业务实施办法（2023年修订）》
Issuing Authority: Shanghai Stock Exchange and Shenzhen Stock Exchange
Date of Issuance: 3 March 2023
Effective Date: 13 March 2023
Link:http://www.sse.com.cn/lawandrules/sselawsrules/global/hkexsc/c/c_20230303_5717367.shtml
http://www.szse.cn/disclosure/notice/t20230303_599082.html
- 11 The Shanghai Stock Exchange has released the List of Practical Initiatives Addressing Issues in the Market in 2023
上海证券交易所发布《2023年为市场办实事项目清单》
Issuing Authority: Shanghai Stock Exchange
Date of Issuance: 15 March 2023
Effective Date: 15 March 2023
Link:http://www.sse.com.cn/aboutus/mediacenter/hotandd/c/c_20230315_5717967.shtml
- 12 The Shanghai Stock Exchange has issued the Business Guide to Securities Issuance and Underwriting No. 1 – Initial Public Offerings and the Business Guide to Securities Issuance and Underwriting No. 4 – Filing of Securities Issuance and Underwriting by Listed Companies
上海证券交易所发布《证券发行与承销业务指南第1号——首次公开发行股票》和《证券发行与承销业务指南第4号——上市公司证券发行与承销备案》
Issuing Authority: Shanghai Stock Exchange
Date of Issuance: 17 March 2023
Effective Date: 17 March 2023
Link:http://www.sse.com.cn/lawandrules/guide/stock/fxcxyw/zn/c/c_20230317_5718161.shtml
http://www.sse.com.cn/lawandrules/guide/stock/fxcxyw/zn/c/c_20230317_5718160.shtml

- 13 The Beijing Stock Exchange has issued the Guide to Handling the Public Offering and Listing of Stocks to Unspecified Qualified Investors No. 3 — Consultation and Communication Before Application
北京证券交易所发出《向不特定合格投资者公开发行股票并上市业务办理指南第3号——申报前咨询沟通》
Issuing Authority: Beijing Stock Exchange
Date of Issuance: 21 March 2023
Effective Date: 21 March 2023
Link: https://www.bse.cn/important_news/200015869.html
- 14 The Shenzhen Stock Exchange (SZSE) has released the Initiatives of the Stock Issuance Standardization Committee for Ensuring the Smooth and Orderly Offering of New Shares under the Full Implementation of the Stock Issuance Registration System
深圳证券交易所发布《股票发行规范委员会关于保障全面实行股票发行注册制下新股平稳有序发行的倡议》
Issuing Authority: Beijing Stock Exchange
Date of Issuance: 21 March 2023
Effective Date: 21 March 2023
Link: http://www.szse.cn/disclosure/notice/t20230321_599371.html
- 15 The Beijing Stock Exchange (BSE) has issued the Circular on Ensuring Effective Disclosure of the First Quarter Reports of Listed Companies in 2023
北京证券交易所发出《关于做好上市公司2023年第一季度报告披露工作的通知》
Issuing Authority: Beijing Stock Exchange
Date of Issuance: 22 March 2023
Effective Date: 22 March 2023
Link: https://www.bse.cn/important_news/200015885.html

Note: The web-pages are in simplified Chinese only.

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