



Valsen Fiduciaries  
Group

# Hong Kong's Securities & Futures Commission Key Compliance Regulatory Calendar Dates

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Welcome to this edition of the Valsen Group Newsletter which aims at sharing useful information and keeping you connected with recent developments relevant to the Securities & Futures Commission Key Compliance Regulatory Calendar.

This publication replaces any published information by Valsen Group prior to this issue. The newsletter also provides an overview of the Securities & Futures Commission key reporting timelines according to the current directives subject to periodical changes as communicated by the authority.

We hope that you find this newsletter informative and we welcome any queries that you might have. Our experts are always at your disposal for any further information or clarifications you may need.

Kind regards  
Valsen Group Team.

## Entities Registered as Reporting Issuers

### Local Limited Company

Account Type	Type of Company	Year End	Stipulated Statutory time-frame for Submissions	No administrative penalties will be charged provided submission is effected by:
Annual Return	Private Company	The company's financial year end	42 days after the anniversary of the date of incorporation in every year.	If the company's financial year end is 31 <sup>st</sup> December, then the statutory date of filing will be 11 <sup>th</sup> February 2021
	Public Company	The company's financial year end		If the financial year begins: <ul style="list-style-type: none"> <li>• Before 3 March 2020 - within 42 days after the date of the company's annual general meeting.</li> <li>• On or after 3 March 2020 - within 42 days after the company's return date, i.e. the date that is 6 months after the end of the company's accounting reference period</li> </ul>
	Company limited by guarantee	The company's financial year end		If the financial year begins: <ul style="list-style-type: none"> <li>• Before 3 March 2020 - within 42 days after the date of the company's annual general meeting.</li> <li>• On or after 3 March 2020 - within 42 days after the</li> </ul>

				company's return date, i.e. the date that is 9 months after the end of the company's accounting reference period
Tax Return	Newly incorporated companies	The company's financial year end	Notification is issued 18 months after the date of incorporation – Company must file tax returns within 1 month after the date the notification is issued.	If the the date of incorporation is 1 <sup>st</sup> January 2020, the date of filing tax returns will be 1 <sup>st</sup> August 2021.
	Older Companies		Notification date 1st of May 2021- Companies to file within 1 month after notification date.	1 <sup>st</sup> May 2021

## Entities, other than Reporting Issuers, licensed and authorised by the Securities & Futures Commission

- Type 1 Dealing in securities
- Type 2 Dealing in futures contracts
- Type 3 Leveraged foreign exchange trading
- Type 4 Advising on securities
- Type 5 Advising on futures contracts
- Type 6 Advising on corporate finance
- Type 7 Providing automated trading services
- Type 8 Securities margin financing
- Type 9 Asset management
- Type 10 Providing credit rating services

Account Type	Year End	Stipulated Statutory time-frame for Submissions	No administrative penalties will be charged provided submission is effected by:
Submission of audited accounts	The company's financial year end	Within 4 months after each financial year end	If the company's financial year end is 31 <sup>st</sup> December 2020, then the stipulated statutory filing date is 30 <sup>th</sup> April 2021
Monthly Filings		Monthly filing with a filing deadline of 21 calendar days of the monthly period end.	Dates: <ul style="list-style-type: none"> <li>• 21<sup>st</sup> January 2021</li> <li>• 21<sup>st</sup> February 2021</li> <li>• 21<sup>st</sup> March 2021</li> <li>• 21<sup>st</sup> April 2021</li> <li>• 21<sup>st</sup> May 2021</li> <li>• 21<sup>st</sup> June 2021</li> <li>• 21<sup>st</sup> July 2021</li> <li>• 21<sup>st</sup> August 2021</li> <li>• 21<sup>st</sup> September 2021</li> <li>• 21<sup>st</sup> October 2021</li> <li>• 21<sup>st</sup> November 2020</li> <li>• 21<sup>st</sup> December 2020</li> </ul>
Semi-annually filing		Semi-annually filing with a filing deadline of 21 calendar days of the semi-annual period end, subject to the licensing condition of not holding clients' assets.	Dates: <ul style="list-style-type: none"> <li>• 21<sup>st</sup> July 2021</li> <li>• 21<sup>st</sup> January 2021</li> </ul>



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