



HONG KONG MONETARY AUTHORITY
香港金融管理局

Circulars

09 Feb 1998

Compliance Survey on the Code of Banking Practice

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As you may recall, the Hong Kong Monetary Authority undertook to conduct compliance surveys on the Code of Banking Practice (Code) when the Code was issued in July last year. Paragraph 1.5 of the Code provides that institutions should take active steps to comply with the Code and that they should achieve full compliance within 6 months of the effective date of the Code. It is therefore timely to conduct the first compliance survey covering the period from 14 July 1997 to 14 January 1998.

I should be grateful if you could duly complete [the attached questionnaire](#) and return it to us on or before 6 March 1998. The aggregate results of the survey will be released after compilation.

If you have any questions on the survey, please contact Carman Chiu on 2878 1401.

Completion Instructions 1st Survey on Compliance with the Code of Banking Practice

Introduction

1. This survey collects information about authorised institutions' compliance with different provisions of the Code of Banking Practice ('Code'). The survey covers the period from 14 July 1997 to 14 January 1998.
2. Aggregate results of the survey will be released while information on individual authorized institutions will be kept confidential.
3. The deadline for submission is 6 March 1998.

General Instructions

4. The questions should be read in conjunction with the relevant provisions of the Code.
5. Authorised institutions should answer all parts of the questionnaire, except that institutions which do not issue any cards may skip chapter 3 on Card Services. Institutions

which do not employ /use the services of debt collection agencies can also skip chapter 5 on Recovery of Loans and Advances.

6. For the "Answers" column, please delete (Yes/No) or fill in the blank with the choices (a, b, c, d or e) as appropriate. Please note that some questions can have more than one answer.
7. For the "Other information provided by the institution" column, please provide any supplementary answers/explanations to the "Answers" column.
8. After completing the detailed questionnaire, please assess to what extent the institution has complied with the Code as a whole under the "Overall Compliance" section at the end of the questionnaire.
9. If the space provided is not enough, additional information can be submitted in separate sheets.

Enquiries

10. For any questions concerning the survey, please contact Fiona Chui on 2878 8280 or Carman Chiu on 2878 1401.

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