

Strategy & Policy of the SESC 2017-2019

- Building on a Quarter-Century of Achievement -



Mission

1. Ensuring market integrity/protection of investors
2. Contributing to sound development of markets
3. Contributing to sustainable economic growth

SESC's Vision on Market Integrity

Compliance with rules and trust from all market participants

< Key elements >

1. Proper disclosure by listed companies and issuers
2. Appropriate conduct and practices by market intermediaries
3. Self-discipline by all market participants
4. Effective market oversight with a high degree of professionalism

Values

Fairness

Fair and independent oversight

Accountability

Holistic and root-cause analysis coupled with public outreach

Forward-looking Perspective

Early detection of signs of market misconduct

Effectiveness and Efficiency

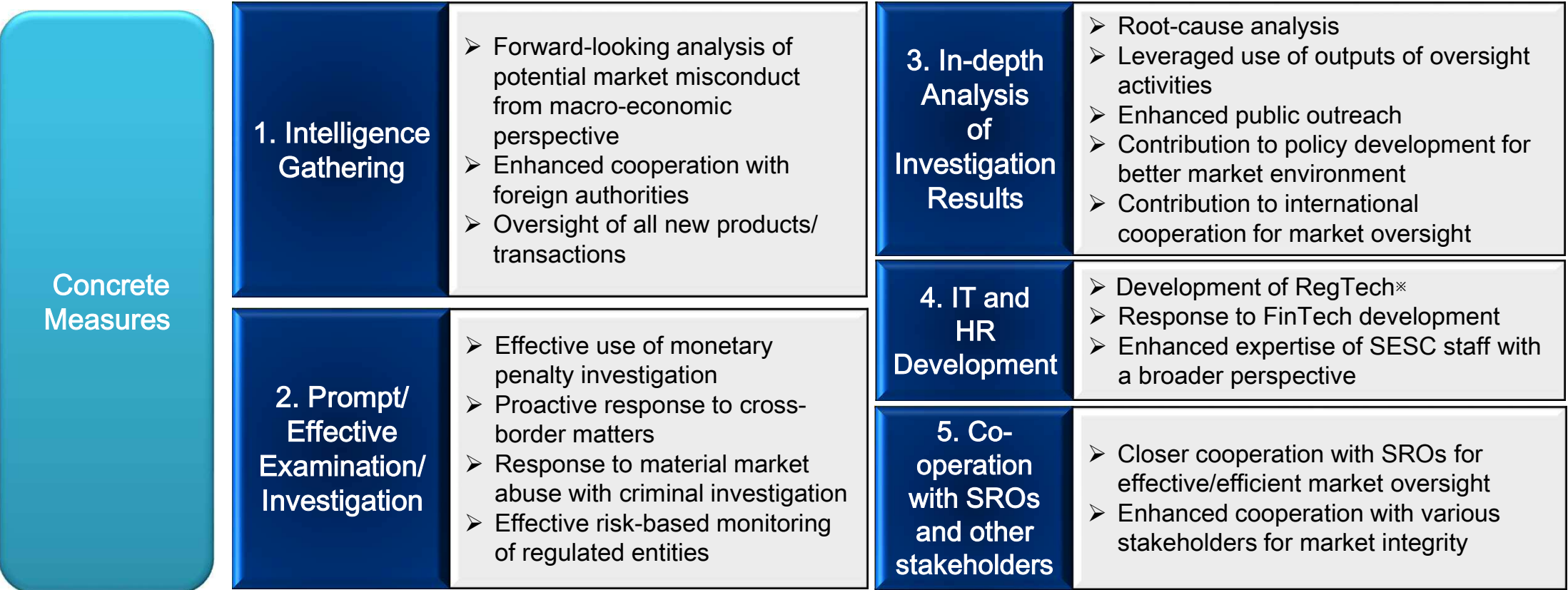
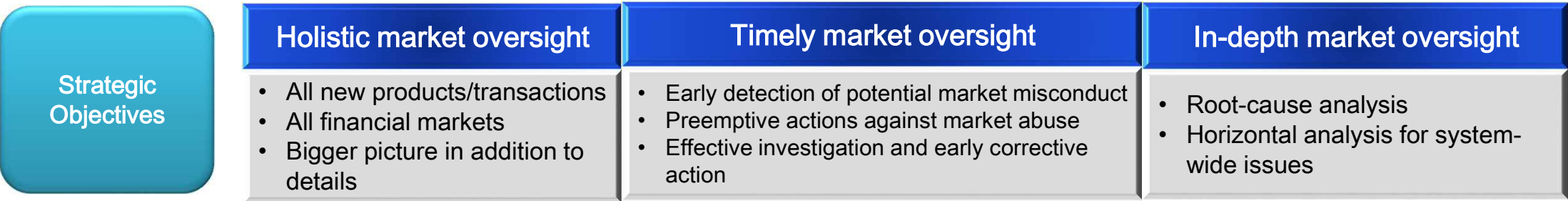
Effective use of resources

Strong Collaboration

Working closely with SROs and other competent authorities, both domestic and overseas

Commitment to Excellence

Committing to achieve highest standards of oversight



* RegTech means the use of IT innovation in connection with regulatory and enforcement authority.

Continuous Review of Market Oversight Approach