



HONG KONG MONETARY AUTHORITY
香港金融管理局

Circulars

26 Jul 2002

Survey on Authorized Institutions' Plans for Registration under the Securities and Futures Ordinance

Our Ref : G4/26/5C
B1/15C

26 July 2002

To: The Chief Executive
All Authorized Institutions

Dear Sir/Madam,

Survey on Authorized Institutions' Plans for Registration under the Securities and Futures Ordinance

Further to my [letter of 5 July 2002](#) which highlights the major changes to be introduced under the newly enacted Banking (Amendment) Ordinance 2002 and the Securities and Futures Ordinance, I am writing to seek your participation in the captioned survey. A copy of the survey form is [attached](#). The actual survey template will be provided through STET in due course.

This survey aims at gathering information on authorized institutions' plans as regards the regulated activity(ies) under the Securities and Futures Ordinance in which they intend to engage, as well as information on the relevant individuals who will be engaged in such activity(ies). The information collected from the survey will facilitate our preparatory work for the implementation of the new regime.

We would be grateful if you could arrange for the survey template to be completed and returned to the HKMA through STET **on or before 26 August 2002**. For your information, we may provide a summary of the survey results to the Securities and Futures Commission. This will not however contain information on individual institution.

If you have any question about this survey, please contact Mr. Neville Ng at 2878-8283 or Mr. Samuel Leung at 2878-1541. For inquiries regarding submission of the survey template, please contact our STET helpdesk at 2878-1800.

Yours faithfully,

D T R Carse
Deputy Chief Executive

Encl.: (1) [Survey Form](#) (PDF, 273KB)
(2) [Notes for Completion of the Survey](#) (PDF, 92KB)

c.c. SFC (Attn: Ms. Lucinda Wong)

Last revision date : 01 August 2011