



Hong Kong Monetary Authority

Survey on Authorized Institutions' Plans

for Registration under the Securities and Futures Ordinance

As of 30 June 2002

Name of Reporting Institution:

Contact Person Details -

- Name : _____
- Position : _____
- Telephone no. : _____
- Fax no. : _____
- Email address : _____

(This survey should be completed by every authorized institution.)

You should read the HKMA circular of 5 July 2002 for background information about the new supervisory regime under the Banking (Amendment) Ordinance 2002 (BAO 2002) and the Securities and Futures Ordinance (SFO) before completing this survey form.

Please note that the information you provide in this survey is for HKMA planning purpose only. It does not constitute any commitment on your part in relation to any application to become a registered institution under the SFO.

Part I : Existing Exemption(s) Declared / Licence(s) Granted by the SFC

YES / NO*(Please fill in "Y" or "N")*

- Q.1 (a)** Is your institution currently an "Exempt Dealer" declared by the SFC under the Securities Ordinance?
- (b)** Is your institution currently an "Exempt Investment Adviser" declared by the SFC under the Securities Ordinance?
- (c)** Is your institution currently licensed with the SFC?
 If yes, please state the type(s) of licence granted:
 (i) Securities Dealer
 (ii) Investment Adviser
 (iii) Commodity Dealer
 (iv) Commodity Trading Adviser
- (d)** (This question should be answered only if your institution is a licensed bank that is not an exempt dealer.)
 For a licensed bank that is not an exempt dealer, please indicate whether your institution is currently carrying on an investment advisory business. (see note 1)
- (e)** Does your institution intend to apply for registration in any regulated activity under the new regime? (see note 2)
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Part II : Regulated Activities

- Q.2** Which regulated activity(ies) does your institution carry on or intend to carry on under the new regime? Please state the number of relevant individuals who are currently engaged in such activity(ies) as of **30 June 2002**. For regulated activity(ies) in which the institution is not currently engaged but is expected to engage under the new regime, please provide a rough estimate of the number of relevant individuals.

<u>Types of regulated activity under the SFO</u>	<u>Current activity</u> YES / NO <i>(Please fill in "Y" or "N")</i>	<u>Intend to engage in under the new regime</u> YES / NO	<u>No. of relevant individuals</u> <i>(see note 3)</i>
Type 1 : Dealing in Securities			
Type 2 : Dealing in Futures Contracts			
Type 4 : Advising on Securities			
Type 5 : Advising on Futures Contracts			
Type 6 : Advising on Corporate Finance			
Type 7 : Providing Automated Trading Services			
Type 9 : Asset Management			
Total no. of relevant individuals: <i>(see note 4)</i>			

[Please provide us with organization chart(s) showing the internal rankings and reporting lines of the intended EO appointees.]

CE ACE D m
(see note 6)

[illegible]

Figure 1: Schematic representation of the experimental design. The diagram shows a sequence of events for two groups: 'Control' and 'Experimental'. The 'Control' group receives a 'Control stimulus' (a horizontal bar) and a 'Control response' (a horizontal bar). The 'Experimental' group receives an 'Experimental stimulus' (a horizontal bar) and an 'Experimental response' (a horizontal bar). The 'Control' group is shown in a box labeled 'Control' and the 'Experimental' group is shown in a box labeled 'Experimental'. The 'Control' group is shown in a box labeled 'Control' and the 'Experimental' group is shown in a box labeled 'Experimental'. The 'Control' group is shown in a box labeled 'Control' and the 'Experimental' group is shown in a box labeled 'Experimental'.

Technical drawing of a mechanical part, showing multiple views (front, top, side, and section views) with dimensions and labels. The drawing includes a main front view, a top view, a side view, and several section views (A-A, B-B, C-C, D-D, E-E, F-F, G-G, H-H, I-I, J-J, K-K, L-L, M-M, N-N, O-O, P-P, Q-Q, R-R, S-S, T-T, U-U, V-V, W-W, X-X, Y-Y, Z-Z). Dimensions are provided for various features, including lengths, widths, and radii. Labels include 'A', 'B', 'C', 'D', 'E', 'F', 'G', 'H', 'I', 'J', 'K', 'L', 'M', 'N', 'O', 'P', 'Q', 'R', 'S', 'T', 'U', 'V', 'W', 'X', 'Y', 'Z' and 'A-A', 'B-B', 'C-C', 'D-D', 'E-E', 'F-F', 'G-G', 'H-H', 'I-I', 'J-J', 'K-K', 'L-L', 'M-M', 'N-N', 'O-O', 'P-P', 'Q-Q', 'R-R', 'S-S', 'T-T', 'U-U', 'V-V', 'W-W', 'X-X', 'Y-Y', 'Z-Z'.

2.3 (Continued)

Types of regulated activity	No. of EOs
1. Issuance of licences	1
2. Issuance of permits	1
3. Issuance of orders	1
4. Issuance of directions	1
5. Issuance of notices	1
6. Issuance of certificates	1
7. Issuance of approvals	1
8. Issuance of exemptions	1
9. Issuance of sanctions	1
10. Issuance of awards	1
11. Issuance of penalties	1
12. Issuance of grants	1
13. Issuance of contracts	1
14. Issuance of tenders	1
15. Issuance of bids	1
16. Issuance of offers	1
17. Issuance of proposals	1
18. Issuance of applications	1
19. Issuance of requests	1
20. Issuance of inquiries	1
21. Issuance of consultations	1
22. Issuance of discussions	1
23. Issuance of negotiations	1
24. Issuance of agreements	1
25. Issuance of arrangements	1
26. Issuance of plans	1
27. Issuance of schemes	1
28. Issuance of systems	1
29. Issuance of procedures	1
30. Issuance of methods	1
31. Issuance of techniques	1
32. Issuance of practices	1
33. Issuance of standards	1
34. Issuance of codes	1
35. Issuance of rules	1
36. Issuance of regulations	1
37. Issuance of orders	1
38. Issuance of directions	1
39. Issuance of notices	1
40. Issuance of certificates	1
41. Issuance of approvals	1
42. Issuance of exemptions	1
43. Issuance of sanctions	1
44. Issuance of awards	1
45. Issuance of penalties	1
46. Issuance of grants	1
47. Issuance of contracts	1
48. Issuance of tenders	1
49. Issuance of bids	1
50. Issuance of offers	1
51. Issuance of proposals	1
52. Issuance of applications	1
53. Issuance of requests	1
54. Issuance of inquiries	1
55. Issuance of consultations	1
56. Issuance of discussions	1
57. Issuance of negotiations	1
58. Issuance of agreements	1
59. Issuance of arrangements	1
60. Issuance of plans	1
61. Issuance of schemes	1
62. Issuance of systems	1
63. Issuance of procedures	1
64. Issuance of methods	1
65. Issuance of techniques	1
66. Issuance of practices	1
67. Issuance of standards	1
68. Issuance of codes	1
69. Issuance of rules	1
70. Issuance of regulations	1
71. Issuance of orders	1
72. Issuance of directions	1
73. Issuance of notices	1
74. Issuance of certificates	1
75. Issuance of approvals	1
76. Issuance of exemptions	1
77. Issuance of sanctions	1
78. Issuance of awards	1
79. Issuance of penalties	1
80. Issuance of grants	1
81. Issuance of contracts	1
82. Issuance of tenders	1
83. Issuance of bids	1
84. Issuance of offers	1
85. Issuance of proposals	1
86. Issuance of applications	1
87. Issuance of requests	1
88. Issuance of inquiries	1
89. Issuance of consultations	1
90. Issuance of discussions	1
91. Issuance of negotiations	1
92. Issuance of agreements	1
93. Issuance of arrangements	1
94. Issuance of plans	1
95. Issuance of schemes	1
96. Issuance of systems	1
97. Issuance of procedures	1
98. Issuance of methods	1
99. Issuance of techniques	1
100. Issuance of practices	1
101. Issuance of standards	1
102. Issuance of codes	1
103. Issuance of rules	1
104. Issuance of regulations	1
105. Issuance of orders	1
106. Issuance of directions	1
107. Issuance of notices	1
108. Issuance of certificates	1
109. Issuance of approvals	1
110. Issuance of exemptions	1
111. Issuance of sanctions	1
112. Issuance of awards	1
113. Issuance of penalties	1
114. Issuance of grants	1
115. Issuance of contracts	1
116. Issuance of tenders	1
117. Issuance of bids	1
118. Issuance of offers	1
119. Issuance of proposals	1
120. Issuance of applications	1
121. Issuance of requests	1
122. Issuance of inquiries	1
123. Issuance of consultations	1
124. Issuance of discussions	1
125. Issuance of negotiations	1
126. Issuance of agreements	1
127. Issuance of arrangements	1
128. Issuance of plans	1
129. Issuance of schemes	1
130. Issuance of systems	1
131. Issuance of procedures	1
132. Issuance of methods	1
133. Issuance of techniques	1
134. Issuance of practices	1
135. Issuance of standards	1
136. Issuance of codes	1
137. Issuance of rules	1
138. Issuance of regulations	1
139. Issuance of orders	1
140. Issuance of directions	1
141. Issuance of notices	1
142. Issuance of certificates	1
143. Issuance of approvals	1
144. Iss	

Name of EOs (in English)
(Surname) (Forenames)

Position / Job Title

Department

CE ACE D m
(see note 6)

Type 6 ☐[illegible]Type 7 ☐

11

[illegible]Type 9 ☐

11

Figure 1: Schematic representation of the experimental design. The figure is divided into two main sections: 'Pretest' and 'Main Experiment'. The 'Pretest' section includes 'Pretest 1' and 'Pretest 2'. 'Pretest 1' shows a sequence of stimuli: a fixation cross, a target stimulus, and a response. 'Pretest 2' shows a sequence of stimuli: a fixation cross, a target stimulus, and a response. The 'Main Experiment' section includes 'Main Experiment 1' and 'Main Experiment 2'. 'Main Experiment 1' shows a sequence of stimuli: a fixation cross, a target stimulus, and a response. 'Main Experiment 2' shows a sequence of stimuli: a fixation cross, a target stimulus, and a response. The figure also includes a 'Timeline' section showing the sequence of events: Fixation, Target, Response, and Feedback. The timeline is divided into two parts: 'Pretest' and 'Main Experiment'. The 'Pretest' part shows a sequence of events: Fixation, Target, Response, and Feedback. The 'Main Experiment' part shows a sequence of events: Fixation, Target, Response, and Feedback. The figure is a schematic representation of the experimental design, showing the sequence of stimuli and responses for the pretest and main experiment.

Total no. of tentative EO appointees:

(see note 7)

**Total no. of tentative EO appointees who are currently Chief Executives/
Alternate Chief Executives/Directors:**

(see note 7)

Part IV : Associated Entities

Q.4 (This question should be answered only if your institution is currently a licensed person/an exempt dealer with the SFC.)

Is there any company which is currently:

- (a) in a controlling entity relationship with your institution; and
- (b) receiving or holding in Hong Kong client assets of your institution?

(see note 8)

YES / NO
(Please fill in "Y" or "N")

If **yes**, please provide name(s) of such company(ies).

Company Name (in English)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

Q.5 Is there any company which is a licensed person/an exempt dealer with the SFC and that your institution is currently:

- (a) in a controlling entity relationship with the company(ies); and
- (b) receiving or holding in Hong Kong client assets of the company(ies)?

(see note 8)

YES / NO
(Please fill in "Y" or "N")

If **yes**, please provide name(s) of such company(ies).

Company Name (In English)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

Part V : Application to be Registered Institutions

Q.6 Please indicate the tentative month and year in which your institution expects to apply for registration with the SFC under the new regime. (see note 9)

Month* Year*

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*** Numeric input and on the assumption that the BAO 2002 and the SFO will commence operation in January 2003.**