



HONG KONG MONETARY AUTHORITY
香港金融管理局

Circulars

18 Nov 2002

Subsidiary legislation under the Securities and Futures Ordinance (SFO)

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

18 November 2002

The Chief Executive
All Authorized Institutions

Dear Sir / Madam,

Subsidiary legislation under the Securities and Futures Ordinance (SFO)

I am writing to inform you that the Securities and Futures Commission (SFC) has issued a circular regarding the scheduled gazettal of the subsidiary legislation to be made under the SFO, which will take place in 3 batches, on 29 November, 6 and 13 December 2002 respectively. It is also mentioned in the circular that the SFC will shortly be organizing seminars on certain subsidiary legislation. A copy of the circular is attached at [Annex 1](#) for your information.

Authorized institutions that intend to register with the SFC under the SFO are advised to study the relevant provisions in the SFO and the subsidiary legislation in detail and take appropriate measures with a view to achieving compliance. To facilitate your preparation for the new supervisory regime, a list of the subsidiary legislation that will be applicable to registered institutions (RIs) in relation to the conduct of regulated activities is given in [Annex 2](#).

The HKMA will in due course provide a list which sets out those SFC codes, guidelines and circulars that are applicable to RIs in respect of their regulated activities.

Please contact Miss Maisy Chang at 2878 1604 should you have any queries on this letter.

Yours faithfully,

D T R Carse
Deputy Chief Executive

Encl c.c. SFC (Attn: Mrs Alexa Lam)

Last revision date : 01 August 2011