

PART XVI

MISCELLANEOUS

368. Immunity

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(5) Nothing in subsection (4) affects any requirement under this Ordinance to disclose the name and address of a client of a legal practitioner (whether or not the legal practitioner is qualified in Hong Kong to practise as a¹ counsel or to act as a solicitor).

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¹ Technical amendment.

**388. General requirements for documents
lodged with Commission**

(1) Except as otherwise provided in sections 315 and 338², the Commission may, by notice published in the Gazette, specify any form in respect of any application, statement, notice, return or other document (however described) required to be lodged, filed or submitted with or to the Commission for the purposes of any provision of this Ordinance, either generally or in any particular case, and, without limiting the generality of the foregoing, may in the form -

- (aa) include directions and instructions relating to the compilation of the application, statement, notice, return or other document (as the case may be);
- (a) include directions and instructions relating to the inclusion of statutory declarations made in respect of the particulars in it; and
- (b) specify documents by which it is to be accompanied.

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Financial Services Bureau
Securities and Futures Commission
31 December 2001

² **Members did not propose any change to our proposal to disapply this clause to clause 315 in Part XV, which already provides for specific requirements for forms applicable to substantial shareholders of listed corporations to be prescribed under that Part. On further review, we have now added the reference to clause 338 in Part XV, which provides for specific requirements for forms applicable to directors and chief executives of listed corporations.**