

L. N. 230 of 2002

Securities And Futures (Offences And Penalties) Regulation

(Made by the Chief Executive in Council under section 398(6) of the Securities and Futures Ordinance (Cap. 571))

1. Commencement

This Regulation shall come into operation on the day appointed for the commencement of the Securities and Futures Ordinance (Cap. 571).

2. Offences

Any person who, without reasonable excuse, contravenes a provision specified in column 2 of the Schedule commits an offence and is liable on conviction to the penalty specified in column 3 of that Schedule opposite the reference to that provision.

Schedule [s. 2]

Item Specified provision Specified penalty

1. Section 3(1) of the Securities and Futures (Miscellaneous) Rules A fine at level 5

(L. N. 216 of 2002)

2. Section 4(1) of the Securities and Futures (Miscellaneous) Rules A fine at level 6

(L. N. 216 of 2002)

3. Section 4(2) of the Securities and Futures (Miscellaneous) Rules A fine at level 6

(L. N. 216 of 2002)

4. Section 4(3) of the Securities and Futures (Miscellaneous) Rules A fine at level 6

(L. N. 216 of 2002)

CHENG Mei-sze, Maisie

Clerk to the Executive Council

Council Chamber

10 December 2002

Explanatory Note

This Regulation is made by the Chief Executive in Council under section 398(6) of the Securities and Futures Ordinance (Cap. 571). It provides that a person who contravenes any specified provision of the Securities and Futures (Miscellaneous) Rules (L. N. 216 of 2002) commits an offence and is liable to a specified penalty.