



APPENDIX 6

TABLE OF LICENSED AND REGISTERED PERSONS

Licensed/ registered person	Licensed/ Registered/ Approved/ Consented to by	Supervised by	Licence/ Registration/ Approval/ Consent may be withdrawn/ suspended by	Statutory provisions
BROKERS and their staff				
Licensed corporations	SFC	SFC	SFC	ss.116, 180, 194 and 195 SFO
Responsible officers	SFC	SFC	SFC	ss.126, 180 194 and 195 SFO
Representatives	SFC	SFC	SFC	s.120, 180 194 and 195 SFO
BANKS and their staff				
Registered Institutions	SFC	HKMA	SFC	s.7(2)(g), s.55 and s.63 BO and ss.119, 180, 196 and 197 SFO
Executive Officers	HKMA	HKMA	HKMA	ss.7(2)(g), 55, 63, 71C and 72A BO and s.180 SFO
Relevant Individuals	n/a [names of relevant individuals entered on the register maintained by HKMA]	HKMA	HKMA [remove names from register]	ss.7(2)(g), 20(1)(ea), 55 and 58A, 63 and 72A BO and s.180 SFO