

香港特別行政區政府
財經事務及庫務局
財經事務科
香港金鐘添美道二號
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本函檔號 OUR REF.:

來函檔號 YOUR REF.:

24 May 2013

Ms Connie SZETO
Clerk to Panel on Financial Affairs
Legislative Council Complex,
1 Legislative Council Road,
Central, Hong Kong

Dear Ms SZETO,

In late 2011, when the Legislative Council scrutinized the Securities and Futures (Professional Investor) (Amendment) Rules 2011, the Securities and Futures Commission (SFC) undertook at the meetings of the relevant subcommittee to conduct a comprehensive review of the current professional investor regime to determine whether it should be further refined, streamlined or improved.

In this connection, SFC issued on 15 May 2013 the Consultation Paper on the Proposed Amendments to the Professional Investor Regime and the Client Agreement Requirements and commenced a three-month public consultation. I enclosed herewith a copy of the consultation paper for your reference please. The paper has also been uploaded to SFC's website:

<http://www.sfc.hk/edistributionWeb/gateway/EN/consultation/doc?refNo=13CP1>

Yours sincerely,

A handwritten signature in black ink, appearing to be 'Sara Tse', written over a white background.

(Sara Tse)

for Secretary for Financial Services and the Treasury

cc: SFC (Attn: Mr Paul Yeung) (Fax: 2293 5875)