

LN092-E

L. N. 92 of 2000

Securities and Futures Commission (Annual Returns)

(Amendment) Rules 2000

(Made by the Securities and Futures Commission under section 34 of the Securities and Futures Commission Ordinance (Cap. 24))

1. Commencement

These Rules shall come into operation on 12 June 2000.

2. Schedule amended

The Schedule to the Securities and Futures Commission (Annual Returns) Rules (Cap. 24 sub. leg.) is amended---

(a) in Part A, by adding " Securities Margin Financier" after "Commodity Trading Adviser";

(b) in Part B---

(i) in paragraph 3, by repealing "Home" and substituting "Residential";

(ii) in paragraph 7, by adding "or provide securities margin financing" after "securities/futures";

(iii) in the last line, by adding "OTHER THAN A DIRECTOR WHO IS APPROVED UNDER SECTION 121I OF THE SECURITIES ORDINANCE (CAP. 333)" after "REPRESENTATIVE";

(c) in Part C---

(i) in the heading, by repealing "AND COMMODITY TRADING ADVISERS" and substituting

", COMMODITY TRADING ADVISERS, SECURITIES MARGIN FINANCIERS AND SECURITIES MARGIN FINANCIER'S REPRESENTATIVES (WHO ARE DIRECTORS APPROVED UNDER SECTION 121I OF THE SECURITIES ORDINANCE (CAP. 333))";

(ii) in paragraph 27, by adding "or a securities margin financier" after "trading adviser";

(d) in the warning and the certification, by adding ", 121S or 121U" after "section 56" respectively.

Andrew SHENG

Chairman,

Securities and Futures Commission

30 March 2000

Explanatory Note

The main purpose of these Rules is to amend the annual return form in the Schedule to the Securities and Futures Commission (Annual Returns) Rules (Cap. 24 sub. leg.) to accommodate the inclusion of securities margin financier and securities margin

financier' s representative.