

Subsidiary legislation under the SFO applicable to registered institutions in relation to the conduct of regulated activities

Subsidiary legislation	Latest version ¹ available under the agenda for the Legislative Council Subcommittee Meeting of	Website address
<i>(A) Applicable to registered institutions (RIs)</i>		
Securities and Futures (Client Securities) Rules ²	24 October 2002	http://www.legco.gov.hk/yr01-02/english/hc/sub_com/hs01/agenda/hs011024.htm
Securities and Futures (Keeping of Records) Rules ²	24 October 2002	http://www.legco.gov.hk/yr01-02/english/hc/sub_com/hs01/agenda/hs011024.htm
Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules ²	24 October 2002	http://www.legco.gov.hk/yr01-02/english/hc/sub_com/hs01/agenda/hs011024.htm
Securities and Futures (Licensing and Registration) (Information) Rules	24 October 2002	http://www.legco.gov.hk/yr01-02/english/hc/sub_com/hs01/agenda/hs011024.htm
Securities and Futures (Unsolicited Calls – Exclusion) Rules	24 October 2002	http://www.legco.gov.hk/yr01-02/english/hc/sub_com/hs01/agenda/hs011024.htm <i>(Reference should also be made to the information provided by the Administration on these Rules under “Other Relevant Papers”)</i>
Securities and Futures (Professional Investor) Rules	24 October 2002	http://www.legco.gov.hk/yr01-02/english/hc/sub_com/hs01/agenda/hs011024.htm <i>(Reference should also be made to the information provided by the Administration on these Rules under “Other Relevant Papers”)</i>
Securities and Futures (Fees) Rules	18 September 2002	http://www.legco.gov.hk/yr01-02/english/hc/sub_com/hs01/agenda/hs010918.htm
Securities and Futures (Miscellaneous) Rules ²	16 September 2002	http://www.legco.gov.hk/yr01-02/english/hc/sub_com/hs01/agenda/hs010916.htm
Securities and Futures (Offence and Penalties) Regulation	16 September 2002	http://www.legco.gov.hk/yr01-02/english/hc/sub_com/hs01/agenda/hs010916.htm
<i>(B) Applicable to associated entities of intermediaries</i>		
Securities and Futures (Associated Entities) Rules	24 October 2002	http://www.legco.gov.hk/yr01-02/english/hc/sub_com/hs01/agenda/hs011024.htm <i>(Reference should also be made to the information provided by the Administration on these Rules under “Other Relevant Papers”)</i>
<i>(C) Applicable to RIs’ associated entities that are not authorized institutions</i>		
Securities and Futures (Accounts and Audit) Rules	24 October 2002	http://www.legco.gov.hk/yr01-02/english/hc/sub_com/hs01/agenda/hs011024.htm <i>(Reference should also be made to the information provided by the Administration on these Rules under “Other Relevant Papers”)</i>

¹ This version may be subject to minor drafting and formatting changes.

² These Rules will also be applicable to associated entities of intermediaries.