

G.N. 7800

SECURITIES AND FUTURES ORDINANCE (CHAPTER 571) (the "SFO")
(Notice under section 402)

Notice specifying the form of the return to be submitted under section 3 of the Securities and Futures (Account and Audit) Rules (Chapter 571P) (the "AAR")

Notice is hereby given that pursuant to section 402 of the SFO, the Securities and Futures Commission (the "Commission") specifies that, with effect from 31 December 2024, the form attached shall be used for the purpose of submitting to the Commission an analysis of scheme assets at the end of the financial year for an associated entity of an intermediary licensed or registered for Type 13 regulated activity in relation to the carrying on by the intermediary of Type 13 regulated activity as required under section 3(3)(ba) of the AAR in respect of any period ending on or after 31 December 2024.

27 December 2024

Eric Yip
Executive Director, Intermediaries
Securities and Futures Commission



Form

(Made for the purposes of compliance with the requirements of section 156(1)(a) of the Securities and Futures Ordinance (Cap. 571) as amplified in section 3(3) of the Securities and Futures (Accounts and Audit) Rules (Cap. 571P))

Analysis of Scheme Assets for Associated Entity of an Intermediary Licensed or Registered for Type 13 Regulated Activity

Table 1 Analysis of scheme securities as of the date of financial year-end _____

(This part is applicable to associated entities of licensed corporations and registered institutions in the conduct of Type 13 regulated activity)

	<u>Market value (HK\$'000)</u>
Analysis of scheme securities	
Deposited in accounts held in Central Clearing and Settlement System ("CCASS") (A)	
Deposited in accounts held in Central Moneymarkets Unit ("CMU") (B)	
Deposited in safe custody with authorized financial institutions (C)	
Deposited in safe custody with licensed corporations (D)	
Held in the office premises of the intermediary or associated entity (E)	
Held in other locations (F) (Note 1)	
Total (G) = (A) + (B) + (C) + (D) + (E) + (F)	

Note 1: Please specify in the space below the locations of the scheme securities and purposes of the dispositions.

Table 2 Analysis of scheme money as of the date of financial year-end _____

(This part is only applicable to associated entities of licensed corporations in the conduct of Type 13 regulated activity)

	<u>(HK\$'000)</u>
Analysis of scheme money	
Amounts held in segregated accounts and relevant CIS accounts (Note 2) maintained with authorized financial institution (H)	
Amounts held in segregated accounts and relevant CIS accounts (Note 2) maintained with other person approved by the Commission under the Securities and Futures (Client Money) Rules (I)	

Others (J) (Note 3)	
Total (K) = (H) + (I) + (J)	

Note 2: Relevant CIS account means an account established and maintained by the board of directors of a relevant CIS that is constituted in the form of an open-ended fund company or any other corporate form in the name of the relevant CIS in accordance with section 108(6) and (7) of the Securities and Futures (Client Money) Rules and in respect of which a licensed corporation licensed in the course of the conduct of Type 13 regulated activity or an associated entity of the licensed corporation has control.

Note 3: Please specify in the space below the locations of the scheme money.