

L.N. 59 of 2023

**Securities and Futures (Contract Notes, Statements of
Account and Receipts) (Amendment) Rules 2023**

(Made by the Securities and Futures Commission under section 152 of
the Securities and Futures Ordinance (Cap. 571))

1. Commencement

These Rules come into operation on 2 October 2024.

**2. Securities and Futures (Contract Notes, Statements of Account
and Receipts) Rules amended**

The Securities and Futures (Contract Notes, Statements of
Account and Receipts) Rules (Cap. 571 sub. leg. Q) are
amended as set out in section 3.

3. Section 3 amended (application)

After section 3(1)—

Add

“(1A) These Rules do not apply to—

- (a) an intermediary licensed or registered for Type
13 regulated activity; or
- (b) an associated entity of such an intermediary,
in relation to the conduct by the intermediary of that
regulated activity.”.

Securities and Futures (Contract Notes, Statements of Account and Receipts)
(Amendment) Rules 2023

L.N. 59 of 2023
B701

Julia LEUNG
Chief Executive Officer,
Securities and Futures Commission

20 March 2023

Explanatory Note

The main object of these Rules is to amend the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules (Cap. 571 sub. leg. Q) (*principal Rules*) to disapply the principal Rules to intermediaries licensed or registered for Type 13 regulated activity (providing depositary services for relevant CISs) and their associated entities in relation to the conduct of Type 13 regulated activity.

2. Section 1 provides for the commencement of these Rules.
3. Section 3 amends section 3 of the principal Rules to disapply the principal Rules to intermediaries licensed or registered for Type 13 regulated activity and their associated entities in relation to the conduct of Type 13 regulated activity.