



# Frequently asked questions handled by Intermediaries Supervision

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# General

- ◆ Business day
- ◆ Clients' written instructions
- ◆ Reporting of non-compliance
- ◆ Modifications/waivers



# Client Assets Rules

- ◆ Designation of accounts
- ◆ Client Securities Rules –
  - Validity of existing standing authority
  - As soon as reasonably practicable
  - DVP instructions/corporate action
- ◆ Client Money Rules –
  - Ways of paying a client
  - Unidentified receipts
  - Receipt of money after banking hours



# Contract Notes Rules

- ◆ To the extent applicable
- ◆ Hold-mail arrangement



# Other requirements

## ◆ Code of Conduct

- Need to enter new client agreement
- New Regulatory Handbook

## ◆ Accounts and Audit Rules

- Accounts for year ended before 1.4.03