

Subsidiary Legislation under the Securities and Futures Ordinance

For effective regulation, the SFO provides flexibility in addressing changing market practices and global conditions by way of subsidiary legislation. All 40 sets of subsidiary legislation required to commence the SFO had been gazetted by January 2003.

Part III	Securities and Futures (Transfer of Functions – Stock Exchange Company) Order Securities and Futures (Contracts Limits and Reportable Positions) Rules Securities and Futures (Stock Market Listing) Rules Securities and Futures (Transfer of Functions – Investor Compensation Company) Order
Part V	Securities and Futures (Insurance) Rules Securities and Futures (Leveraged Foreign Exchange Trading (Arbitration)) Rules Securities and Futures (Licensing and Registration) (Information) Rules
Part VI	Securities and Futures (Financial Resources) Rules Securities and Futures (Client Securities) Rules Securities and Futures (Client Money) Rules Securities and Futures (Keeping of Records) Rules Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules Securities and Futures (Accounts and Audit) Rules Securities and Futures (Associated Entities – Notice) Rules
Part VII	Securities and Futures (Short Selling and Securities Borrowing and Lending (Miscellaneous)) Rules Securities and Futures (Unsolicited Calls – Exclusion) Rules
Part IX	Securities and Futures (Registration of Commission Disciplinary Orders) Rules
Part XI	Securities and Futures (Registration of Appeals Tribunal Orders) Rules Securities and Futures Ordinance (Amendment of Schedule 8) Order 2002
Part XII	Securities and Futures (Investor Compensation – Levy) Rules Securities and Futures (Investor Compensation – Compensation Limits) Rules Securities and Futures (Investor Compensation – Claims) Rules
Part XIII	Securities and Futures (Registration of Market Misconduct Tribunal Orders) Rules Securities and Futures (Price Stabilising) Rules
Part XV	Securities and Futures (Disclosure of Interests – Exclusions) Regulations Securities and Futures (Disclosure of Interests – Securities Borrowing and Lending) Rules
Part XVI	Securities and Futures (Collective Investment Schemes) Notice Securities and Futures (Levy) Order Securities and Futures (Levy) Rules Securities and Futures (Fees) Rules Securities and Futures (Miscellaneous) Rules Securities and Futures (Leveraged Foreign Exchange Trading – Exemption) Rules Securities and Futures (Professional Investor) Rules Securities and Futures (Recognized Counterparty) Rules Securities and Futures (Exempted Instruments – Information) Rules Securities and Futures (Offences and Penalties) Regulations
Part XVII	Securities and Futures Ordinance (Amendment of Schedule 10) Order 2002
Others	Companies Ordinance (Exemption of Companies and Prospectuses from Compliance with Provisions) (Amendment) Notice 2002 Securities and Futures Ordinance (Cap.571) (Commencement) Notice 2003 Securities and Futures Ordinance (Cap.571) (Appointment of Day – Repeal of Ordinances) Notice