

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 Client Assets for Associated Entity

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

(This part is applicable to associated entities of licensed corporations and registered institutions)

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

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

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

(This part is only applicable to associated entities of licensed corporations)

	(HK\$'000)
Analysis of client money	
Amounts held in segregated account maintained with authorized financial institution (G)	
Amounts held in segregated account maintained with other person approved by the Commission under the Securities and Futures (Client Money) Rules (H)	
Amounts held with approved banks incorporated outside Hong Kong (I)	
Others (J) (Note 2)	
Total (K) = (G) + (H) + (I) + (J)	

Note 2: Please specify in the space below the locations of the client money.