

L.N. 95 of 2015

## Securities and Futures (Amendment) Ordinance 2014 (Commencement) Notice 2015

Under section 1(2) of the Securities and Futures (Amendment) Ordinance 2014 (6 of 2014), I appoint 10 July 2015 as the day on which the following provisions of the Ordinance come into operation—

- (a) Part 1;
- (b) sections 2, 3, 4, 5, 6, 7 and 8;
- (c) section 9 in so far as it relates to the following provisions—
  - (i) the new section 101A in so far as it relates to—
    - (A) the new definitions of *prescribed fee*, *record keeping obligation*, *record keeping rules*, *reporting obligation*, *reporting rules* and *underlying subject matter*;
    - (B) paragraphs (a) and (d) of the new definition of *prescribed person*; and
    - (C) paragraphs (a) and (d) of the new definition of *specified OTC derivative transaction*;
  - (ii) the new sections 101B and 101E;
  - (iii) the new section 101F in so far as it relates to the contravention of the reporting obligation and the record keeping obligation;
  - (iv) the new section 101G in so far as it relates to the contravention of the reporting obligation and the record keeping obligation;

- (v) the new section 101H in so far as it relates to the exemptions from the reporting obligation and the record keeping obligation;
- (vi) the new section 101I in so far as it relates to the guidelines on exemptions from the reporting obligation and the record keeping obligation;
- (vii) the new sections 101L, 101M and 101P;
- (d) sections 11, 12(2), 13, 14, 15, 16 and 17;
- (e) section 18(1);
- (f) section 18(5) in so far as it relates to the new section 182(1)(da) (in so far as it relates to the contravention of the reporting obligation and the record keeping obligation);
- (g) section 18(6) (except in so far as it relates to the new section 182(1)(db));
- (h) section 19;
- (i) section 20 in so far as it relates to the following provisions—
  - (i) the new section 184A in so far as it relates to the contravention of the reporting obligation and the record keeping obligation;
  - (ii) the new sections 184B, 184C, 184D and 184E;
- (j) sections 21, 22, 23, 24, 25 and 26;
- (k) section 27(1);
- (l) section 27(2) in so far as it relates to paragraph (b) of the new definition of *disciplinary power*;
- (m) sections 28, 30, 31(1) and 33;
- (n) section 34(1) and (3);

- (o) section 34(5) (except in so far as it relates to the new section 101Y);
- (p) sections 35 and 36;
- (q) section 37 in so far as it relates to the following provisions—
  - (i) the new Division 4 of Part IX in so far as it relates to the contravention of the reporting obligation and the record keeping obligation;
  - (ii) the new Division 5 of Part IX (except in so far as it relates to the new section 101Y referred to in the new section 203D(3));
- (r) sections 38, 39, 40, 41, 42, 43, 44, 45, 46, 47 and 48;
- (s) section 52(1);
- (t) section 52(2) in so far as it relates to paragraphs (a) and (b) of the new definition of *market contract*;
- (u) section 52(3) in so far as it relates to the new definitions of *approved money broker*, *MA investigator*, *OTC derivative product*, *OTC derivative transaction*, *prescribed person*, *record keeping obligation*, *reporting obligation* and *specified provision*;
- (v) section 52(4);
- (w) section 53(4), (6), (7), (17), (18) and (19);
- (x) section 53(21) in so far as it relates to the new paragraph (xib) of the definition of *leveraged foreign exchange trading* in Part 2 of Schedule 5;
- (y) section 54(1) in so far as it relates to the new items 4A and 4B;
- (z) section 54(2), (4) and (6);
- (za) Parts 3, 5 and 6.

Securities and Futures (Amendment) Ordinance 2014 (Commencement)  
Notice 2015

L.N. 95 of 2015  
B1443

---

**K. C. CHAN**  
Secretary for Financial Services  
and the Treasury

4 May 2015