

Regulatory Framework for Intermediaries



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covered in a separate paper entitled “*Approach to Supervision of Intermediaries*” published by the Commission.

Part I: Collaborative approach to regulation of intermediaries

7. Armed with functions and powers under the SFO, the Commission currently regulates over 1,700 intermediaries in Hong Kong that engage in the following regulated activities:⁴

Type 1 – dealing in securities;

– dealing in factures cont1(rred)-3(ac)13(t)5(es;)]TJETBT1 0 0 4 549.84 592.39 Tm[)]TJE



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