



SECURITIES AND
FUTURES COMMISSION
證券及期貨事務監察委員會

Guidelines on Waivers of Certain Licensing Fees

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Hong Kong
March 2003

2003 3

1. () (571
) () 399(1)

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6.

6.1

116(2)(c)

130(1)

116(1)

117(2)(g)

6.2

130(1)

6.3

3 14

6.4

116(1)

117(1)

(

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6.5

3 14

(

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7.

7.1

131(1)

132(1)(a)

116

7.2

132(1)

(a)

(b)

(

)

116

7.3 $3 \quad 15$

7.4 $116(1)$

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7.5 $3 \quad 15$

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B

8. 10

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9.

a.

b.

c. ()

d. 1 2

e.

f.

g.

10.

10.1

11.2

10

3 3

14. ‡F] ab # 3 " 8 Ê9u%RïçÇ"1 x10 ä,3I

14.1] ab Å•à° ud 10 # 22(c)" (f) °çÇ"1 x (ü ¶ ž & ...
ž n ÷ 3 " ü ¶ Ë ® □ ° G ø) Ö â " É + | ! 3 9 î # 3 " 8
Ê9u%Rï«aà x1ä,3I" ÀD4užÁud 3 # 12 ^ m Â
ï# 3 " 8 Ê9u%Rï19îD ñ ç –

£D1

15.] ab çÇ"13S – ì 3—ä,3I

15.1] ab Å•à° ud 10 # 22(a)• 23(a)• 27(a)• 28(a)" 30(a)(ii) —
(iii) ° # 1•4•6 30(a)(ii)

15.6				10	22(e)	23(e)	27(d)	28(d)	30(d)(ii)
(iii)	5	9							
		3	18(a)(A)	18(b)(ii)(A)	(				)
							\$4,740		
15.7			10	30(a)(i)	(b)(i)	(c)(i)	(d)(i)		
									3
	18(a)(A)								
	3	18(b)(ii)(A)			(		15.1		)
16.									
16.1	15.1	15.7			(				)
16.2			11.1	11.3		(			)
17.									
17.1			10	22(c)		8			
	(		)						
		3	18(b)(ii)(A)				8		
			\$1,790						
17.2			10	22(f)		3			
	(		)						
		3	18(b)(ii)(B)				3		
			\$2,420						
17.3			(	13.1		)			2

18.5

10 26(ii)

3 18(b)(i)(A)

19.

19.1

10 25(a)(i)

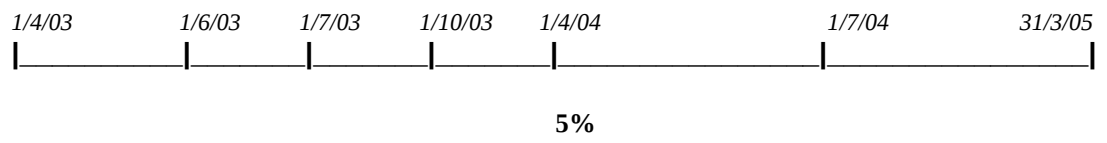
1 4 6 9

3 18(c)
\$14,000

- 2003 6 1 1

10 1

- 2003 7 1



20.3

2003 6 1 2003 9 30

20.4

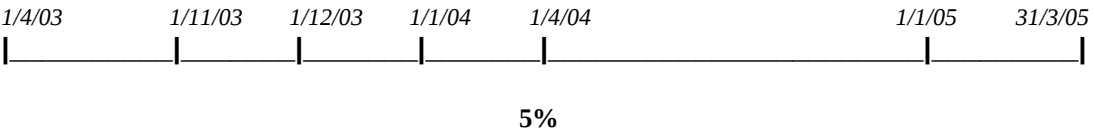
2003 7 1

2003 10 1 2004 6 30

9

\$4,740 (\$4,900 3%)

- 1 1 ()
- 2003 11 1 6
- 2003 12 1
- 1 1



20.7

20.1 5%

20.8 2003 12 1
1

2005 3 31 () 5%

$$\$4,740 - (\$4,900 \times 5\% \times 3/12) = \$4,679$$

$$\$4,740 - (\$4,900 \times 5\% \times 3/12) = \$4,679$$

$$\$1,790 - (\$1,850 \times 5\% \times 3/12) = \$1,767$$

21.

21.1 15 20

()

() 3

3.	116(1)		(A)	(3
				) \$4,740
			(B)	3 \$129,730
5.	119(1)			\$23,500
6.	120(1)		(A)	(3
				) \$1,790
			(B)	3 \$2,420
12.	126(1)			\$2,950
13.	127(1)			
	—			
(a)	—		(A)	(3
(i)				) \$4,740
			(B)	3 \$129,730
(c)	—			
(i)				
				130(2/T 1 1233.66fc70fa5.583g9Bca6680
				) \$4,740
			(B)	3 \$23,500 \$129,730
14.	130(1)			\$1,000 ¹¹³⁰
15.	132(1)			\$3,000
18.	138(1)	—		
(a)	116		(A)	(3
				) \$4,740
			(B)	3 \$129,730
(b)	120(1)			

()

1.	—	
(a)		\$14,000
(b)		\$7,000
(c)		\$4,900
(d)		\$4,900
(e)		\$4,900
(f)		\$1,850
(g)		\$1,850
(h)		\$1,850
2.	—	
(a)		\$4,900
(b)		\$4,900
(c)		\$1,850
(d)		\$1,850
3.	—	
(a)		\$133,750
(b)		\$2,500