

發牌手冊

2017 年 4 月



I

1		1
2		3
2.1		3
2.2		3
2.3		4
2.4		9
3		13
3.1		13
3.2		13
3.3		13
3.4		14

II

4		15
4.1		15
4.2	□	15
4.3	□	21
4.4		22
5		23
5.1		23
5.2		23
5.3		24
5.4		24



6	27
6.1	27
6.2	27
6.3	28
7	32
7.1	32
7.2	33
III	
8	34
8.1	34
8.2	34
8.3	36
8.4	36
8.5	37
8.6	37
8.7	38
8.8	38
8.9	39
8.10	39
8.11	40
8.12	41



IV

9 44

9.1 44

9.2 44

9.3 46

9.4 47

10 48

10.1 48

10.2 48

10.3 48

10.4 48

10.5 49

10.6 50

10.7 50

10.8 51

10.9 54

10.10 54

10.11 54

10.12 56

10.13 56

A

B

C

D

1.7

1

1 “

2(1)



2

2.1

2.1.1

5

- 1
- 2
- 3
- 4
- 5
- 6
- 7
- 8
- 9
- 10









2.3.20



2.4.3

5

“

“

2.4.4

2.4.5

“

“

2.4.6

V

III

5

V

7



2.4.7

7

(1)

<http://www.sfc.hk/web/TC/forms/intermediaries/licensing-questionnaire/electronic-trading-services.html>

(2)

2.4.8

5 “

7

2.4.9

2.4.10

2.4.11

1 “ ”

622 11

“ ”

“ ” “



3

3.1

3.1.1

116





4.2.3

4.2.4

4.2.5

1

4.2.6

L

n



4.2.7

4.2.8

4.2.9



- (a) 2
- (b)
- (c)

4.2.10

4.2.11 116(1)

4.2.12

4.2.13

4.2.14

4.2.15 3

129

2 L n 1

3 L

1 1 L

L



4.2.16

()

4.2.17



4.2.19

()

1

2

4.2.20

()

4.3

4.3.1

4.3.2

1
2
4
5
6
10

4.3.3

4.3.4

3

4.3.5

24

6



4.3.6

117(5)(a)

4.3.7

4.2.15

4.4

7

4.4.1

(i)

6



5

5.1

5.1.1

5.2

5.2.1



5.2.2



5.3

5.3.1

5.3.2

5.3.3

113

L

5.3.4

5.4

5.4.1



5.4.4



5.4.9

L

1.7

5.4.10

11

L

n

5.4.11

9





6

6.1

6.1.1

6.2

6.2.1

2

E

B

D

C

6.2.2

6



6.3

6.3.1

120(1)
120(2)

6.3.2

6.3.3

6.1 6.2



(i)

(ii)

(iii)

A2

(b)

¹

117

3.1.1

3.1.2

(c)

1
2
4
5
6
10

¹ n



(d)

24

6

6.3.8

6.3.9



(ii)

E (6)(c)



7.1.8

2(1)



III

8

8.1

8.1.1

<https://portal.sfc.hk>



44



8.3

8.3.1



(d)



8.6.2



8.9

8.9.1

8.9.2

155(1)(a)

8.9.3 () ()

8.10

8.10.1

8.10.2

8.10.3

8.10.4

123(1)(a) (b)



8.12

8.12.1

8.1.2

3

--	--



_____	1 1A 1 6 7 8 9 1A 2 3 4 6 5 13

8.12.2

_____	4 4 8 4 1(s) 7 14 10(s)
_____	4 8
_____	4 4



	4
	8
	4
x 10(s)	10(s)





130	\$1,000	
132 ¹	\$3,000	

¹

(a)

(i)
(ii)

10%





9.4

9.4.1

127(1)	\$23,500	
127(1)	\$200	



10

10.1

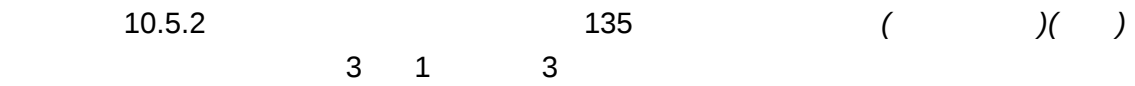
10.1.1

10.2

10.2.1

() 3

10.2.2



10.6 **1**

135(6)

10.7

6

10.7.2 155(1)(b)

50



10.8



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	3	\$4,740 ¹⁰
	3	\$129,730
	3	\$1,790 ¹⁰
	3	\$2,420
	3	\$4,740 ¹⁰
	3	\$5,370
	3 8 ¹¹	\$35,000 ¹⁰

10.11.2



10.12

10.12.1



10.13.5





A





B





C





D
