# **Co-operation Agreement**

Swiss Financial Market Supervisory Authority FINMA HONG KONG
Securities and Futures Commission

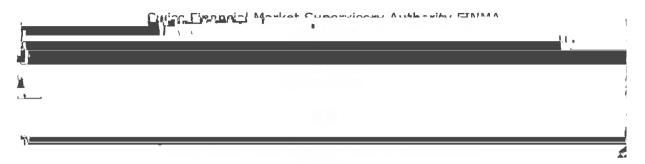
Eidgenössische Finanzmarktaufsicht FINMA Autorité fédérale de surveillance des marchés financiers FINM SECURITIES AND
FUTURES COMMISSION
證券及期貨事務監察委員會

證監會

# Contents

1.	Definitions	3
الم	- Au-	f.
	<u> 1</u>	
\$		
3.	Purpose	4
4.	Principles	4
5.	Scope of assistance	5
6.	Confidentiality & Permissible Uses	5
7.	Contact points	6

### Co-operation Agreement between



("FINMA") Laupenstrasse 27 3003 Bern Switzerland

and

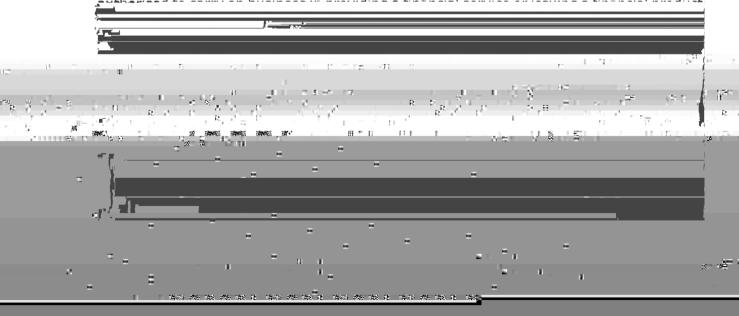
Hong Kong Securities and Futures Commission
("SFC")
35/F, Cheung Kong Center
2 Queen's Road Central
Hong Kong

## 1. Definitions

For the purposes of this Co-operation Agreement, unless the context requires otherwise

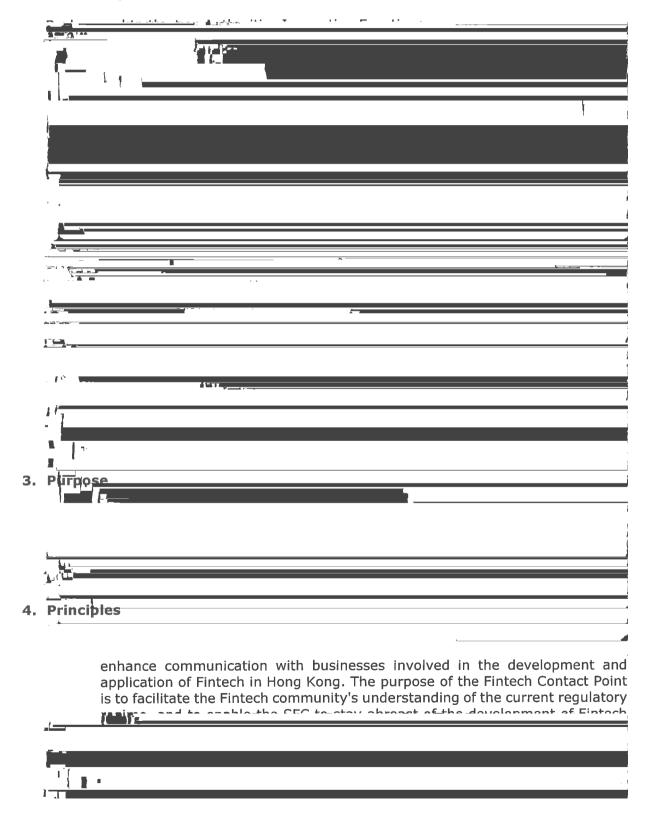
"Authority" means FINMA or SFC, together referred to as "the Authorities";

"Authorisation" means the process of licensing, registering, approving, authorising or otherwise bringing an entity under either Authority's supervisory remit so that it is



### 2. Introduction

2.1. The Authorities share a mutual desire to co-operate with the aim of facilitating innovation in financial services in their respective markets and of supporting Innovator Business in understanding the Regulations in each other's jurisdictions as may be required. Both Authorities have established Innovation Functions in order to do so. The Authorities believe that through co-operation with each other, they will be able to further the support of innovation in their respective markets.



# 5. Scope of Assistance

## Referral mechanism



## 7. Contact points

7.1.	To facilitat <u>د - نانی</u>	te co-operation	n under this	S Co-opera	tion Agreer	nent, each	Authority
• •	<b>-</b> ,						
1 7	July 1						
	1						
<u> </u>							

## 8. Term

- 8.1. This Co-operation Agreement takes effect from the date of execution and will continue to have effect until terminated by either of the Authorities by the giving of at least 30 days' written notice of termination to the other Authority.
- 8.2. Termination of this Co-operation Agreement does not affect obligations under any existing Memorandum of Understanding between the two Authorities.
- In the event of the termination of this Co-operation Agreement, information 8.3. obtained under this Co-operation Agreement will continue to be treated in the manner set out under paragraph 6.

#### 9. Amendment

The Authorities will review the operation of this Co-operation Agreement and 9.1. update its terms as required.

Ashley2AlderThis Co-operation Agreement may be amended if both Authorities agree in writing to do so.

Date: 23/02/2018

13/2/18

**Executed by the Authorities:** 

For SFC

For FINMA

# **Appendix 1: Authority-wide Contact Details**

FINMA FinTech Desk

Swiss Financial Market Supervisory Authority

Laupenstrasse 27 3003 Bern Switzerland

E-Mail: fintech@finma.ch Tel: +41 31 327 16 16

SFC \_\_\_\_\_Finterb Contact Point Licensian \_\_\_\_\_

Intermediaries Division
Securities and Futures Commission
35/F, Cheung Kong Center
2 Queen's Road Central

Hong Kong E-Mail: fintech@sfc.hk