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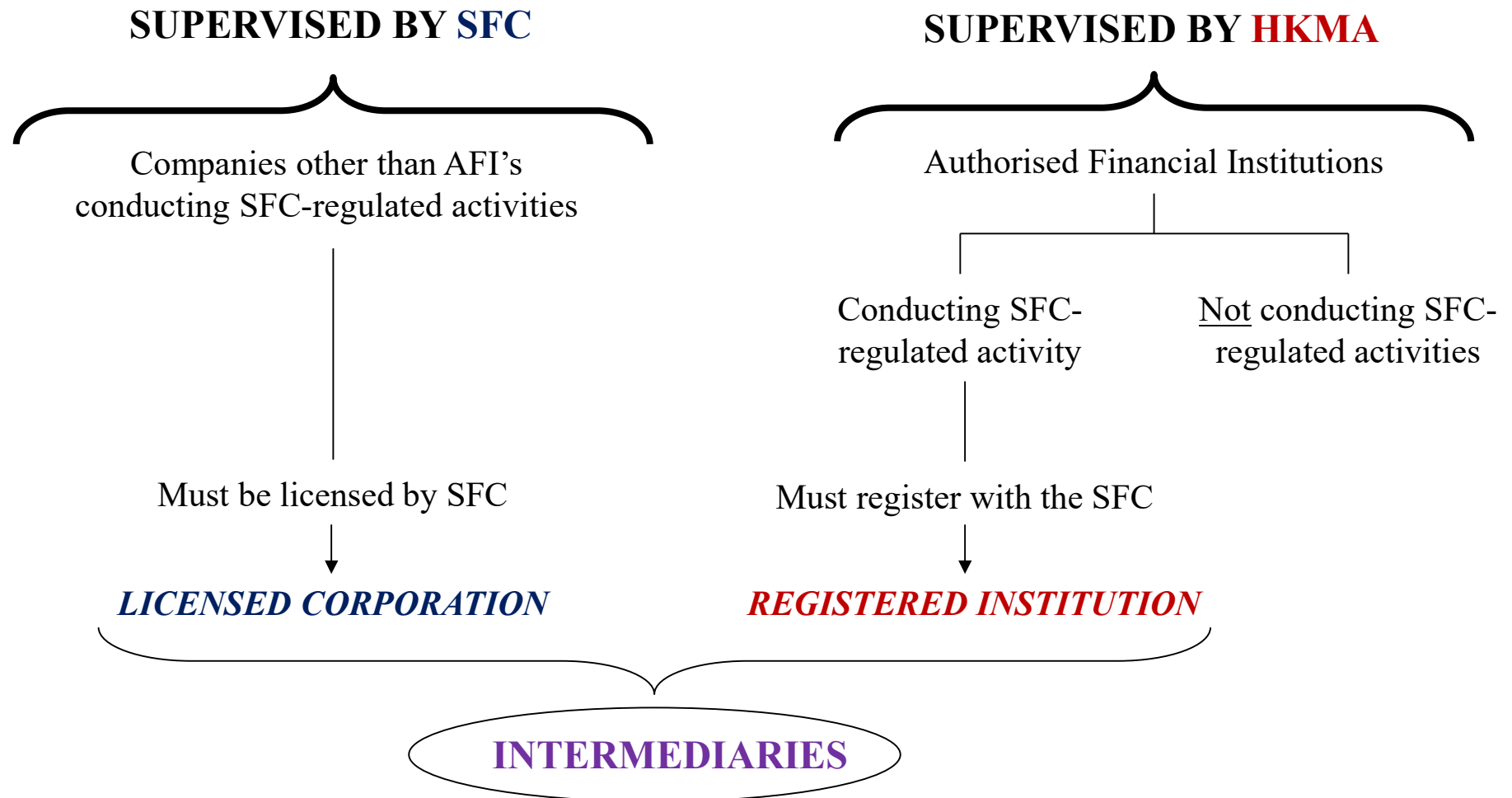
Supervision of Regulated Activities

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1. Dealing in securities
2. Dealing in futures contracts
3. Leveraged foreign exchange trading
4. Advising on securities
5. Advising on futures contracts
6. Advising on corporate finance
7. Providing automated trading services
8. Securities margin financing
9. Asset management
10. Providing credit rating services

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Supervision of Regulated Activities



All intermediaries are regulated by the SFC with respect to their SFC-regulated activities, and the SFO applies to all of them. However, Registered Institutions are supervised by the HKMA (including application of Fit and Proper tests).

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