

Supplement 13 — Information on Associated Entity

(For completion by an associated entity. Not applicable where the associated entity is a licensed corporation or registered institution.)

Name of corporation becoming an associated entity			
Name (in English)			
Name (in Chinese)			
Business name (if applicable)			
Corporate details			
Place of incorporation			
Date of incorporation	(dd)	(mm)	(yyyy)
Financial year end	(dd)	(mm)	
Name of auditor			
Contact information (please provide information on your principal place of business, registered office and correspondence addresses)			
1	Address (Please tick "✓" where applicable)		
<input type="checkbox"/> Principal place of business	<input type="checkbox"/> Registered office	<input type="checkbox"/> Correspondence	
Flat, floor and block no.			
Building name			
Street no. & name			
District & city			
State & country			
Postal code, if any			
Telephone and facsimile numbers	(telephone)	(facsimile)	
E-mail and website addresses	(e-mail)	(website)	
Effective date (dd/mm/yyyy)			

2	Address (Please tick "✓" where applicable)	
<input type="checkbox"/> Principal place of business	<input type="checkbox"/> Registered office	<input type="checkbox"/> Correspondence
Flat, floor and block no.		
Building name		
Street no. & name		
District & city		
State & country		
Postal code, if any		
Telephone and facsimile numbers	<i>(telephone)</i>	<i>(facsimile)</i>
E-mail and website addresses	<i>(e-mail)</i>	<i>(website)</i>
Effective date (dd/mm/yyyy)		

3	Address (Please tick "✓" where applicable)	
<input type="checkbox"/> Principal place of business	<input type="checkbox"/> Registered office	<input type="checkbox"/> Correspondence
Flat, floor and block no.		
Building name		
Street no. & name		
District & city		
State & country		
Postal code, if any		
Telephone and facsimile numbers	<i>(telephone)</i>	<i>(facsimile)</i>
E-mail and website addresses	<i>(e-mail)</i>	<i>(website)</i>
Effective date (dd/mm/yyyy)		

Premises for keeping books and records on intermediaries' client assets received or held in Hong Kong

1	Address	
Flat, floor and block no.		
Building name		
Street no. & name		
District & city		
State & country		
Postal code, if any		
Telephone and facsimile numbers	<i>(telephone)</i>	<i>(facsimile)</i>
Effective date (dd/mm/yyyy)		

2	Address	
Flat, floor and block no.		
Building name		
Street no. & name		
District & city		
State & country		
Postal code, if any		
Telephone and facsimile numbers	<i>(telephone)</i>	<i>(facsimile)</i>
Effective date (dd/mm/yyyy)		

Bank accounts for holding intermediaries' client assets received or held in Hong Kong
(Not applicable to an associated entity which is an authorized financial institution)

1	Name of bank	
	Account number	
2	Name of bank	
	Account number	
3	Name of bank	
	Account number	
4	Name of bank	
	Account number	
5	Name of bank	
	Account number	

Financial status
(Not applicable to an associated entity which is an authorized financial institution)

Is there any matter that may render you insolvent or lead to the appointment of a liquidator?

<input type="checkbox"/>	Yes (please specify)
<input type="checkbox"/>	No

Circumstances of becoming an associated entity

Please describe your circumstances of becoming an associated entity of an intermediary.

1	Name of associated intermediary:	CE No.	
	Circumstances of becoming an associated entity: <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>		
2	Name of associated intermediary:	CE No.	
	Circumstances of becoming an associated entity: <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>		
3	Name of associated intermediary:	CE No.	
	Circumstances of becoming an associated entity: <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>		

List of executive officers

“Executive officer” in the context of an associated entity means any director of the associated entity who is responsible for directly supervising the receiving or holding of the intermediaries’ client assets.

1	Name of executive officer		
	(in English)		
	(in Chinese)		
	HK identity card/Passport number*		
	Passport issuing country*		
	Passport expiry date*		
	Residential address in Hong Kong		
	Flat, floor and block no.		
	Building name		
	Street no. & name		
	District & city		
	State & country		
	Postal code, if any		
	Telephone and facsimile numbers	<i>(telephone)</i>	<i>(facsimile)</i>
	E-mail address		
	Correspondence address		
	Flat, floor and block no.		
	Building name		
	Street no. & name		
	District & city		
State & country			
Postal code, if any			
Telephone and facsimile numbers	<i>(telephone)</i>	<i>(facsimile)</i>	
E-mail address			

* Only applicable to individuals who do not hold a Hong Kong Identity Card.

2	Name of executive officer		
	(in English)		
	(in Chinese)		
	HK identity card/Passport number*		
	Passport issuing country*		
	Passport expiry date*		
	Residential address in Hong Kong		
	Flat, floor and block no.		
	Building name		
	Street no. & name		
	District & city		
	State & country		
	Postal code, if any		
	Telephone and facsimile numbers	<i>(telephone)</i>	<i>(facsimile)</i>
	E-mail address		
	Correspondence address		
	Flat, floor and block no.		
Building name			
Street no. & name			
District & city			
State & country			
Postal code, if any			
Telephone and facsimile numbers	<i>(telephone)</i>	<i>(facsimile)</i>	
E-mail address			
* Only applicable to individuals who do not hold a Hong Kong Identity Card.			

3	Name of executive officer		
	(in English)		
	(in Chinese)		
	HK identity card/Passport number*		
	Passport issuing country*		
	Passport expiry date*		
	Residential address in Hong Kong		
	Flat, floor and block no.		
	Building name		
	Street no. & name		
	District & city		
	State & country		
	Postal code, if any		
	Telephone and facsimile numbers	<i>(telephone)</i>	<i>(facsimile)</i>
	E-mail address		
	Correspondence address		
	Flat, floor and block no.		
Building name			
Street no. & name			
District & city			
State & country			
Postal code, if any			
Telephone and facsimile numbers	<i>(telephone)</i>	<i>(facsimile)</i>	
E-mail address			
* Only applicable to individuals who do not hold a Hong Kong Identity Card.			

List of individual controlling entities

“Controlling entity” is defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance.

1	Name of controlling entity (individual)		
	(in English)		
	(in Chinese)		
	HK identity card/Passport number*		
	Passport issuing country*		
	Passport expiry date*		
	Residential address in Hong Kong		
	Flat, floor and block no.		
	Building name		
	Street no. & name		
	District & city		
	State & country		
	Postal code, if any		
	Telephone and facsimile numbers	<i>(telephone)</i>	<i>(facsimile)</i>
	E-mail address		
	Correspondence address		
	Flat, floor and block no.		
	Building name		
Street no. & name			
District & city			
State & country			
Postal code, if any			
Telephone and facsimile numbers	<i>(telephone)</i>	<i>(facsimile)</i>	
E-mail address			

* Only applicable to individuals who do not hold a Hong Kong Identity Card.

2	Name of controlling entity (individual)		
	(in English)		
	(in Chinese)		
	HK identity card/Passport number*		
	Passport issuing country*		
	Passport expiry date*		
	Residential address in Hong Kong		
	Flat, floor and block no.		
	Building name		
	Street no. & name		
	District & city		
	State & country		
	Postal code, if any		
	Telephone and facsimile numbers	(telephone)	(facsimile)
	E-mail address		
	Correspondence address		
	Flat, floor and block no.		
Building name			
Street no. & name			
District & city			
State & country			
Postal code, if any			
Telephone and facsimile numbers	(telephone)	(facsimile)	
E-mail address			
* Only applicable to individuals who do not hold a Hong Kong Identity Card.			

List of corporate controlling entities

1	Name of controlling entity (corporation)		
	(in English)		
	(in Chinese)		
	Business registration number		
	Principal business address in Hong Kong		
	Flat, floor and block no.		
	Building name		
	Street no. & name		
	District & city		
	State & country		
	Postal code, if any		
	Telephone and facsimile numbers	(telephone)	(facsimile)
	E-mail and website addresses	(e-mail)	(website)
	Correspondence address		
	Flat, floor and block no.		
	Building name		
	Street no. & name		
	District & city		
State & country			
Postal code, if any			
Telephone and facsimile numbers	(telephone)	(facsimile)	
E-mail and website addresses	(e-mail)	(website)	

2	Name of controlling entity (corporation)		
	(in English)		
	(in Chinese)		
	Business registration number		
	Principal business address in Hong Kong		
	Flat, floor and block no.		
	Building name		
	Street no. & name		
	District & city		
	State & country		
	Postal code, if any		
	Telephone and facsimile numbers	(telephone)	(facsimile)
	E-mail and website addresses	(e-mail)	(website)
	Correspondence address		
	Flat, floor and block no.		
	Building name		
	Street no. & name		
District & city			
State & country			
Postal code, if any			
Telephone and facsimile numbers	(telephone)	(facsimile)	
E-mail and website addresses	(e-mail)	(website)	

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Name of director/executive officer*

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Signature

.....
Date

* Delete where not applicable