

Section 2: Contact information

2.1 Please provide your residential, correspondence, business and e-mail addresses, and your telephone and facsimile numbers.

Addresses (Please tick "✓" where applicable.)		
<input type="checkbox"/> Residential	<input type="checkbox"/> Correspondence	<input type="checkbox"/> Business
Flat, floor and block no.		
Building name		
Street no. & name		
District & city		
State & country		
Postal code (if any)		
Telephone number		
Facsimile number and e-mail address	<i>(facsimile)</i>	<i>(e-mail)</i>

Addresses (Please tick "✓" where applicable.)		
<input type="checkbox"/> Residential	<input type="checkbox"/> Correspondence	<input type="checkbox"/> Business
Flat, floor and block no.		
Building name		
Street no. & name		
District & city		
State & country		
Postal code (if any)		
Telephone number		
Facsimile number and e-mail address	<i>(facsimile)</i>	<i>(e-mail)</i>

Section 3: Disciplinary actions and investigations

Sections 3 to 5 are about your activities both in **Hong Kong and elsewhere**. If there are ongoing investigations which you cannot lawfully disclose, you should notify the Commission of the results within 7 business days after the completion of the investigations.

“Substantial shareholder” has the same meaning as in Part 1 of Schedule 1 to the Securities and Futures Ordinance.

- 3.1** Have
- you;
 - a company of which you are or were a director;
 - a company of which you are or were involved in the management; or
 - a company of which you are or were a substantial shareholder ever been
 - refused or restricted from the right to carry on any trade, business or profession for which a specific licence, registration or other authorization is required by law;
 - censured, disciplined or disqualified by any professional or regulatory body (including a stock or futures exchange) in relation to any trade, business or profession; or
 - the subject of an investigation conducted by a regulatory or criminal investigatory body (i.e. disciplinary tribunal, examination authority, inspector appointed under any enactment, or other regulatory body)?
- Yes No
- 3.2** Are there any disciplinary actions or proceedings pending against
- you;
 - a company of which you are or were a director;
 - a company of which you are or were involved in the management; or
 - a company of which you are or were a substantial shareholder in relation to any trade, business or profession?
- Yes No
- 3.3** Have
- you;
 - a company of which you are or were a director;
 - a company of which you are or were involved in the management; or
 - a company of which you are or were a substantial shareholder ever been
 - investigated about offences involving fraud or dishonesty¹; or
 - adjudged by a court to be civilly liable for fraud, dishonesty or misfeasance?
- Yes No
- 3.4** Have you ever been disqualified by a court from being a director of a corporation, or the equivalent in another jurisdiction?
- Yes No

¹ Where the investigation of any such offence resulted in a conviction which was subsequently spent, dismissed or expunged and where you wish to maintain confidentiality in relation to such conviction, you may do so by checking “No” to Question 3.3. However, you are obliged to disclose details of the offence(s) involved and the relevant conviction to the Commission. It should be noted that the protection under the Rehabilitation of Offenders Ordinance (Cap 297) does not apply to proceedings relating to a person’s suitability to be granted a licence. You are therefore required to provide the relevant details in a separate submission, which you must sign, date and send directly to the Commission, within two business days of the date when this form is submitted.

Section 4: Financial status

- 4.1 Have you ever been a party to any civil litigation in the past ten years involving an amount in excess of HK\$100,000 or equivalent? Yes No
- 4.2 Are you presently a party to any civil litigation? Yes No
- 4.3 Are there any judgments or court orders with which you have not complied? Yes No
- 4.4 Have you ever
- been a party to a scheme of arrangement; or
 - entered into any form of compromise with your creditor
- in the past ten years involving an amount in excess of HK\$100,000 or equivalent? Yes No
- 4.5 Have you ever been bankrupt, or served with a bankruptcy petition? Yes No
- 4.6 Have you ever been a director, substantial shareholder, or involved in the management of a corporation which was wound up other than by a members' voluntary wind up? Yes No
- 4.7 Have you ever been a partner of a firm which was dissolved other than with the consent of all the partners? Yes No

Section 5: Character

- 5.1 Have you ever been charged with an offence other than a minor traffic or littering offence?² Yes No
- 5.2 Have you ever been convicted of an offence other than a minor traffic or littering offence?³ Yes No
- 5.3 Have you ever been found by a court or other competent authority for fraud, dishonesty or misfeasance? Yes No

Section 6: Mental health

- 6.1 Have you ever been a patient as defined in section 2 of the Mental Health Ordinance? Yes No

² Please see Footnote 1 above. Where the offence charged resulted in a conviction which was subsequently spent, dismissed or expunged and where you wish to maintain confidentiality in relation to such conviction, you may do so by checking "No" to Question 5.1. However, you are obliged to disclose details of the offence(s) involved and the relevant conviction to the Commission in a separate submission, which you must sign, date and send directly to the Commission, within two business days of the date when this form is submitted.

³ Please see Footnote 1 above. Where the conviction of any such offence was subsequently spent, dismissed or expunged and where you wish to maintain confidentiality in relation to such conviction, you may do so by checking "No" to Question 5.2. However, you are obliged to disclose details of the offence(s) involved and the relevant conviction to the Commission in a separate submission, which you must sign, date and send directly to the Commission, within two business days of the date when this form is submitted.

Section 7: Licence record

7.1 Have you ever been licensed by or registered with the Commission and/or any regulatory body (including any stock or futures exchanges), in Hong Kong or elsewhere, to engage in any regulated or similarly regulated activity?

Yes. Please complete *Supplement 9 – Licence Record*.

No.

Section 8: Employment record

8.1 Please provide information on your employment history for the past 5 years.

	1	2	3
Name of employer			
Nature of business			
Capacity employed			
Period of service	From _____ (mm/yyyy)	From _____ (mm/yyyy)	From _____ (mm/yyyy)
	to _____ (mm/yyyy)	to _____ (mm/yyyy)	to _____ (mm/yyyy)
Reason for leaving			

8.2 Please provide information on your highest academic or vocational qualification.

Qualification	Name of institution	Year awarded

8.3 Please provide information on your professional qualification.

Qualification	Name of institution	Year awarded

Section 9: Additional information

9.1 Have you answered “Yes” to any of the Questions in Sections 3, 4, 5 or 6?

- Yes. In an attachment, please explain why your association with the corporate applicant/licensed corporation will not affect its fitness and properness to be or remain licensed in the light of your “Yes” answers. You may wish to refer to the *Fit and Proper Guidelines*.
- No.

9.2 Please give us any other information that you think will be relevant to us in considering the fitness and properness of the corporate applicant/licensed corporation associated with you.

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Section 10: Checking your submission

Before signing the declaration below, please check that you have:

- Answered every question (unless directed otherwise).
- Provided all relevant supplements and attachments.
- Completed the attached vetting authorization form.
- Attached a copy of your Hong Kong identity card.
- Attached a copy of your passport (if you are not a Hong Kong permanent resident).

Section 11: Declaration

I:

Name of individual

- **Declare** that all the information provided in this supplement (including all other supplements and attachments) is complete, true and correct.
- **Confirm** that I have read and understood the attached Personal Information Collection Statement.
- **Consent** to the Commission using any personal information I have provided in this supplement, and any personal information I may provide in the future, for the purposes described in the Personal Information Collection Statement.
- **Understand** that providing false or misleading information in support of any application under the Securities and Futures Ordinance is an offence.
- **Understand** that if any information in this supplement changes before the application is approved, I must notify the Commission in writing immediately of the changes.

Signature

Date

Personal Information Collection Statement

1. The Personal Information Collection Statement ("PICS") is made in accordance with the guidelines issued by the Office of the Privacy Commissioner for Personal Data. The PICS sets out the policies and practices of the Securities and Futures Commission ("SFC") with regard to your Personal Data¹ and what you are agreeing to with respect to the SFC's use of your Personal Data for the purposes identified below.

Purpose of Collection

2. The Personal Data provided in this form/statement of personal information/annual return/notification on change of information/any other form of request for information (as the case may be) will be used by the SFC for one or more of the following purposes:
 - to administer the relevant Ordinances, rules, regulations, codes and guidelines made or promulgated pursuant to the powers vested in the SFC as in force at the relevant time, including:
 - the Securities and Futures Ordinance ("SFO");*
 - the Fit and Proper Guidelines;*
 - the Code of Conduct;*
 - the Management, Supervision and Internal Control Guidelines;*
 - the Codes on Takeovers and Mergers and Share Repurchases;*
 - the Code on Unit Trusts and Mutual Funds.*
 - to process any form you may make under the relevant Ordinances;
 - to assess your fitness and properness in relation to any of your forms for licence/registration under the SFO, as the case may be;
 - to monitor your fitness and properness to remain licensed under the relevant Ordinances as an ongoing compliance process;
 - to consider any form under the relevant Ordinances where you are named as a referee or may otherwise have a connection;
 - for the purposes of performing the SFC's statutory functions under the relevant Ordinances, including surveillance, investigation, inspection or enforcement/disciplinary action;
 - for research or statistical purposes; and
 - other purposes as permitted by law.
3. Failure to provide the requested Personal Data may result in the SFC being unable to process your form or perform its statutory functions under the relevant Ordinances.

Transfer/Matching of Personal Data

4. Personal Data may be disclosed by the SFC to other financial regulators in Hong Kong (including the Hong Kong Exchanges and Clearing Limited and the Hong Kong Monetary Authority), the Hong Kong Police Force, the Customs and Excise Department, overseas regulatory bodies and other government bodies as required under the law or pursuant to any regulatory/investigatory assistance arrangements between the SFC and other regulators (local/overseas).
5. Personal Data may be disclosed by the SFC to other financial regulators, the Hong Kong Police Force, the Customs and Excise Department, other government bodies, corporations, organisations or individuals in Hong Kong, the People's Republic of China or overseas for the purposes of verifying/matching² those data.

Public Registers

6. The SFC is required to maintain public registers containing specified data relating to licensed and registered persons and to publish such specified data in the Gazette (or in such manner as it considers appropriate), pursuant to the relevant provisions of the SFO or any rules or regulations made thereunder. Any member of the public may inspect the public registers for the purposes of ascertaining whether he is dealing with a licensed or registered person in matters of or connected with any regulated activity, and the particulars of the licence or registration of such persons.

Access to Data

7. You have the right to request access to and correction of your Personal Data in accordance with the provisions of the PDPO. Your right of access includes the right to obtain a copy of your Personal Data provided in the form/statement of personal information/annual return/notification on change of information/any other form of request for information (as the case may be). The SFC has the right to charge a reasonable fee for processing of any data access request.

Enquiries

8. Any enquiries regarding the Personal Data provided in the form/statement of personal information/annual return/notification on change of information/any other form of request for information (as the case may be), or requests for access to Personal Data or correction of Personal Data, should be addressed in writing to:-

The Data Privacy Officer
The Securities and Futures Commission
8th Floor, Chater House
8 Connaught Road Central
Hong Kong

A copy of the Privacy Policy Statement adopted by the SFC is available upon request.

¹ Personal Data means personal data as defined in the Personal Data (Privacy) Ordinance, Cap 486 ("PDPO")

² "Matching procedure" is defined in s.2 of the PDPO.

Vetting Authorization Form

I, _____ hereby authorize the Commissioner of Police/Commissioner of Customs and Excise/any criminal investigatory body or regulatory authority, or their representatives, to release full particulars of any pertinent information and materials including all criminal convictions recorded against me to the Securities and Futures Commission. My personal particulars are as follows:

Name _____

Date of birth (dd/mm/yyyy) _____

HKID number _____

Chinese Commercial Code _____ / _____ / _____

Passport number* _____

Country of issue* _____

Place of birth _____

(Signature of applicant)

Date

Witness by** _____
(Signature of witness)

Name of witness _____

Designation _____

Company name _____

Notary Public number (where applicable) _____

ID card/passport number* _____

Country of issue* _____

* Only applicable where the person does not possess a Hong Kong Identity Card.

** The witness must be one of the following persons:
(i) a practicing solicitor, notary public or Justice of the Peace; or
(ii) a director or responsible officer of the licensed corporation/corporation applying for a licence.