

Note: This Consent Form is designed to expedite the application process for a licence to become a representative (not being a responsible officer). This is not a form specified under section 402 of the Securities and Futures Ordinance. Completion of this Consent Form is optional and at the discretion of an applicant.

If an applicant opts not to complete and return this Consent Form to the SFC, the standard procedures pursuant to section 140 of the Securities and Futures Ordinance concerning imposition and revocation of licensing conditions will apply.

Consent to the imposition and revocation of specific licensing condition (Ref: IPP)

Date: _____

To: Licensing Department
Securities and Futures Commission
8th Floor, Chater House
8 Connaught Road Central
Hong Kong

I, _____, refer to my application for a licence as a representative enclosed herewith.

To expedite the application process, I hereby agree to the arrangement that the SFC, having considered this application and all relevant circumstances, may impose on my licence under the Securities and Futures Ordinance the following condition in light that I will only act as an itinerant professional* to carry out regulated activity(ies) in Hong Kong in the manner as described and restricted by this condition:

The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.

In relation to the imposition and revocation of the above licensing condition on my licence where the SFC considers appropriate, I hereby consent to the arrangement of dispensing with the procedural requirements provided under section 140 of the Securities and Futures Ordinance.

I further acknowledge that after due consideration of the application, the SFC may or may not impose the above condition on my licence. In addition, in case that the SFC considers it appropriate to impose any other conditions on my licence, the standard procedural requirements whereby I will be given the opportunity of being heard will be followed.

Signature of applicant:

(HKID/Passport no. _____)

* "Itinerant professionals", as referred to in the Guidelines on Competence, are individuals from overseas who need to repeatedly visit Hong Kong on business for a short period each time.