

ANNUAL RETURN CHECKLIST FOR LICENSED REPRESENTATIVES

Name: _____

Reporting period: From to
dd mm yyyy dd mm yyyy

Part I BASIC INFORMATION

Whether or not you have the following changes during the reporting period:

- i. Chinese name and Chinese commercial code;

- ii. English name;

- iii. identity card number. If you are not the holder of a permanent identity card, the number, name of the issuing agency and date of expiry, of your passport, travel or other document of identity;

- iv. nationality;

- v. business address;

- vi. residential address;

- vii. correspondence address;

- viii. telephone number;

- ix. facsimile number; or

- x. electronic mail address.

Any change?		SFC notified of change?	
		Yes	No
Yes	No	Yes	No

Please do not submit this checklist to the Securities and Futures Commission

- xi. bankrupt or aware of the existence of any matters that may render you insolvent or lead to the appointment of a receiver of your property;
- xii. 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;
- xiii. a substantial shareholder or director of a corporation that has 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, or involved in the management of such corporation; or
- xiv. disqualified from holding the office of director.

Any change?		SFC notified of change?	
Yes	No	Yes	No

Part III OTHER INFORMATION

Whether or not you have the following changes during the reporting period:

- i. status of any authorization (however described) to carry on a regulated activity by an authority or regulatory organization in Hong Kong or elsewhere;
- ii. status of membership (however described) of a stock exchange or futures exchange in Hong Kong or elsewhere;
- iii. significant change in the type of services provided or to be provided by you on behalf of your accredited corporation;
- iv. ever been a patient as defined in section 2 of the Mental Health Ordinance (Cap 136); or
- v. status of any directorships, partnerships or proprietorships.

Any change?		SFC notified of change?	
Yes	No	Yes	No

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