

SAMPLE for licensed representatives



SECURITIES AND FUTURES COMMISSION

Form 4

Miscellaneous Applications

Important: You should only complete and submit sections 1, 15 and 16, and other sections relevant to your application to the Commission.

Name of applicant

CHAN Tai Man

CE number

X

Y

Z

0

0

1

Name of contact person regarding any queries on this form

May LEE

Name of designated person and telephone number

Telephone number of the contact person

2345-xxxx

Warning:

You must fill in this form accurately and truthfully. Section 383(1) of the Securities and Futures Ordinance (“the Ordinance”) states:

“A person commits an offence if –

- (a) *he, in support of any application made to the Commission under or pursuant to any provision of this Ordinance, whether for himself or for another person, makes a representation, whether in writing, orally or otherwise, that is false or misleading in a material particular; and*
- (b) *he knows that, or is reckless as to whether, the representation is false or misleading in a material particular.”*

The punishment for this offence is a fine of up to \$1 million and imprisonment for up to 2 years.

Section 1: Types of miscellaneous application

1.1 Please tick "✓" the type(s) of application you want to make.

You may "✓" more than one section.

Types of application		Section number
<input type="checkbox"/>	Addition of regulated activity.	2
<input type="checkbox"/>	Reduction of regulated activity (except for the last activities ¹).	3
<input checked="" type="checkbox"/>	Approval as a responsible officer. <i>(Applicable to licensed representatives only.)</i>	4
<input type="checkbox"/>	Transfer of accreditation. <i>(Applicable to licensed representatives only.)</i>	5
<input type="checkbox"/>	Addition of accreditation. <i>(Applicable to licensed representatives only.)</i>	6
<input type="checkbox"/>	Change of licensing/registration condition.	7
<input type="checkbox"/>	Issuance of duplicate licence/certificate of registration.	8
<input type="checkbox"/>	Premises to be used for record keeping purpose. <i>(Applicable to licensed corporations only.)</i>	9
<input type="checkbox"/>	Change of financial year end. <i>(Applicable to licensed corporations only.)</i>	10
<input type="checkbox"/>	Adoption of period exceeding 12 months as financial year. <i>(Applicable to licensed corporations only.)</i>	11
<input type="checkbox"/>	Extension of deadline for submission of audited accounts. <i>(Applicable to licensed corporations only.)</i>	12
<input type="checkbox"/>	Approval as a substantial shareholder. <i>(Applicable to licensed corporations only.)</i>	13
<input type="checkbox"/>	Other applications pertaining to licensing and registration matters under Part V of the Ordinance.	14

¹ If you intend to cease business, you should notify the Commission about your cessation of business using Form 5 (Notification - Licensed Corporation, Registered Institution, Licensed Representative and Substantial Shareholder).

Section 4: Approval as a responsible officer

4.1 Please state the regulated activity, name and CE number of the accredited principal that you wish to act as its responsible officer.

Regulated activity	Name of principal	CE number
Type <u> 1 </u>	<i>Happy Securities Limited</i>	<i>XYZ123</i>
Type <u> </u>		
Type <u> </u>		
Type <u> </u>		

4.2 Please set out any new qualifications (academic, vocational, professional or industry qualifications) you have obtained for your proposed role.

Regulated Activity	Qualification/ Course/Examination name	Name of institution	Paper number/ series	Date awarded/ passed/ completed (dd/mm/yyyy)
Type <u> 1 </u>	<i>Licensing Examination</i>	<i>Hong Kong Securities Institute</i>	<i>1 & 2</i>	<i>15 / 08 / 2003</i>
Type <u> </u>				/ /
Type <u> </u>				/ /
Type <u> </u>				/ /
Type <u> </u>				/ /

4.3 Please complete *Supplement 10 – Duties and Experience of Responsible Officer.*

Must be attached.

4.4 If you propose to supervise Type 6 regulated activity (advising on corporate finance), will you undertake activities in connection with matters regulated by the Hong Kong Codes on Takeovers and Mergers and Share Repurchases?

- Yes. Please complete *Supplement 11 – Activities in Connection with Matters Regulated by the Hong Kong Codes on Takeovers and Mergers and Share Repurchases.*
- No.

If you have no other applications, please go to Section 15.

Section 15: Checking your application

Before signing, please check that you have provided everything that we need to process your application.

- Answered every relevant question.
- Provided all relevant supplements and attachments.
- Enclosed relevant application fees.

Section 16: Applicant's declaration

If you are a licensed corporation, a registered institution, or a corporation applying to be or continue to be a substantial shareholder of a licensed corporation, please complete Part A only.

If you are an individual applying to be or continue to be a substantial shareholder of a licensed corporation, please complete Part B only.

If you are a licensed representative, please complete Part B and request your primary principal to complete Part C.

Part A

Corporate applicant's declaration

We: _____
Name of corporation lodging the application

- **Have completed** section _____ of this application form and attached a total of ____ supplements and attachments to this application form.
- **Declare** that all the information provided in this application (including all supplements and attachments) is complete, true and correct.
- **Understand** that providing false or misleading information in support of an application is an offence under section 383 of the Ordinance.
- **Understand** that the Commission may take disciplinary action against a person who has made a false or misleading representation in support of an application.
- **Understand** that if any information in this application changes before this application is approved, we must notify the Commission in writing immediately of the changes.

(To be signed by a director, responsible officer, executive officer, or chief executive (in the case of an authorized institution).)

*Name of director/responsible officer/executive officer/chief executive**

Signature

Date

* Delete where not applicable

Part B

Individual applicant's declaration

Please insert the relevant section number and number of supplements here.

I: CHAN Tai Man

Name of applicant

- **Have completed** section xx of this application form and attached a total of x supplements and attachments to this application form.
- **Declare** that the information in this application (including all supplements and attachments) is complete, true and correct.

For a responsible officer applicant completing section 4 of this form:

- **Declare** that the Board of Directors has passed a board resolution appointing me as the corporation's:
 - Director and responsible officer to supervise the regulated activities for which I will be responsible (where the applicant is a director).
 - Responsible officer and granting me sufficient authority to supervise the regulated activities for which I will be responsible (where the applicant is not a director).
- **Understand** that providing false or misleading information in support of an application is an offence under section 383 of the Ordinance.
- **Understand** that the Commission may take disciplinary action against a person who has made a false or misleading representation in support of an application.
- **Understand** that if any information in this application changes before this application is approved, I must notify the Commission in writing immediately of the changes.

CHAN Tai Man
Signature

02/10/2003
Date

Part C

Licensed corporation's declaration (to be completed by the licensed representative's primary principal)

We

- **Have reviewed:**
 - The information provided in this application form (including all supplements and attachments).
 - The documents evidencing the applicant's academic, professional and industry qualifications stated in this form (including all supplements and attachments).
- **Confirm** that the other principal(s) of the applicant has agreed to the information (where such information relates to the other principal(s)) stated in the application.
- **Endorse** the application.

Name of primary principal: Happy Securities Limited

John Robert DOLE

*Name of director/responsible officer or person authorized by the board of directors**

John Robert DOLE

Signature

02/10/2003

Date

* Delete where not applicable