

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

<i>X</i>	<i>Y</i>	<i>Z</i>	<i>0</i>	<i>0</i>	<i>1</i>
----------	----------	----------	----------	----------	----------

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 type="checkbox"/>	Approval as a responsible officer. <i>(Applicable to licensed representatives only.)</i>	4
<input checked="" 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 5: Transfer of accreditation

5.1 Please provide the following information on all the regulated activities specified on your licence. If you are currently a representative and applying to become a Responsible Officer of the new principal, please also complete Section 4.

Regulated activity	Type <u> 1 </u>		
Name of current principal	<i>Happy Securities Limited</i>	CE No.	<i>XYZ123</i>
Effective departure date	<i>15 / 10 / 2003</i>		
Reason for leaving	<input checked="" type="checkbox"/>	Resignation	
	<input type="checkbox"/>	Expiry of contract	
	<input type="checkbox"/>	Redundancy	
	<input type="checkbox"/>	Dismissal (please specify the cause) _____	
	<input type="checkbox"/>	Others (please specify) _____	
Type of regulated activity you will carry out for your new principal	Type <u> 1 </u>		
Name of new principal	<i>New Securities Limited</i>	CE No.	<i>XYZ005</i>
Proposed joining date	<i>16 / 10 / 2003</i>		

Regulated activity	Type _____		
Name of current principal		CE No.	
Effective departure date			
Reason for leaving	<input type="checkbox"/>	Resignation	
	<input type="checkbox"/>	Expiry of contract	
	<input type="checkbox"/>	Redundancy	
	<input type="checkbox"/>	Dismissal (please specify the cause) _____	
	<input type="checkbox"/>	Others (please specify) _____	
Type of regulated activity you will carry out for your new principal	Type _____		
Name of new principal		CE No.	
Proposed joining date			

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: New Securities Limited

WONG Chung Keung

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

WONG Chung Keung

Signature

02/10/2003

Date

* Delete where not applicable