

SAMPLE for licensed corporations



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

Happy Securities Limited

CE number

X

Y

Z

1

2

3

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 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 checked="" 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 10: Change of financial year end

10.1 Please provide the following information:

Existing financial year end	<i>30 September</i>
New financial year end	<i>31 December</i>
Reason for the change	<i>Alignment of financial year with that of the new</i>
	<i>holding company.</i>

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

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

We: Happy Securities Limited
Name of corporation lodging the application

- **Have completed** section xx of this application form and attached a total of x 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).)

CHAN Tai Man
*Name of director/responsible officer/executive officer/chief executive**

CHAN Tai Man
Signature

02/10/2003
Date

* Delete where not applicable