

**SAMPLE for licensed corporations**



**SECURITIES AND FUTURES COMMISSION**

**Form 5**

**Notification – Licensed Corporation,  
Registered Institution, Licensed Representative and  
Substantial Shareholder**

**Important:** You should only complete and submit sections 1 and 18, and other sections relevant to your notification to the Commission.

**Name of person making notification**

*Happy Securities Limited*

**CE number**

X	Y	Z	1	2	3
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**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 384(1) of the Securities and Futures Ordinance states:

“A person commits an offence if –

- (a) *he, in purported compliance with a requirement to provide information imposed by or under any of the relevant provisions, provides to a specified recipient any information which is false or misleading in a material particular; and*
- (b) *he knows that, or is reckless as to whether, the information 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.

**SAMPLE**

You may "✓" more than one section.

## Section 1: Types of notification

1.1 Please tick "✓" the types of notification you would like to make to the Commission.

Types of notification		Section number
<input type="checkbox"/>	Cessation of business – licensed corporation or registered institution.	2
<input type="checkbox"/>	Ceasing to act as a licensed representative. <i>(Not applicable to registered institutions.)</i>	
<input type="checkbox"/>	Notification by licensed representative.	3A
<input type="checkbox"/>	Notification by licensed corporation.	3B
<input checked="" type="checkbox"/>	Ceasing to act as a responsible officer of a licensed corporation. <i>(Not applicable to registered institutions.)</i>	
<input type="checkbox"/>	Notification by responsible officer.	4A
<input checked="" type="checkbox"/>	Notification by licensed corporation.	4B
<input type="checkbox"/>	Change in executive officer of a registered institution or his/her particulars. <i>(Applicable to registered institutions only.)</i>	5
<input type="checkbox"/>	Change in director or his/her particulars.	6
<input type="checkbox"/>	Change in complaints officer or his/her particulars.	7
<input type="checkbox"/>	Change in emergency contact person or his/her particulars.	8
<input type="checkbox"/>	Change in share capital.	9
<input type="checkbox"/>	Change in shareholding structure.	10
<input type="checkbox"/>	Change in contact information.	11
<input type="checkbox"/>	Change in bank account. <i>(Applicable to licensed corporations only.)</i>	12
<input type="checkbox"/>	Change in auditor.	13
<input type="checkbox"/>	Change in name.	14
<input type="checkbox"/>	Change in associated entity or its particulars.	15
<input type="checkbox"/>	Change in insurance policy. <i>(Applicable to licensed corporations only.)</i>	16
<input type="checkbox"/>	Other notifications.	17

**SAMPLE**

**Section 4: Ceasing to act as a responsible officer of a licensed corporation**

**Part B (Notification by licensed corporation)**

4.4 Please provide the following information:

Name of responsible officer	CE number	Regulated activity	Cessation date (dd/mm/yyyy)
<i>CHAN Tai Man</i>	<i>XYZ001</i>	Type <u>  1  </u>	<i>31/10/2003</i>
		Type <u>      </u>	/ /
		Type <u>      </u>	/ /
		Type <u>      </u>	/ /

4.5 Please state the reason for the person ceasing to act as responsible officer.

- Resignation
- Expiry of contract
- Job rotation
- Redundancy
- Dismissal (please specify the cause)

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- Others (please specify details)

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4.6 Will the responsible officer cease to act as a licensed representative?

- Yes.
- No.

← Please check this box if the person only ceases to be a responsible officer but remains as a licensed representative.

If you have no other notifications, please go to Section 18.

**Section 18: Declaration**

If you are a licensed corporation, registered institution, or corporate substantial shareholder of a licensed corporation, please complete Part A only.

If you are a licensed representative or an individual substantial shareholder of a licensed corporation, please complete Part B only.

**Part A**

***Corporation's declaration***

**We:** *Happy Securities Limited*

.....  
*Name of corporation*

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

- **Have completed** section xx of this form and attached a total of x supplements and attachments to this form.
- **Declare** that all the information provided in this form (including all supplements and attachments) is complete, true and correct.
- **Understand** that providing false or misleading information is an offence under section 384 of the Securities and Futures Ordinance.
- **Understand** that the Commission may take disciplinary action against a person who has made a false or misleading representation.

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

*LEE Sai Keung*

.....  
Name of ~~director~~/responsible  
officer/~~executive officer~~/chief executive\*

*LEE Sai Keung*

.....  
Signature

*25/10/2003*

.....  
Date

\* Delete where not applicable