

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

<i>X</i>	<i>Y</i>	<i>Z</i>	<i>1</i>	<i>2</i>	<i>3</i>
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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 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 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 checked="" 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

Section 7: Change in complaints officer or his/her particulars

Part A (Ceasing to act as a complaints officer)

7.1 Please provide the following information on the person ceasing to act as your complaints officer.

Name of complaints officer	<i>John Robert DOLE</i>	CE No. (if any)	<i>XYZ002</i>
Effective cessation date (dd/mm/yyyy)	<i>15 / 10 / 2003</i>		
Reason for cessation	<i>Resignation</i>		

Part B (Appointing a new complaints officer)

7.2 Please provide the following information on the person becoming your complaints officer.

Name in English	<i>LEE Sai Keung</i>	CE No.(if any)	<i>XYZ009</i>
Name in Chinese	<i>李世強</i>		
HKID/Passport Number*	<i>X223488(A)</i>		
Job title	<i>Chief Operating Officer</i>		
Telephone number	<i>2346-xxxx</i>		
Facsimile number	<i>2346-xxxx</i>		
Correspondence address	<i>12/F, Happy House, 9 Central Road, Hong Kong</i>		
E-mail address	<i>lee@complaint.com</i>		
Effective date (dd/mm/yyyy)	<i>16 / 10 / 2003</i>		

* Only applicable to individuals who are non-Hong Kong permanent residents.

Part C (Change in particulars of a complaints officer)

7.3 Please describe the change.

Name of complaints officer: _____ CE No. (if any) _____

Particulars to be changed: _____

Effective date (dd/mm/yyyy): _____

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*

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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

13/10/2003

.....
Date

* Delete where not applicable