

**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*

**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 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 checked="" 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 11: Change in contact information**

“**Contact information**” refers to:

- principal business address;
- registered business address;
- correspondence address;
- other business addresses *(not applicable to registered institutions)*;
- residential address *(not applicable to licensed corporations and registered institutions)*;
- e-mail and website addresses; and
- telephone and facsimile numbers.

**11.1** Please describe the change in contact information.

Name of licensed person/registered institution		<i>Happy Securities Limited</i>		CE No.	<i>XYZ123</i>
<b>1</b>	Address (Please tick “✓” where applicable.)				
<input type="checkbox"/>	Principal place of business	<input type="checkbox"/>	Registered office	<input checked="" type="checkbox"/>	Other place of business
<input type="checkbox"/>		<input type="checkbox"/>	Correspondence	<input type="checkbox"/>	Residential
Flat, floor and block no.		<i>18/F</i>			
Building name		<i>Top Building</i>			
Street no. & name		<i>12 Middle Road</i>			
District & city		<i>Central</i>			
State & country		<i>Hong Kong</i>			
Postal code, if any					
Telephone and facsimile numbers		<i>2345-xxxx</i> <i>(telephone)</i>		<i>2345-xxxx</i> <i>(facsimile)</i>	
E-mail and website addresses		<i>N/A</i> <i>(e-mail)</i>		<i>N/A</i> <i>(website)</i>	
Effective date of change (dd/mm/yyyy)		<i>01 / 11 / 2003</i>			

Please indicate in this space whether the above contact information is an additional place or a replacement. E.g. “The above is an additional business address”.

**SAMPLE**

Name of licensed person/registered institution				CE No.	
<b>2</b>	Address (Please tick "✓" where applicable.)				
<input type="checkbox"/> Principal place of business	<input type="checkbox"/> Registered office	<input type="checkbox"/> Correspondence	<input type="checkbox"/> Other place of business	<input type="checkbox"/> Residential	
Flat, floor and block no.					
Building name					
Street no. & name					
District & city					
State & country					
Postal code, if any					
Telephone and facsimile numbers		<i>(telephone)</i>		<i>(facsimile)</i>	
E-mail and website addresses		<i>(e-mail)</i>		<i>(website)</i>	
Effective date of change (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*

.....  
*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).)***

*CHAN Tai Man*

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

*CHAN Tai Man*

.....  
*Signature*

*20/10/2003*

.....  
*Date*

\* Delete where not applicable