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| **New Substantial Shareholder Application**Specified under section 402 of the Securities and Futures Ordinance (“Ordinance”) (Cap 571) | **Form****D** |

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of applicant(s)\*** | **CE Number****(if applicable)** | **Are you an associate of another substantial shareholder/ substantial shareholder applicant?** | **Are you:****a) a licensed representative;****b) a licensed corporation/****registered institution; or****c) an approved substantial shareholder of a licensed corporation?\*\*\*** |
|       |       | [ ]  Yes\*\* | [ ]  No | [ ]  Yes | [ ]  No\*\*\*\* |
|       |       | [ ]  Yes\*\* | [ ]  No | [ ]  Yes | [ ]  No\*\*\*\* |
|       |       | [ ]  Yes\*\* | [ ]  No | [ ]  Yes | [ ]  No\*\*\*\* |
|       |       | [ ]  Yes\*\* | [ ]  No | [ ]  Yes | [ ]  No\*\*\*\* |

|  |  |
| --- | --- |
| **Name of target licensed corporation(s) (“Licensed Corporation(s)”)\*** | **CE Number** |
|       |       |
|       |       |
|       |       |
|       |       |

\* If there is not enough space, please copy this section and provide the required information.

\*\* If an applicant ticks YES, please provide details of the associate relationship by completing section 1.6 of this form.

\*\*\* For an approved corporate substantial shareholder, please provide an updated list of directors in a separate document. If any director in the list has not previously submitted to the Commission a separate supplement as prescribed by the Commission and is not a person falling under (a), (b) or (c) as stated above, please arrange for such director to complete a Supplement A (for corporate) or Supplement B (for individual).

\*\*\*\* If an applicant ticks NO, please complete Supplement A (for corporate) or Supplement B (for individual) and refer to note 4 of the Instructions on page 2 of this form.

|  |  |
| --- | --- |
| **Contact person regarding any queries on this form** |       |
| English/Chinese name |
|       |
| Business title/Firm name |
|       |
| Relationship with the applicant(s) |
|       |       |
| Mobile number | E-mail address |

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| **Interpretations**1. “Associate” is defined under Part 1 of Schedule 1 to the Ordinance.
2. “Licensed Corporation(s)” in this form refers to the corporation(s) licensed under section 116(1) of the Ordinance of which you are applying to become or continue to be substantial shareholder(s).
3. “Executive officer” is defined under Part 1 of Schedule 1 to the Ordinance.
4. “Responsible officer” means a person who is a licensed representative and is approved by the Commission under section 126(1) of the Ordinance to act as a responsible officer.
5. “Substantial shareholder” is defined under section 6 of Part 1 of Schedule 1 to the Ordinance.
6. “Takeovers Code” refers to the Codes on Takeovers and Mergers and Share Buy-backs.
7. “You” in this form refers to each of the new substantial shareholder applicant(s) of the Licensed Corporation(s).

**Instructions**1. This form can be completed by all the new substantial shareholders applicants of the same licensed corporation(s). Each of the applicants should separately complete the relevant declaration section (section 4.1 or section 4.2) and attach the signed declaration page to this form.
2. If you are not a licensed person, a registered institution or an approved substantial shareholder of a licensed corporation, you should additionally complete Supplement A (if you are a corporation) or Supplement B (if you are an individual).
3. If you are an approved corporate substantial shareholder of a licensed corporation(s), you should provide an updated list of directors on a separate document. If any director in the list has not previously submitted to the Commission a separate supplement prescribed by the Commission and is not a licensed person, a registered institution or an approved substantial shareholder of a licensed corporation(s), each of such directors should separately complete Supplement A (if the director is a corporation) or Supplement B (if the director is an individual).

 1. For the purpose of completing this form, you, as a substantial shareholder applicant of a Licensed Corporation(s), will not be considered by the Commission to have a “close link” to the Licensed Corporation(s) if you:-
* alone, do not have a direct or indirect interest in the Licensed Corporation(s) as described in section 6 of Part 1 of Schedule 1 to the Ordinance;
* together with any of your associates, have a direct or indirect interest in the Licensed Corporation(s) as described in section 6 of Part 1 of Schedule 1 to the Ordinance;
* are and will be controlled or influenced by another substantial shareholder(s) (including substantial shareholder applicant(s)) of the Licensed Corporation(s); and
* do not and will not have any involvement in the management and operation of the Licensed Corporation(s).

If you do not have a close link to the Licensed Corporation(s), you may choose to complete Parts I, II and VII of Supplement A or Parts I, III and VI of Supplement B only, where applicable together with this form.  However, the Commission may request that you provide additional information, or complete the remaining parts of the applicable supplement, if the Commission considers necessary. |

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| 1. Please fill in all parts of this form and ensure that (i) documents required in this form; and (ii) correct application fee have been enclosed. Application fee is payable on a per application basis regardless of the number of applicants and the number of licensed corporations involved.
2. Incomplete application may increase the time taken for the Commission to process your application or may be returned. Please refer to [Licensing Handbook](https://www.sfc.hk/web/EN/rules-and-standards/codes-and-guidelines/guidelines/?rule=Licensing%20Handbook) on the Commission’s website (www.sfc.hk) for the return policy.
3. If there is not enough space, please use separate sheets of paper and clearly mark each separate sheet of paper with the relevant section number.
4. If you are a licensed person, a registered institution or an approved substantial shareholder of a licensed corporation, please ensure your contact information (e.g. email address, address and telephone number) is maintained up-to-date with the Commission. If you need to update your contact information, please submit a notification to the Commission via the SFC Online Portal\*.

\* If you are an approved substantial shareholder of a licensed corporation and you do not have an account with the SFC Online Portal, please notify the Commission of the relevant change via Form E.1. If the Commission is satisfied that a person has substantial practical difficulties in complying with any of the requirements under this form, it may exercise its discretion to dispense with the requirements to such extent as it considers necessary. If you consider that you have substantial practical difficulties in complying with any requirements under this form, please enclose a separate document setting out your substantial practical difficulties for the Commission’s consideration. Please note that the Commission would only exercise its discretion under special circumstances.
2. If there are any changes to the information provided in support of this application before it is concluded, you should notify the Commission in writing immediately after the changes take place. Any changes in information may result in delay in processing.
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| Warning1. **All information and documents submitted to the Commission must be true, accurate and complete.**

**Under section 383(1) of the Ordinance, a person commits an offence if –** * **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**
* **he knows that, or is reckless as to whether, the representation is false or misleading in a material particular.**
1. **Under section 131(2) of the Ordinance, a person commits an offence if he has become and continued to be a substantial shareholder of a licensed corporation without the Commission’s approval under section 132(1)(a).**
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| **Part** | **Details** |
| I | Change to the Shareholding Structure of the Licensed Corporation(s) |
| II | Source of Funding |
| III | Information About Licensed Corporation(s) After the Shareholding Change |
| IV | Declaration |

**Part I: Change to the Shareholding Structure of the Licensed Corporation(s)**

|  |
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| **Section 1: Details of the Change** |

* 1. **Please provide the following details on separate documents:**
1. a shareholding chart showing all the corporate and individual shareholders of the Licensed Corporation(s) (with their percentage of holdings and complete official names) before the proposed shareholding change.
2. a shareholding chart showing all the corporate and individual shareholders of the Licensed Corporation(s) (with their percentage of holdings and complete official names) after the proposed shareholding change and the following information:
* all ultimate beneficial owners;
* all entities within the same corporate group that are listed companies or licensed/registered with any regulatory bodies or applying for licence/registration with any regulatory bodies; and
* all associate relationship (as defined under Schedule 1 of the Ordinance).
	1. **Please state the reason or rationale of the change to the shareholding structure of the Licensed Corporation(s). You may select more than one item:**

[ ]  Restructuring of shareholding structure within the corporate group

[ ]  Uninvited takeover

[ ]  Diversification/expansion of business

[ ]  Management buyout

[ ]  Improve financial strength of the Licensed Corporation(s)

[ ]  Personal investment by the new substantial shareholder(s)

[ ]  Others, please specify:

|  |
| --- |
|       |

**1.3 Will the ultimate beneficial owner(s) of the Licensed Corporation(s) remain unchanged after the proposed shareholding change?**

[ ]  Yes.

[ ]  No.

* 1. **Has the proposed shareholding change already taken place?**

|  |  |  |
| --- | --- | --- |
| [ ]  Yes, effective date (DD/MM/YYYY): |       | (continue to section 1.5) |
|  |  |  |
| [ ]  No, proposed effective date (DD/MM/YYYY): |       | (continue to section 1.6) |

**1.5 Please explain why you did not apply for prior approval to become a substantial shareholder of the Licensed Corporation(s) from the Commission as required under section 131(1) of the Ordinance.**

|  |
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|       |

**1.6 If you will become a substantial shareholder of the Licensed Corporation(s) pursuant to the definition of substantial shareholder under the Ordinance because you are associate(s) of another substantial shareholder(s) or substantial shareholder applicant(s), please provide details of the associate relationship in the table below.**

|  |  |  |
| --- | --- | --- |
| **Your name** | **Name of other substantial shareholder(s) or substantial shareholder applicant(s) that you are associated with** | **Type of associate relationship\*** |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |

\* Relationship type: (i) family member; (ii) companies within the same group of companies; (iii) employer and employee; (iv) a director and/or shareholder of the corporation; (v) trust, trustee and beneficiary owner; or (vi) others (please specify).

**Part II: Source of Funding**

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| --- |
| **Section 2: Details of Source of Funding** |

**2.1 Do you require an approval from other authorities in Hong Kong or elsewhere before proceeding with the transaction?**

[ ]  Yes, please advise the authority name(s) and application status:

|  |
| --- |
|       |

[ ]  No.

|  |  |  |
| --- | --- | --- |
| **2.2 Please state the total amount of consideration.** | HK$ |       |

**2.3 Please state the basis in determining the consideration. You may select more than one item.**

[ ]  Net asset value of the Licensed Corporation(s)

[ ]  Market price

[ ]  Projected income of the Licensed Corporation(s)

[ ]  Others, please specify:

|  |
| --- |
|       |

**2.4 Please provide information on each of the applicant(s) who finance the subscription/acquisition.**

**(If there is not enough space, please copy this section and provide the required information.)**

|  |  |
| --- | --- |
| **Name of person** |       |
| **Class of shares to be subscribed/acquired/held\*** |       |
| **Number of shares to be subscribed/acquired/held\*** |       |
| **Respective cost of consideration (HK$)** |       |
| **Source of funding of the person providing your financial support** |
| [ ]  **Personal savings** |
| [ ]  **Personal investment** |
| [ ]  **Internal capital** |
| [ ]  **Issuance of new shares** |
| No of shares to be issued/issued : |       |  |
|  |  |  |
| Total amount of capital raised (HK$) : |       |  |
|  |  |  |
| [ ]  **Financial arrangement from group companies or other third party** |
| Name of the party providing the funding : |       |  |
| Nature of the financial arrangement :  |
|  | [ ]  Secured loan | [ ]  Unsecured loan | [ ]  Subordinated loan | [ ]  Others: |       |
| Total amount provided by the party (HK$) : |       |  |
|  |  |  |
| Tenor : |       |  |
|  |  |  |
| Repayment term : |       |  |
|  |  |  |
| [ ]  **Others, please provide details :** |       |  |
|  |  |  |
| **Is the funding subject to any foreign exchange controls?** | [ ]  Yes | [ ]  No |

\* This refers to the shares of the corporation that the applicant proposes to subscribe/acquire/hold.

**Part III: Information About Licensed Corporation(s) After the Shareholding Change**

|  |
| --- |
| **Section 3: Details of the Information** |

**3.1 Will there be any changes to the business scope and operations of the Licensed Corporation(s) within 12 months after the proposed shareholding change?**

[ ]  Yes, please provide the information below:

|  |  |  |
| --- | --- | --- |
| **Intended** **change code\*** | **Name of the relevant** **Licensed Corporation(s)** | **Details of the changes\*\*** |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |

**\*** Intended change code

1. expand business scope which may constitute other types of regulated activities
2. expand business scope which may necessitate an application for waiver/modification of licensing conditions
3. expand business scope within the existing regulated activities
4. change in clientele
5. change in operations (e.g. holding client assets)
6. others (please specify)

\*\* Other applications (such as addition/reduction of regulated activities or waiver/modification of licensing conditions) and other notifications of changes in business activity may be required.

[ ]  No, there will not be any change to the business and operations of the Licensed Corporation(s).

**3.2 Is there any intention to change the management team of the Licensed Corporation(s) within 12 months after the proposed shareholding change?**

[ ]  Yes, please provide the information below:

|  |  |  |
| --- | --- | --- |
| **Intended** **timeline** | **Name of the relevant** **Licensed Corporation(s)** | **Details of the changes** |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |

[ ]  No, there will not be any change to the management team of the Licensed Corporation(s).

**3.3 Will you or your personnel be involved in the day-to-day business operations and management of the Licensed Corporation(s)?**

[ ]  Yes, please provide the following information:

|  |  |  |
| --- | --- | --- |
| **Name of the person** | **Name of the relevant** **Licensed Corporation(s)** | **Proposed job title and duties in the relevant Licensed Corporations** |
|       |       |       |
|       |       |       |
|       |       |       |
|       |       |       |

[ ]  No, my personnel and I will not be involved in the day-to-day business operations and management of the Licensed Corporation(s).

**3.4 Did the Licensed Corporation(s) carry on regulated activity in the past six months?**

[ ]  Yes. Please go to Part IV.

[ ]  No.

**3.5 Please arrange with the Licensed Corporation(s) to submit the following information in a separate document:**

* Organisational chart depicting the management and governance structure, business and operational units and key human resources and their respective reporting lines of the Licensed Corporation(s). It should include all the Managers-In-Charge of Core Functions and their respective reporting lines (ie, the job titles of the persons to whom they report within the Licensed Corporation(s) and, if applicable, within the corporate group(s) of the Licensed Corporation(s)). It should also include the job titles of the persons reporting directly to them in relation to the operations of the Licensed Corporation(s).
* Operational flowcharts describing the business operations of the Licensed Corporation(s) in each of the regulated activities for which the Licensed Corporation(s) is/are licensed.
	1. **Please arrange with the Licensed Corporation(s) to complete Questionnaire A - General Business Profile and Internal Control Summary.**

**3.7 Please indicate whether the Licensed Corporation(s) will carry out the following business activity(ies).**

|  |
| --- |
| [ ]  Asset management |
| [ ]  Securities or futures brokerage |
| [ ]  Securities margin financing   |
| [ ]  Electronic trading or automated trading services |

**If yes, please arrange with the Licensed Corporation(s) to complete the relevant part(s) of**

**Questionnaire B - Specific Business Profile and Internal Control Summary.**

**3.8 Please state the business activity(ies) the Licensed Corporation(s) intend(s) to carry out (you may select more than one item).**

|  |  |
| --- | --- |
| **Broker/Introducing broker** | **“**✓**”** |
|  Broking stocks/unit trusts/mutual funds/debt securities/stock derivatives/structured products\* | [ ]  |
| Introducing brokerage | [ ]  |
| Broking futures contracts/futures derivatives\* | [ ]  |
| Placing/underwriting securities | [ ]  |
| Market making – securities/ futures contracts\* | [ ]  |
| Inter-dealer brokerage – securities/ futures contracts\* | [ ]  |
| Serving as a central dealing function for group companies | [ ]  |
| Stock borrowing and lending | [ ]  |
| Providing incidental discretionary account service - securities/futures contracts\* | [ ]  |
|  Securities margin financing  | [ ]  |
| Acting as listing agent of exchange-traded funds | [ ]  |
| **Leveraged foreign exchange trading** |
| Leveraged foreign exchange trading  | [ ]  |
| Providing incidental discretionary account service | [ ]  |
| **Sales and advisory** |
| Giving advice on stocks/unit trusts/mutual funds/debt securities/stock derivatives/structured products/futures contracts\* | [ ]  |
| Marketing/distributing unit trusts/mutual funds/structured products/virtual asset funds\* | [ ]  |
| Publishing research or analyses on securities/futures contracts\* | [ ]  |
| Robo-advisory service on stocks/unit trusts/mutual funds/debt securities/stock derivatives/structured products/futures contracts\* | [ ]  |
| Undertaking activities in connection with matters regulated by the Takeovers Code | [ ]  |
| Sponsor/compliance adviser | [ ]  |
| Giving advice on other corporate finance matters  | [ ]  |
| **Electronic trading system/Automated trading services operator** |
| Internet trading/direct market access/algorithmic trading\*^ for stocks/unit trusts/mutual funds/debt securities/stock derivatives/futures contracts/futures derivatives/leveraged foreign exchange contracts\* | [ ]  |
| Alternative liquidity pool# | [ ]  |
| Operating a pre-initial public offering/odd-lot/bond trading platform\* | [ ]  |
| Operating an equity crowd funding platform | [ ]  |
| Operating a virtual asset trading platform | [ ]  |
| Other automated trading services, please specify:  | [ ]  |
|       |
| **Asset manager** |
| Managing public funds/real estate investment scheme/discretionary accounts/private funds/virtual asset funds\*  | [ ]  |

|  |
| --- |
| **Credit rating agency** |
| Providing credit rating services | [ ]  |
| **Over-the-counter derivatives** |
| Dealing in/advising on over-the-counter derivatives products | [ ]  |
| Clearing over-the-counter derivatives products | [ ]  |
| Internet trading/direct market access/algorithmic trading\*^ for over-the-counter derivatives products | [ ]  |
| Managing portfolios of over-the-counter derivative transactions | [ ]  |
| **Proprietary trading** |
| Proprietary trading in securities/futures contracts/over-the-counter derivatives products\* | [ ]  |
| **Others** |
| Selling insurance products/mandatory provident fund products/other pension products\* | [ ]  |
| Providing custody | [ ]  |
| Other activities, please specify:  | [ ]  |
|       |

\* Delete where not applicable

^ Definitions of “internet trading”, “direct market access” and “algorithmic trading” can be found in paragraph 18 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (“Code of Conduct”).

# Definition of “alternative liquidity pool” can be found in paragraph 19 of the Code of Conduct.

**Part IV: Declaration**

**Each of the new substantial shareholder applicants should separately complete the applicable declaration section and attach the signed declaration page to this form.**

|  |
| --- |
| **Section 4.1: Corporate substantial shareholder applicant’s declaration** |

**We:**

* **Have completed** all parts of this form.
* **Declare** that all the information provided in this application and any associated documentation 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 criminal and/or disciplinary action against a person who has made a false or misleading representation in, or in support of, an application.
* **Understand** that if any information contained in this application, or any associated documentation
changes prior to the Commission making a decision in respect of this application, we should notify the Commission in writing immediately of the changes.
* **Understand** that the Commission may make such enquiries and seek such further information as it thinks appropriate.

**(This declaration must be signed by a director, responsible officer, executive officer or person authorised by the board of directors of the corporate substantial shareholder applicant.)**

|  |  |
| --- | --- |
| **For and on behalf of:** |       |
|  | Name of corporation lodging the application |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|       |  |  |  |       |
| Name of director/responsible officer/ executive officer/person authorised by the board of directors\* |  | Signature |  | Date |

\* Delete where not applicable.

|  |
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| **Section 4.2: Individual substantial shareholder applicant’s declaration** |

|  |  |
| --- | --- |
| **I**, |       |
|  | Name of applicant |

* **Have completed** all parts of this form.
* **Declare** that all the information provided in this application and any associated documentation 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 criminal and/or disciplinary action against a person who has made a false or misleading representation in, or in support of, an application.
* **Understand** that if any information contained in this application, or any associated documentation
changes prior to the Commission making a decision in respect of this application, I should notify the Commission in writing immediately of the changes.
* **Confirm** that I have read and understood the attached Personal Information Collection Statement.
* **Consent** to the Commission using any personal information I have provided in this application, or any associated documentation, and any personal information I may provide in the future, for the purposes described in the Personal Information Collection Statement.
* **Understand** that the Commission may make such enquiries and seek such further information as it thinks appropriate.

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  |       |
|  | Signature  |  | Date |

**Consent to the Imposition of Condition**

* **If you are applying for approval to become a substantial shareholder of a licensed corporation(s), please complete this page.**
* **If you are applying for approval to continue to be a substantial shareholder of a licensed corporation(s), you are not required to complete this page.**
* **Each of the new substantial shareholder applicants who is required to complete this section should separately complete this page and attach the signed page to this form.**

|  |  |  |
| --- | --- | --- |
| **I/We**, |       | , refer to my/our application for approval to become a substantial |
| shareholder of a corporation licensed under section 116 of the Securities and Futures Ordinance (“**SFO**”) enclosed herewith. |

To expedite the application process, I/we hereby agree to the arrangement that the SFC, having considered this application and all relevant circumstances, may impose on the approval under section 132 of the SFO the following condition in light that it is expected that the proposed share transfer as envisaged in this application will take place and complete within six months after the application is approved:

This approval shall lapse and cease to have effect unless the share transfer takes effect within six months after the date of approval by the Commission or within such further period as may be agreed by the Commission in writing.

In relation to the imposition of the above condition on the approval of my/our application where the SFC considers appropriate, I/we hereby consent with the arrangement to dispense with the procedural requirements provided under section 140 of the SFO.

I/We further acknowledge that after due consideration of the application, the SFC may or may not impose the above condition on the approval. In addition, in case that the SFC considers it appropriate to impose any other conditions on the approval, the standard procedural requirements whereby I/we will be given the opportunity of being heard will be followed.

|  |  |  |  |
| --- | --- | --- | --- |
| **For individual applicant** |  |  |  |
| Signature of applicant: |  |  |  |
|  |  |  |
| HKID/Passport\* number: |       | Date: |       |
|  |  |  |  |
| **For corporate applicant** |  |  |  |
| Signature of director/duly authorised person\*\*: |  |  |
|  |  |  |
| Full Name: |       | Title: |       |
| HKID/Passport\* number: |       | Date: |       |
|  |  |  |  |

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

\*\* Delete where not applicable

Personal Information Collection Statement

1. The Personal Information Collection Statement (“PICS”) is made in accordance with the guidelines issued by the Office of the Privacy Commissioner for Personal Data. The PICS sets out the policies and practices of the Securities and Futures Commission (“SFC”) with regard to your Personal Data[[1]](#footnote-1) and what you are agreeing to with respect to the SFC’s use of your Personal Data for the purposes identified below.

**Purpose of Collection**

1. The Personal Data provided in this application form/statement of personal information/annual return/notification on change of information/any other form of request for information (as the case may be) will be used by the SFC for one or more of the following purposes:
	* + to administer the relevant Ordinances, rules, regulations, codes and guidelines made or promulgated pursuant to the powers vested in the SFC as in force at the relevant time, including:

the Securities and Futures Ordinance (“SFO”);

the Fit and Proper Guidelines;

the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission;

the Management, Supervision and Internal Control Guidelines;

the Codes on Takeovers and Mergers and Share Buy-backs; and

the Code on Unit Trusts and Mutual Funds.

* + - to process any application you may make under the relevant Ordinances;
		- to assess your fitness and properness in relation to any of your applications for licence/registration under the SFO, as the case may be;
		- to monitor your fitness and properness to remain licensed under the relevant Ordinances as an ongoing compliance process;
		- to consider any application under the relevant Ordinances where you are named as a referee or may otherwise have a connection;
		- for the purposes of performing the SFC’s statutory functions under the relevant Ordinances, including surveillance, investigation, inspection or enforcement/disciplinary action;
		- for research or statistical purposes; and
		- other purposes as permitted by law.
1. Failure to provide the requested Personal Data may result in the SFC being unable to process your application or perform its statutory functions under the relevant Ordinances.

**Transfer/Matching of Personal Data**

1. Personal Data may be disclosed by the SFC to other financial regulators in Hong Kong (including the Hong Kong Exchanges and Clearing Limited and the Hong Kong Monetary Authority), the Hong Kong Police Force, the Customs and Excise Department, overseas regulatory bodies and other government bodies as required under the law or pursuant to any regulatory/investigatory assistance arrangements between the SFC and other regulators (local/overseas).
2. Personal Data may be disclosed by the SFC to other financial regulators, the Hong Kong Police Force, the Customs and Excise Department, other government bodies, corporations, organisations or individuals in Hong Kong, the People’s Republic of China or overseas for the purposes of verifying/matching[[2]](#footnote-2) those data.

**Public Registers**

1. The SFC is required to maintain public registers containing specified data relating to licensed or registered persons and to publish such specified data in the Gazette (or in such manner as it considers appropriate), pursuant to the relevant provisions of the SFO or any rules or regulations made thereunder. Any member of the public may inspect the public registers for the purposes of ascertaining whether he is dealing with a licensed or registered person in matters of or connected with any regulated activity, and the particulars of the licence or registration of such persons.

**Access to Data**

1. You have the right to request access to and correction of your Personal Data in accordance with the provisions of the PDPO. Your right of access includes the right to obtain a copy of your Personal Data provided in the application form/statement of personal information/annual return/notification on change of information/any other form of request for information (as the case may be). The SFC has the right to charge a reasonable fee for processing of any data access request.

**Enquiries**

1. Any enquiries regarding the Personal Data provided in the application form/statement of personal information/annual return/notification on change of information/any other form of request for information (as the case may be), or requests for access to Personal Data or correction of Personal Data, should be addressed in writing to:-

The Data Privacy Officer

Securities and Futures Commission

**54/F, One Island East
18 Westlands Road**

**Quarry Bay**

**Hong Kong**

A copy of the Privacy Policy Statement adopted by the SFC is available upon request.

1. Personal Data means personal data as defined in the Personal Data (Privacy) Ordinance, Cap 486 (“PDPO”) [↑](#footnote-ref-1)
2. “matching procedure” is defined in section 2 of the PDPO. [↑](#footnote-ref-2)