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| **Personal Information**  Specified under section 402 of the Securities and Futures Ordinance (“Ordinance”) (Cap 571) | **Supplement**  **B** |

|  |  |  |
| --- | --- | --- |
| **Name of individual** |  | |
| English | |
|  | |
| Chinese | |
| **CE number (if applicable)** |  | |
| **Name of licensed corporation/**  **licensed corporation applicant/**  **substantial shareholder/ substantial shareholder applicant associated with (see**  **note 1 of the Instructions)** |  | |
| English | |
|  | |
| Chinese | |
| **CE number (if applicable)** |  | |
| **Your role(s)**  **(You may select more than one item)** | **A substantial shareholder applicant that has a “close link” to the** **licensed corporation(s)/licensed corporation applicant(s)** (see note 2 of the Instructions) | |
| **A substantial shareholder applicant that does not have** **a “close link” to the** **licensed corporation(s)/licensed corporation applicant(s)** (see note 2 of the Instructions) | |
| **A director of a licensed corporation applicant** | |
| **A director of a substantial shareholder/substantial shareholder applicant** | |
| **Contact person regarding any queries on this supplement** |  | |
| English/Chinese name | |
|  | |
| Business title/Firm name | |
|  | |
| Relationship with the individual providing information | |
|  |  |
| Mobile number | E-mail address |

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| **Interpretations**   1. “Associate” is defined under Part 1 of Schedule 1 to the Ordinance. 2. “Director” is defined under Part 1 of Schedule 1 to the Ordinance. 3. “Licensed Corporation(s)” in this supplement refers to the corporation(s) which is/are licensed under section 116(1) of the Ordinance that you are associated with. 4. “Licensed Corporation Applicant(s)” in this supplement refers to the corporation(s) which is/are applying for a licence under section 116(1) of the Ordinance that you are associated with. 5. “Substantial shareholder” is defined under section 6 of Part 1 of Schedule 1 to the Ordinance. 6. “You” in this supplement refers to the individual providing information.   **Instructions**   1. This supplement is to be filled in by (i) an individual applying to become or continue to be a substantial shareholder of a Licensed Corporation(s) under section 132(1) of the Ordinance; (ii) an individual who is a substantial shareholder of a corporation applying for a licence under section 116(1) of the Ordinance; (iii) an individual director of a corporation applying for a licence under section 116(1) of the Ordinance; (iv) an individual director of a corporate substantial shareholder of a Licensed Corporation(s); (v) an individual director of a corporation applying to become or continue to be a substantial shareholder of a Licensed Corporation(s) under section 132(1) of the Ordinance; or (vi) an individual director of a substantial shareholder of a corporation applying for a licence under section 116(1) of the Ordinance. 2. For the purpose of completing this supplement, you, as a substantial shareholder applicant of a Licensed Corporation(s)/Licensed Corporation Applicant(s), will not be considered by the Commission to have a “close link” to the Licensed Corporation(s)/Licensed Corporation Applicant(s) if you:-  * alone, do not have a direct or indirect interest in the Licensed Corporation(s)/Licensed Corporation Applicant(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)/Licensed Corporation Applicant(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)/Licensed Corporation Applicant(s); and * do not and will not have any involvement in the management and operation of the Licensed Corporation(s)/Licensed Corporation Applicant(s).   If you do not have a close link to the Licensed Corporation(s)/Licensed Corporation Applicant(s), you may choose to complete Parts I, III and VI of this supplement only. However, the Commission may request that you provide additional information, or complete the remaining parts of this supplement, if the Commission considers necessary.   1. Please refer to the Completion Guidelines to identify which Part(s) of the supplement to fill in and ensure that (i) your identification document (e.g. Hong Kong identity card); and (ii) other documents required in this supplement have been enclosed. 2. Incomplete supplement may increase the time taken for the Commission to process your related application or the related application 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](http://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 the Commission is satisfied that a person has **substantial practical difficulties** in complying with any of the requirements under this supplement, 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 supplement, 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. 5. If there are any changes to the information provided in support of this supplement 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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| **Warning**  **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.**   **Under section 384(1) of the Ordinance, subject to section 384(2), a person commits an offence if –**   * **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** * **he knows that, or is reckless as to whether, the information is false or misleading in a material particular.**   **Under section 384(3) of the Ordinance, subject to section 384(4), a person commits an offence if –**   * **he, otherwise than in purported compliance with a requirement to provide information imposed by or under any of the relevant provisions but in connection with the performance by a specified recipient of a function under any of the relevant provisions, provides to the specified recipient any record or document which is false or misleading in a material particular; and** * **he –** * **knows that, or is reckless as to whether, the record or document is false or misleading in a material particular; and** * **has, in relation to the provision of the record or document, received prior written warning from the specified recipient to the effect that the provision of any record or document which is false or misleading in a material particular in the circumstances of the case would constitute an offence under this subsection.**   **A “specified recipient” includes the Commission.** |

**Index**

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| **Part** | **Details** |
| I | Personal Particulars |
| II | Employment Record and Qualification |
| III | Supplementary Information for an Individual Substantial Shareholder |
| IV | Licence Record |
| V | Disclosure |
| VI | Declaration |

**Completion Guidelines**

**Please fill in the relevant parts of this supplement which are applicable to your role(s):**

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| --- | --- | --- | --- |
| **Part** | **A substantial shareholder applicant that has a “close link” to the Licensed Corporation(s)/Licensed Corporation Applicant(s) (see note 2 of the Instructions)** | **A substantial shareholder applicant that does not have a “close link” to the Licensed Corporation(s)/ Licensed Corporation Applicant(s) (see note 2 of the Instructions)** | **A director of a licensed corporation applicant/ substantial shareholder/ substantial shareholder applicant\*** |
| I | **🗸** | **🗸** | **🗸** |
| II | **🗸** |  | **🗸** |
| III | **🗸** | **🗸** |  |
| IV | **🗸** |  | **🗸** |
| V | **🗸** |  | **🗸** |
| VI | **🗸** | **🗸** | **🗸** |

\* Not applicable to an individual director of a substantial shareholder/substantial shareholder applicant that does not have a “close link” to the Licensed Corporation(s)/Licensed Corporation Applicant(s) (see note 2 of the Instructions).

**Part I: Personal Particulars**

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| **Section 1: Details of the Personal Particulars** |

* 1. **Please provide the following information and supporting document(s):**
* A copy of your identification document (e.g. Hong Kong identity card, People’s Republic of China identity card or passport).

|  |  |  |  |
| --- | --- | --- | --- |
| **Full name (in English)** |  | | |
| **Full name (in Chinese)** |  | | |
| **Chinese commercial code** |  | | |
| Aliases, if any |  | | |
| Gender | Male | Female | |
| **Date of birth (DD/MM/YYYY)** |  | | |
| **Place of birth** |  | | |
| **Nationality** |  | | |
| **Hong Kong identity card number** |  | | |
| **People’s Republic of China identity card number, if applicable** |  | | |
| **Passport number\*** |  | Date of expiry\* (DD/MM/YYYY) |  |
| **Passport issuing country\*** |  | | |

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

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| **Section 2: Contact Information** |

**2.1 Please provide your residential, business, correspondence and e-mail addresses, and contact and facsimile numbers.**

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

|  |  |  |
| --- | --- | --- |
| **Residential** | **Business** | **Correspondence** |
| **Flat, floor and block number** |  | |
| **Building name** |  | |
| **Street number and name** |  | |
| **District and city** |  | |
| **State and country** |  | |
| **Postal code, if any** |  | |
| **Contact number** |  | |
| **Mobile number** |  | |
| **Facsimile number** |  | |
| **E-mail address** |  | |
| **Effective date (DD/MM/YYYY)** |  | |

|  |  |  |
| --- | --- | --- |
| **Residential** | **Business** | **Correspondence** |
| **Flat, floor and block number** |  | |
| **Building name** |  | |
| **Street number & name** |  | |
| **District and city** |  | |
| **State and country** |  | |
| **Postal code, if any** |  | |
| **Contact number** |  | |
| **Mobile number** |  | |
| **Facsimile number** |  | |
| **E-mail address** |  | |
| **Effective date (DD/MM/YYYY)** |  | |

**Part II: Employment Record and Qualification**

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| --- |
| **Section 3: Details of the Employment Record and Qualification** |

**3.1 Please provide information on your employment history for the past five years. Please also specify any period in the past five years during which you were not employed.**

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

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **1** | | | | **2** | | | | **3** | | | |
| **Name of employer** |  | | | |  | | | |  | | | |
| **Nature of business** | Financial industry | | | | Financial industry | | | | Financial industry | | | |
| Banking | | | | Banking | | | | Banking | | | |
| Insurance | | | | Insurance | | | | Insurance | | | |
| Investment service | | | | Investment service | | | | Investment service | | | |
| Securities | | | | Securities | | | | Securities | | | |
| Others (Please  specify) | | | | Others (Please  specify) | | | | Others (Please  specify) | | | |
|  | |  |  |  | |  |  |  | |  |  |
| Investment holding  company | | | | Investment holding  company | | | | Investment holding  company | | | |
| Trust/Trustee | | | | Trust/Trustee | | | | Trust/Trustee | | | |
| Others (Please specify): | | | | Others (Please specify): | | | | Others (Please specify): | | | |
|  |  | |  |  |  | |  |  |  | |  |
|  | | | |  | | | |  | | | |
| **Principal place of business** |  | | | |  | | | |  | | | |
| **Job title** |  | | | |  | | | |  | | | |
| **Period of service** | From | |  |  | From | |  |  | From | |  |  |
| MM/YYYY |  | MM/YYYY |  | MM/YYYY |  |
| To | |  |  | To | |  |  | To | |  |  |
| MM/YYYY |  | MM/YYYY |  | MM/YYYY |  |
| **Reason for leaving** |  | | | |  | | | |  | | | |

**3.2 Please provide information on your highest academic or vocational qualification.**

|  |  |  |
| --- | --- | --- |
| Qualification | Name of institution | Year awarded |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

**3.3 Please provide information on your professional qualification**.

|  |  |  |
| --- | --- | --- |
| Qualification | Name of institution | Year awarded |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

**Part III: Supplementary Information for an Individual Substantial Shareholder**

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| **Section 4: Associate** |

**4.1 Are you an associate of another substantial shareholder(s)/substantial shareholder applicant(s) of the Licensed Corporation(s)/Licensed Corporation Applicant(s)?**

Yes.

No. Please go to section 5.1.

**4.2 Do you have a close link to the Licensed Corporation(s)/Licensed Corporation Applicant(s) of which you are applying to become or continue to be a substantial shareholder? (see note 2 of the Instructions)**

Yes.

No. Please go to Part VI.

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| **Section 5: Supplementary Information** |

**5.1 Are you the ultimate beneficial owner of your shareholding (direct or indirect) in the Licensed Corporation(s)/Licensed Corporation Applicant(s)?**

Yes.

No. Please provide (i) the name(s) of the ultimate beneficial owner(s); and (ii) your relationship with the

ultimate beneficial owner(s).

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|  |

**5.2 Will you be involved in the business operations and management of the Licensed Corporation(s)/Licensed Corporation Applicant(s)?**

Yes, please describe your role and job duties:

|  |
| --- |
|  |

No.

**5.3 Is the acquisition of the Licensed Corporation(s) or setting up the new corporation(s) for licence(s) wholly funded by you without any financial accommodations from third party?**

Yes.

No.

Not applicable, please explain why:

|  |
| --- |
|  |

**5.4 Please provide your source of income (you may select more than one item).**

Remuneration from your employment (including salary, commission, bonus, etc.)

Interest on savings

Investment return

Rental income

Business profit

Others, please specify:

|  |
| --- |
|  |

**5.5 Please state your annual income for the past three years.**

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

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **1** | | **2** | | **3** | |
| **Period** | From: |  | From: |  | From: |  |
|  | MM/YYYY |  | MM/YYYY |  | MM/YYYY |
| To: |  | To: |  | To: |  |
|  | MM/YYYY |  | MM/YYYY |  | MM/YYYY |
| **Annual income** | below HK$1M  HK$1M to 5M  HK$5M to 10M  HK$10M or above | | below HK$1M  HK$1M to 5M  HK$5M to 10M  HK$10M or above | | below HK$1M  HK$1M to 5M  HK$5M to 10M  HK$10M or above | |

* 1. **Please disclose your directorship or business interest in a corporation (if any) that:**

1. **engages in financial services industry;**
2. **is listed in Hong Kong or elsewhere; or**
3. **you are involved in its daily operations or management.**

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

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Name of corporation** |  | | | | | | | | |
| **Your relationship with the corporation** | Sole proprietor | | | |  | | | | |
| Partner | | | |  | | | | |
| Shareholder (% of ownership: | | | | ) | | |  |  |
| Executive director | | | |  | | |  | |
| Non-executive director | | | |  | | | | |
| Alternate director | | | |  | | | | |
| Shadow director | | | |  | | | | |
| **Effective date (DD/MM/YYYY)** |  | | | | | | | | |
| **Business nature** | Financial industry | | | | | | | | |
| Banking | | | | | | | | |
| Insurance | | | | | | | | |
| Investment service | | | | | | | | |
| Securities | | | | | | | | |
| Others, please specify: | | |  | | | | | |
| Investment holding company | | | | | | | | |
| Trust/Trustee | | | | | | | | |
| Others, please specify: | | |  | | | | | |
| **Principal place of business** |  | | | | | | | | |
| **Is/was the corporation listed in Hong Kong or elsewhere?** | Yes | | | | | | No | | |
| Name of exchange: | | | | | |  | | |
|  | |  | | |  |  | | |
| Stock code: | | | | | |  | | |
|  | |  | | |  |  | | |
|  |  | | | |  |  | | |
| **Is/was the corporation licensed/registered with any regulatory body?** | Yes | | | | | | No | | |
| Name of regulator: | | | | | |  | | |
|  | |  | | |  |  | | |
|  | |  | | |  |  | | |

**Part IV: Licence Record**

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| **Section 6: Licence/Registration Record** |

**6.1 Have you ever been licensed by or registered with the Commission and/or any regulatory body (including any stock or futures exchanges), in Hong Kong or elsewhere, to engage in any regulated or similarly regulated activity?**

No.

Yes. Please provide details as follows:

|  |  |  |
| --- | --- | --- |
| **Licence/Registration**  **(If there is not enough space, please copy this section and provide the required information.)** | | |
| **Name and place of regulatory authority** |  | |
| **Type of licence/registration** |  | |
| **Date of approval (DD/MM/YYYY)** |  | |
| **Licence or registration number (eg. CRD number, firm registration number with Financial Conduct Authority, etc.)** |  | |
| **Conditions attached to the licence or registration, if any** |  | |
| **Is the licence or registration still valid?** | Yes | No |
| **Date of expiry, if applicable (DD/MM/YYYY)** |  | |

|  |  |  |
| --- | --- | --- |
| **Licence/Registration**  **(If there is not enough space, please copy this section and provide the required information.)** | | |
| **Name and place of regulatory authority** |  | |
| **Type of licence/registration** |  | |
| **Date of approval (DD/MM/YYYY)** |  | |
| **Licence or registration number (eg. CRD number, firm registration number with Financial Conduct Authority, etc.)** |  | |
| **Conditions attached to the licence or registration, if any** |  | |
| **Is the licence or registration still valid?** | Yes | No |
| **Date of expiry, if applicable (DD/MM/YYYY)** |  | |

**Part V: Disclosure**

Sections 7.1 to 10.1 are about your activities both in **Hong Kong and elsewhere**. If there are ongoing investigations which you cannot lawfully disclose, you should notify the Commission of the results within seven business days after the completion of the investigations.

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| **Section 7: Disciplinary Actions and Investigations** |

|  |  |  |  |
| --- | --- | --- | --- |
| **7.1** | Have—   * you; * a company of which you are or were a director; * a company of which you are or were involved in the management; or * a company of which you are or were a substantial shareholder,   ever been refused or restricted from the right to carry on any trade, business or profession for which a specific licence, registration or other authorisation is required by law by—   1. the Commission[[1]](#footnote-1); or 2. any professional or regulatory body (including a stock or futures exchange)? | Yes | No |
| Yes | No |
|  |  |  |  |
| **7.2** | In the past five years, have—   * you; * a company of which you are or were a director; * a company of which you are or were involved in the management; or * a company of which you are or were a substantial shareholder,   been—   * censured, disciplined or disqualified by—  1. the Commission1; or 2. any professional or regulatory body (including a stock or futures exchange) in relation to any trade, business or profession; or  * the subject of an investigation conducted by—  1. the Commission1; or 2. any regulatory, criminal investigatory or professional body (e.g. disciplinary tribunal, examination authority, inspector appointed under any enactment)[[2]](#footnote-2)? | Yes | No |
| Yes | No |
| Yes | No |
| Yes | No |
|  |  |  |  |
| **7.3** | Are there any disciplinary actions or proceedings pending against—   * you; * a company of which you are or were a director; * a company of which you are or were involved in the management; or * a company of which you are or were a substantial shareholder,   in relation to any trade, business or profession? | Yes | No |
|  |  |  |  |
| **7.4** | Have—   * you; * a company of which you are or were a director; * a company of which you are or were involved in the management; or * a company of which you are or were a substantial shareholder,   ever been—   1. investigated about any offence involving fraud or dishonesty[[3]](#footnote-3); or 2. adjudged by a court to be civilly liable for fraud, dishonesty or misfeasance? | Yes | No |
| Yes | No |
|  |  |  |  |
| **7.5** | Have you ever been disqualified by a court from being a director of a corporation, or the equivalent in another jurisdiction? | Yes | No |
|  |  |  |  |
| If you answer “Yes” to any of the questions in sections 7.1 to 7.5, please provide the following information in a tabular format in a separate document:-   * date of event * name of regulatory, criminal investigatory or professional body * description of the case * your role or involvement in the case * outcome or current status (e.g. ongoing, settled, etc.) * contingent liability (if any) | | | |
|  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Section 8: Financial Status | | | |
|  | | | |
| **8.1** | In the past five years, have you been a defendant or respondent[[4]](#footnote-4) to—   1. any dispute, civil litigation, arbitration or mediation, the nature of which involves fraud, dishonesty or misfeasance; or 2. any dispute, civil litigation, arbitration or mediation with any person(s) in relation to the provision of financial services and such dispute, civil litigation, arbitration or mediation involves claim(s), liability or contingent liability of an amount in excess of HK$100,000 or equivalent? | Yes | No |
| Yes | No |
|  |  |  |  |
| **8.2** | In the past five years, have you—   1. been a party to a scheme of arrangement; or 2. entered into any form of compromise with your creditor,   involving an amount in excess of HK$100,000 or equivalent? | Yes | No |
| Yes | No |
|  |  |  |  |
| **8.3** | Are there any judgments or court orders with which you have not complied? | Yes | No |
|  |  |  |  |
| **8.4** | Have you ever been bankrupt, or served with a bankruptcy petition? | Yes | No |
|  |  |  |  |
| **8.5** | Have you ever been a director, substantial shareholder, or involved in the management of a corporation which was wound up other than by a members’ voluntary wind up? | Yes | No |
|  |  |  |  |
| **8.6** | Have you ever been a partner of a firm which was dissolved other than with the consent of all the partners? | Yes | No |
|  |  |  |  |
| If you answer “Yes” to the question in section 8.1, please provide the following information in a tabular format in a separate document:-   * date of event * description of the case * amount or estimated amount involved * financial implication of the claims, liabilities or contingent liabilities (amount or estimated amount involved as a % of your personal wealth) * outcome or current status of the case (e.g. dismissed, settled, under appeal, etc.) | | | |
|  | | | |
| If you answer “Yes” to the question in section 8.2, please provide the following information in a tabular format in a separate document:-   * the nature and purpose of scheme of arrangement * party(ies) in the arrangement * date of arrangement * total amount * outstanding amount * repayment schedule or details | | | |
|  | | | |
| If you answer “Yes” to any of the questions in sections 8.3 to 8.6, please provide details of the case or matter in a separate document. | | | |
|  | | | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Section 9: Character | | | | |
|  | | | | |
| **9.1** | Have you ever been charged with any criminal offence other than a minor offence (as defined under section 2 of the Securities and Futures (Licensing and Registration) (Information) Rules (“**Information Rules**”))[[5]](#footnote-5)? | | Yes | No |
|  | | | | |
| **9.2** | Have you ever been convicted of any criminal offence other than a minor offence (as defined under section 2 of the Information Rules)[[6]](#footnote-6)? | | Yes | No |
|  | | | | |
| **9.3** | Have you ever been subject to any order of the court or other competent authority for fraud, dishonesty or misfeasance? | | Yes | No |
|  | |  |  |  |
| If you answer “Yes” to any of the questions in sections 9.1 to 9.3, please provide details of the case or matter in a separate document. | | | | |
|  | | | | |
|  | | | | |
| Section 10: Mental Health | | | | |
|  | | | | |
| **10.1** | Have you ever been a patient as defined in section 2 of the Mental Health Ordinance? | | Yes | No |

|  |
| --- |
| **Section 11: Additional Information** |

Under the Ordinance, you are required to satisfy the Commission that you are a fit and proper person.

**11.1 Have you answered “Yes” to any of sections 7.1 to 10.1?**

Yes. Please explain why your association with the Licensed Corporation(s)/Licensed Corporation Applicant(s) will not affect its fitness and properness in the light of your “Yes” answers. You may wish to refer to the Fit and Proper Guidelines.

|  |
| --- |
|  |

No.

**11.2 Please provide any information you consider relevant to your application/notification that we would reasonably expect you to give which you have not provided elsewhere.**

|  |
| --- |
|  |

**Part VI: Declaration**

|  |
| --- |
| **Section 12: Declaration** |

|  |  |  |
| --- | --- | --- |
| **I**, |  |  |
|  | Name of individual |  |

|  |  |  |
| --- | --- | --- |
| * **Have completed** Part(s) |  | of this supplement. |

* **Declare** that all the information provided in this supplement and any associated documentation is complete, true and correct.
* **Confirm** that I have read and understood the enclosed Personal Information Collection Statement.
* **Consent** to the Commission using any personal information I have provided in this supplement, 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 providing false or misleading information in support of this supplement or its relating application or notification is an offence under section 383 and/or 384 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, this supplement or its relating application or notification.
* **Understand** that if any information contained in this supplement, or any associated documentation changes prior to the Commission making a decision in respect of any relating application, I 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.

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

|  |
| --- |
| **Vetting Authorisation** |

|  |  |  |
| --- | --- | --- |
| I, |  | , hereby authorise the Commissioner of Police/any local or overseas criminal |

investigatory body or regulatory authority, or their representatives, to release full particulars of any pertinent information and materials including all criminal convictions recorded against me to the Securities and Futures Commission. My personal particulars are as follows:

|  |  |
| --- | --- |
| **Name** |  |
| **Date of birth (DD/MM/YYYY)** |  |
| **Hong Kong identity card number** |  |
| **Chinese Commercial Code** |  |
| **People’s Republic of China identity card number, if applicable** |  |
| **Passport number\*** |  |
| **Country of issue\*** |  |
| **Place of birth** |  |

|  |  |  |
| --- | --- | --- |
|  |  |  |
| Signature of individual |  | Date |

|  |  |
| --- | --- |
| **Witness by\*\*** |  |
|  |  |
| **Signature of witness** |  |
| **Name of witness** |  |
| **Designation** |  |
| **Company name** |  |
| **Notary public number, if applicable** |  |
| **Hong Kong identity card number** |  |
| **Passport number\*** |  |
| **Country of issue\*** |  |

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

\*\* The witness must be one of the following persons:

1. a practicing solicitor, notary public or Justice of the Peace; or
2. a director or responsible officer of the licensed corporation/corporation applying for a licence.

# 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[[7]](#footnote-7) 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[[8]](#footnote-8) 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. You must answer this question and there is no need to seek the Commission’s specific consent. Please refer to <https://www.sfc.hk/web/EN/regulatory-functions/enforcement/secrecy-provision.html> for more information or seek independent legal advice. [↑](#footnote-ref-1)
2. Where:

   there has been no further disciplinary or enforcement action taken by the regulatory, criminal investigatory or professional body as a result of the investigation for a prolonged period, or you (or the company) have been informed by the regulatory, criminal investigatory or professional body that no such action would be taken, **and**

   where you wish to maintain confidentiality in relation to such investigation,

   you may do so by checking “No”. However you are obliged to disclose details of the investigation to the Commission in a separate submission, which you must sign, date and send directly to the Commission, within two business days of the date when this application is submitted. [↑](#footnote-ref-2)
3. Where:

   you (or the company) have been investigated about any such offence but no prosecution has been instituted as a result of the investigation for a prolonged period, or you (or the company) have been informed that such prosecution would not be instituted, or the investigation of any such offence resulted in a conviction which was subsequently spent or quashed, **and**

   you wish to maintain confidentiality in relation to such investigation or conviction,

   you may do so by checking “No”. However, you are obliged to disclose details of the offence involved and the relevant conviction (if any) to the Commission. It should be noted that the protection under the Rehabilitation of Offenders Ordinance (Cap. 297) does not apply to proceedings relating to a person’s suitability to be granted a licence. You are therefore required to provide the relevant details in a separate submission, which you must sign, date and send directly to the Commission, within two business days of the date when this application is submitted. [↑](#footnote-ref-3)
4. This includes a claim or counterclaim. [↑](#footnote-ref-4)
5. Where:

   you have been charged with any such offence but not convicted, or the offence charged resulted in a conviction which was subsequently spent (see Footnote 3 above) or quashed, **and**

   you wish to maintain confidentiality in relation to such prosecution or conviction,

   you may do so by checking “No”. However, you are obliged to disclose details of the offence involved and the relevant conviction (if any) to the Commission in a separate submission, which you must sign, date and send directly to the Commission, within two business days of the date when this application is submitted. [↑](#footnote-ref-5)
6. Where:

   the conviction of any such offence was subsequently spent (see Footnote 3 above) or quashed, **and**

   you wish to maintain confidentiality in relation to such conviction,

   you may do so by checking “No”. However, you are obliged to disclose details of the offence involved and the relevant conviction to the Commission in a separate submission, which you must sign, date and send directly to the Commission, within two business days of the date when this application is submitted. [↑](#footnote-ref-6)
7. Personal Data means personal data as defined in the Personal Data (Privacy) Ordinance, Cap 486 (“PDPO”) [↑](#footnote-ref-7)
8. “Matching procedure” is defined in section 2 of the PDPO. [↑](#footnote-ref-8)