

指明根據該條例第 V 部及《證券及期貨 (發牌及註冊) (資料) 規則》(第 571S 章)
提交的牌照表格的公告

茲公告，依據該條例第 402 條，證券及期貨事務監察委員會 (‘證監會’) 指明由 2023 年 6 月 1 日起，以下新增紙質表格將僅在 WINGS 無法使用時才可用作根據上述條例及規則提交牌照申請及通知 (如適用) 予證監會：

表格

Form VA-1U—Application for Licence—Corporation (VA Trading Platform Operator) (只備有英文版)

Form VA-2U—Post-Licence Application (VA Trading Platform Operator) (只備有英文版)

Form VA-3U—Application for responsible officer or licensed representative (VA Trading Platform Operator) (只備有英文版)

Form VA-4U—New Substantial Shareholder/Ultimate Owner Application (VA Trading Platform Operator) (只備有英文版)

Form VA-5U—Notification by Substantial Shareholder/Ultimate Owner (VA Trading Platform Operator) (只備有英文版)

Form VA-6U—Notification and Application by Associated Entity (VA Trading Platform Operator) (只備有英文版)

Form VA-7U—Application—Officer for Signing Financial Resources Returns (other than Responsible Officer) (VA Trading Platform Operator) (只備有英文版)

補充文件

Supplement VA-1U—Information on Corporation (VA Trading Platform Operator) (只備有英文版)

Supplement VA-2U—Personal Information (VA Trading Platform Operator) (只備有英文版)

Supplement VA-3U—Bank Accounts and Financial Information (VA Trading Platform Operator) (只備有英文版)

問卷

Questionnaire VA-1U—Questionnaire for VA Trading Platform Operator (只備有英文版)

Questionnaire VA-2U—Specific Business Profile and Internal Control Summary (VA Trading Platform Operator) (只備有英文版)

2023 年 5 月 25 日

證券及期貨事務監察委員會
中介機構部臨時主管
蔡鍾輝