**Supplement 8A ⎯ Manager-In-Charge of Core Function(s)**

[Specified under section 402 of the Securities and Futures Ordinance (Cap. 571)]

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| This Supplement is ONLY applicable to corporations applying for a licence under section 116(1) of the Securities and Futures Ordinance *(ie, not applicable to corporations applying to become temporary licensed corporations or registered institutions)*.[[1]](#footnote-1) | | | | | | | | | | | | | | | | | | |
| Name of corporation |  | | | | | | | | | | | | | | | | | |
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| **Section 1: Particulars of Manager-In-Charge of Core Function(s)** | | | | | | | | | | | | | | | | | | |
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| Please provide the particulars of the individual you have appointed to be principally responsible for managing any of your Core Functions (see the Explanatory Notes appended to Supplement 8 for details). If you have appointed two or more individuals to act as your Managers-In-Charge of Core Functions, please submit a separate Supplement 8A for each of them. | | | | | | | | | | | | | | | | | | |
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| **Full name in English** |  | | | |  |  | | | | | |  | |  | | | | |
|  | *Surname* | | | |  | *First* | | | | | |  | | *Middle* | | | | |
|  | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | |
| **Full name in Chinese** |  | | | | | | | | | | | | | | | | | |
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| **HK identity card number** |  |  |  | | | |  |  | |  | |  | | |  | | | (   ) |
|  | | | | | | | | | | | | | | | | | | |
| **Passport number\*** |  | | | **Date of expiry\*** | | | | |  | | / | |  | | | / |  | |
|  | | | | | | | | | *dd* | |  | | *mm* | | |  | *yyyy* | |
|  | | | | | | | | | | | | | | | | | | |
| **Passport issuing country\*** |  | | | | | | | | | | | | | | | | | |
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| **CE number** *(if the individual is or was licensed by the Commission)* |  | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | |
| **Place of residence** |  | | | | | | | | | | | | | | | | | |
|  | *Country / Region* | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | |
| **Job title[[2]](#footnote-2)** |  | | | | | | | | | | | | | | | | | |
| \* Only applicable to a non-Hong Kong permanent resident. | | | | | | | | | | | | | | | | | | |

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| **Core Function(s) the individual is principally responsible for managing**  (Please tick “✓” where applicable.) | | **Reports to**  (Please state the individual’s reporting line(s)[[3]](#footnote-3) within your corporation (and, if applicable, within your corporate group) in respect of the relevant Core Function(s).) | **Effective date** | **Proposed responsible officer[[4]](#footnote-4)** |
| Overall Management Oversight | |  |  | Yes  No |
| Key Business Line[[5]](#footnote-5) | |  |  | Yes  No |
| *Please specify:* |  |
|  |
| Operational Control and Review | |  |  |  |
| Risk Management | |  |  |  |
| Finance and Accounting | |  |  |  |
| Information Technology | |  |  |  |
| Compliance | |  |  |  |
| Anti-Money Laundering and Counter-Terrorist Financing | |  |  |  |
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| Section 2: Confirmation | |
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| On behalf of the corporation named above, I confirm that the individual whose particulars contained in Section 1 has been informed of and acknowledged (a) his or her appointment as a Manager-In-Charge of the corporation and (b) the particular Core Function(s) which he or she is principally responsible for managing. | |

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

\* Delete where not applicable.

1. If you are an existing licensed corporation applying for addition of regulated activity, you are not required to complete this Supplement. However, you should notify the Commission of any relevant changes in your Managers-In-Charge of Core Functions via the SFC Online Portal. [↑](#footnote-ref-1)
2. The job title should indicate an individual’s position and his or her particular business or operational area (eg, Chief Executive Officer, Chief Investment Officer, Chief Administrative Officer, Head of Risk Management, Head of Corporate Finance). [↑](#footnote-ref-2)
3. For example, reports to (i) the Board of Directors or Chief Executive Officer of your corporation and (ii) the Head of Global Risk Management of your group. [↑](#footnote-ref-3)
4. In light of the active participation in or direct supervision of the business of your proposed regulated activity(ies), the individual who will act as your Manager-In-Charge of any of the following two Core Functions:

   Overall Management Oversight

   Key Business Line

   is expected to be responsible officer in respect of the particular regulated activity(ies) he or she oversees. [↑](#footnote-ref-4)
5. If the individual is in charge of two or more key business lines of your corporation, please state each of the relevant business lines, his or her reporting line(s) and the corresponding effective date for each business line. [↑](#footnote-ref-5)