



香港海關
CUSTOMS AND EXCISE DEPARTMENT

表格 3A

適當人選聲明表格

(適用於屬個人的獨資經營者/合夥人/董事/最終擁有人，並須與附錄 I 及附錄 II 一併遞交)

Form 3A

Fit and Proper Person Declaration Form

(For sole proprietor / partner / director / ultimate owner
who is an individual and to be submitted with Appendices I & II)

香港海關專用
For Official Use Only

Receipt Date: _____

Application Date: _____

Approval Date: _____

香港法例 第 615 章《打擊洗錢及恐怖分子資金籌集(金融機構)條例》

Anti-Money Laundering and Counter-Terrorist Financing

(Financial Institutions) Ordinance, Chapter 615

請用正楷及黑色筆填寫表格。填寫本表格前，請先閱讀填表須知。

Please fill in the form in capital letter and black ink and read the Guidance Notes before completing this form.

第 1 部 – 與本聲明表格有關連的申請人的一般資料

Part 1 – General Information of the Applicant connected to this Declaration Form

| | | | | | | | | | | | | | | | | |
|-----------------------------------------------------------------|--|--|--|--|--|--|--|--|--|--|---|--|--|--|--|--|
| 申請人的業務 / 法團名稱 Name of the Applicant's Business / Corporation | | | | | | | | | | | | | | | | |
| 商業登記號碼 Business Registration No. | | | | | | | | | | | - | | | | | |

第 2 部 – 獨資經營者 / 合夥人 / 董事 / 最終擁有人的詳情 或

要求批准擔任持牌人的 合夥人 / 董事 / 最終擁有人的詳情

Part 2 – Particulars of the Sole Proprietor / Partner / Director / Ultimate Owner or

the Particulars of the Individual proposing to become Licensee's Partner / Director / Ultimate Owner

| | | | |
|---------------------------------------------------|-----------------------------------------|-----------------------------------------|--------------------------------------------------|
| <input type="checkbox"/> 獨資經營者 Sole proprietor | <input type="checkbox"/> 合夥人 Partner | <input type="checkbox"/> 董事 Director | <input type="checkbox"/> 最終擁有人 Ultimate owner |
|---------------------------------------------------|-----------------------------------------|-----------------------------------------|--------------------------------------------------|

| | | | | | | | | | | | | | | | | |
|-------------------------------------------------------------------------------------|------------------------------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| 英文姓名(*先生/太太/小姐/女士) Name in English (*Mr/Mrs/Miss/Ms) | | | | | | | | | | | | | | | | |
| | 先填寫姓氏再寫名字 Surname first then other names | | | | | | | | | | | | | | | |
| 中文姓名(如適用) Name in Chinese (if applicable) | | | | | | | | | | | | | | | | |
| 中文電碼(如適用) Chinese Commercial Codes (if applicable) | | | | | | | | | | | | | | | | |
| *香港身份證號碼 / 旅遊證件類別及號碼 *Hong Kong Identity Card No. / Travel Document Type and No. | | | | | | | | | | | | | | | | |
| 出生日期(日/月/年) Date of Birth (dd/mm/yyyy) | | | | | | | | | | | | | | | | |
| 出生地點 Place of Birth | | | | | | | | | | | | | | | | |
| 電話號碼 Telephone No. | | | | | | | | | | | | | | | | |



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第 3 部 – 請回答以下問題

Part 3 – Please answer the following questions

1. (a) 除交通罪行外，你有否在香港或其他地方就任何罪行被定罪？

Have you ever been convicted of an offence, other than a traffic offence, in Hong Kong or elsewhere?

有 Yes 沒有 No

- (b) 如問題 1(a) 的答案是「有」，請提供以下資料：—

If the answer to 1(a) is 'Yes', please give the following details:-

(有需要時可用另紙填寫)

(Use additional sheets when necessary)

| | |
|-------|-------------------------------------------------------------------|
| (i) | 所犯罪行：— The offence:- _____ |
| (ii) | 曾施加的刑罰(如有的話)：— Penalty imposed (if any):- _____ |
| (iii) | 定罪日期：— Date of conviction:- _____ |
| (iv) | 定罪地方：— Place of conviction:- _____ |
| (v) | 審訊該罪行的法院名稱：— Name of the court which tried the offence:- _____ |

2. (a) 你有否被裁定不遵從根據香港法例第 615 章《打擊洗錢及恐怖分子資金籌集(金融機構)條例》(打擊洗錢條例) 所施加的要求，或海關關長根據打擊洗錢條例第 51 條所訂立的任何規例？

Have you ever been found to have failed to comply with any requirements imposed under the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance, Chapter 615 (AMLO) or any regulation made by the Commissioner of Customs and Excise under section 51 of the AMLO?

有 Yes 沒有 No

- (b) 如問題 2(a) 的答案是「有」，請提供以下資料：—

If the answer to 2(a) is 'Yes', please give the following details:-

| |
|------------------------------------------------------------------------------------------------|
| 被裁定不遵守要求 / 規例的日期：— Date(s) of failing to comply with the requirements / regulations:- _____ |
|------------------------------------------------------------------------------------------------|



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第 3 部 – 請回答以下問題(續)

Part 3 – Please answer the following questions (Continued)

3. (a) 你有否被判決為破產人及仍未解除破產人身份？
Have you ever been adjudged bankrupt and not yet been discharged?

有 Yes 沒有 No

- (b) 如問題 3(a)的答案是「有」，請提供以下資料：—
If the answer to 3(a) is 'Yes', please give the following details:-

(i) 判決日期：—
Date of the adjudication:- _____

(ii) 破產地方：—
Place of bankruptcy:- _____

(iii) 作出判決的法院名稱：—
Name of the court which made the adjudication:- _____

4. (a) 你是否香港法例第 6 章《破產條例》下的任何破產程序的標的？
Have you ever been the subject of any bankruptcy proceedings under the Bankruptcy Ordinance, Chapter 6?

是 Yes 不是 No

- (b) 如問題 4(a)的答案是「是」，請提供以下資料：—
If the answer to 4(a) is 'Yes', please give the following details:-

(i) 呈請書送達日期：—
Date of service of the petition:- _____

(ii) 呈請書提交地方：—
Place where the petition was presented:- _____

(iii) 呈請書所提交的法院名稱：—
Name of the court in which the petition was presented :- _____

備註： 如所提供的空位不敷應用，請影印該頁，以填寫所需資料。

Remarks: If the space provided is not enough for you to fill in all the required information, please make a photocopy of the page for filling in the information.



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第 4 部 – 聲明

Part 4 – Declaration

本人謹此聲明：-

I declare that:-

- (a) 在本聲明表格內提供的所有資料是用以支持*申請金錢服務經營者牌照 / 要求申請批准擔任持牌人的 合夥人 / 董事 / 最終擁有人，並全屬完整、真實及正確無誤；
the information given in this Declaration Form is to support an application for * a Money Service Operator Licence / approval in respect of the person proposing to become Licensee's Partner / Director / Ultimate Owner; and is complete, true and correct

- (b) 本人已閱讀香港法例第 615 章《打擊洗錢及恐怖分子資金籌集(金融機構)條例》(打擊洗錢條例)。本人明白打擊洗錢條例第 52 條訂明任何人在與要求批給牌照或將牌照續期的申請有關連的情況下，(1) 作出在要項上屬虛假或具誤導性的陳述；並知道該項陳述在要項上屬虛假或具誤導性，或罔顧該項陳述是否在要項上屬虛假或具誤導性的；或 (2) 在某項陳述中遺漏任何要項，以致該項陳述成為虛假或具誤導性的陳述；及知道該項陳述遺漏該要項，或罔顧該項陳述是否遺漏該要項，即屬犯罪，一經定罪，可被判罰款 50,000 元及監禁 6 個月；

I have read the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance, Chapter 615 (AMLO). I understand that section 52 of the AMLO provides that any person who, in connection with an application for the grant or renewal of a licence, (1) makes a statement that is false or misleading in a material particular; and knows that, or is reckless as to whether, the statement is false or misleading in a material particular; or (2) omits a material particular from a statement with the result that the statement is rendered false or misleading; and knows that, or is reckless as to whether, the material particular is omitted from the statement, commits an offence and is liable on conviction to a fine of \$50,000 and to imprisonment for 6 months;

- (c) 本人已閱讀有關申請金錢服務經營者牌照的適當人選聲明表格 3A 的填表須知第 C 部所載的收集個人資料聲明，並明白當中內容。

I have read the Personal Information Collection Statement stated in Part C of the Guidance Notes on Form 3A Fit and Proper Person Declaration Form for Money Service Operator Licence and understand the contents stated therein.

(簽署)
(Signature)

(日期)
(Date)

(姓名(正楷))
(Name in block letters)

(*香港身份證 / 旅遊證件號碼)
(*HKID / Travel Document No.)

註：香港法例第 297 章《罪犯自新條例》第 2 條的規定，不會以該條例第 4 條為理由而適用於與任何人是否適宜獲批給或繼續持有牌照的問題有關的法律程序。任何判罪均不會視為「已失時效」，故所有判罪的詳細資料必須包括在內。

Note: The provisions in section 2 of the Rehabilitation of Offenders Ordinance, Chapter 297 do not by reason of Section 4 of that Ordinance apply to proceedings related to a person's suitability to be granted or to continue to hold a licence. No conviction will be regarded as 'spent' and details of all convictions must therefore be included.

申請*金錢服務經營者牌照 / 要求申請批准擔任持牌人的*合夥人/董事/最終擁有人

授權書

本人 _____ (英文姓名： _____)，現就 _____
 _____ (申請人業務 / 法團名稱) (商業登記號碼： _____)

根據香港法例第 615 章《打擊洗錢及恐怖分子資金籌集(金融機構)條例》而作出申請*金錢服務經營者牌照 / 要求申請批准擔任持牌人的 *合夥人/董事/最終擁有人一事，授權警務處處長，或其代表，向海關關長及獲其授權的任何公職人員發放任何及全部有關本人的刑事判罪紀錄（包括法例第 297 章《罪犯自新條例》已失時效的判罪）的所有資料。如有需要，本人亦同意警務處就此項申請套取本人的指模資料，以核證本人的刑事紀錄。本人的個人資料如下：—

| | |
|---------------------------------|---------------------------------|
| 姓名(英文) | |
| 姓名(中文) | |
| 中文電碼 | / / / / / (按照香港身份證上記錄 - 如適用) |
| 出生日期(日/月/年) | |
| 香港身份證號碼 或 | |
| 旅遊證件/身分證明文件號碼及類別 / 簽發地點(如適用) | |
| 出生地點 | |

簽署： _____

日期： _____

證明:

本人已將本授權書所載的個人資料與上述人士的身分證明文件的正本互相核對，現證明上述的個人資料真實無誤。本人亦證明上述人士在本人面前簽署本授權書。

見證人簽署： _____ *職銜 / 職業： _____

見證人姓名： _____ 職級： _____

海關委任證編號： _____
 其它身分證明文件號碼 /
 簽發地點： _____
 (例如香港身份證或護照)

見證人是： (1) *香港海關的人員；或
 (2) *執業專業人士(例如事務律師、會計師、核數師)，公證人或太平紳士。

CONFIDENTIAL 機密

Application for *a Money Service Operator Licence / approval in respect of the person proposing to become Licensee's *Partner / Director / Ultimate Owner

Authorization

I, _____ (in Chinese _____), in connection with an application for *a Money Service Operator Licence / approval in respect of the person proposing to become Licensee's *Partner/Director/Ultimate Owner, by (Name of Applicant's Business/Corporation) _____ with Business Registration No. _____ hereby authorize the Commissioner of Police, or his representative, to release full particulars of any and all criminal convictions (including the spent convictions under the Rehabilitation of Offenders Ordinance (Cap. 297)) recorded against me to the Commissioner of Customs and Excise and any public officer delegated by him for the purpose of the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap 615). I also agree to my fingerprint impressions being taken by the Police in connection with this application, if required for the purpose of verifying my criminal record. My personal particulars are as follows:-

| | |
|-----------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|
| Name in English | |
| Name in Chinese | |
| Chinese Commercial Codes | / / / / / |
| | <i>(as recorded on the applicant's HK Identity Card – where applicable)</i> |
| Date of Birth (dd/mm/yyyy) | |
| HK Identity Card No. or | |
| Travel/Identity Document Type and No. / Place of Issue <i>(if applicable)</i> | |
| Place of Birth | |

Signature: _____

Date: _____

Certification:

I have checked the personal particulars as stated in this Authorization against the original identity document(s) of the above-mentioned person. I now certify that the personal particulars stated above are true and correct. I also certify that this Authorization is signed by the above-mentioned person in my presence.

Signed by Witness: _____

***Designation /
Profession:** _____

Name of Witness: _____

Rank: _____

C&ED Warrant Card No.: _____

Other Identity Document No. /

**Place of Issue (e.g. HKID /
Passport):** _____

The witness is (1) *an official of the Customs and Excise Department; or
(2) *a practicing professional (e.g. solicitor, accountant, auditor), a notary public or a Justice of the Peace.

CONFIDENTIAL 機密

申請

*金錢服務經營者牌照 / 要求申請批准擔任持牌人的 *合夥人 / 董事 / 最終擁有人

授權書

本人_____ (英文姓名：_____)，現授權海關關長及獲其授權的任何公職人員，就_____ (申請人業務 / 法團名稱)(商業登記號碼:_____)申請 *金錢服務經營者牌照 / 要求申請批准擔任持牌人的 *合夥人 / 董事 / 最終擁有人一事，向破產管理署提供本人的個人資料(包括本文件中的個人資料)，以作查核有關本人的破產紀錄之用。

姓名(英文) : _____

姓名(中文) : _____

*香港身份證號碼 或
旅遊證件/身分證明文件號碼及
類別 / 簽發地點 (如適用) : _____

簽署: _____

日期: _____

CONFIDENTIAL 機密

**Application for *a Money Service Operator Licence /
approval in respect of the person proposing to become Licensee's
*Partner / Director / Ultimate Owner**

Authorization

I, _____ (in Chinese _____)
hereby authorize the Commissioner of Customs and Excise and any public officer
delegated by him to release my personal data (including my personal data in this
document) to the Official Receiver's Office for the purpose of conducting a search
of bankruptcy record against me, in connection with an application for *a Money
Service Operator Licence / approval in respect of the person proposing to become
Licensee's *Partner/Director/Ultimate Owner, submitted by (Name of Applicant's
Business/Corporation) _____
with Business Registration No. _____.

Name in English : _____

Name in Chinese : _____

***HK Identity Card No. or
Travel/Identity Document Type
and No. / Place of Issue
(if applicable)** : _____

Signature: _____

Date: _____