



CUSTOMS AND EXCISE DEPARTMENT

**Anti-Money Laundering and Counter-Terrorist Financing
(Financial Institutions) Ordinance
Chapter 615, Laws of Hong Kong**

Guidance Notes

Form 4

**Application for Approval
in respect of Persons proposing to become Licensee's
Partners / Directors / Ultimate Owners**

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CUSTOMS AND EXCISE DEPARTMENT

Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance Chapter 615, Laws of Hong Kong

Guidance Notes on Form 4 Application for Approval in respect of Persons Proposing to become Licensee's Partners / Directors / Ultimate Owners

Part A - General Information

1. Introduction

- 1.1 Under sections 35(1), 36(1) and 37(1) of the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance, Chapter 615 (AMLO), whenever there is an addition of partners / directors / ultimate owners, the licensee must seek prior approval from the Commissioner of Customs and Excise (CCE) for the addition. The breach of this requirement is also subject to the imposition of disciplinary actions by the CCE and maximum penalty is a fine of \$1,000,000. The licensee may also be prosecuted and liable on conviction to a fine of \$50,000 and to imprisonment for 6 months.
- 1.2 Under section 40 of the AMLO, a licensee must notify the CCE in writing of any change in the particulars within one month beginning on the date on which the change takes place. Any breach of this requirement, without reasonable excuse, is an offence and is liable on conviction to a fine of \$50,000. **In this connection, a licensee must submit Form 6 Notification of Changes in Particulars to notify the CCE after the approved person has formally become the licensee's partner / director / ultimate owner within one month beginning on the date on which the change takes place.**
- 1.3 Ultimate owner:
- (i) In relation to a sole proprietorship:
 - (a) means another individual who ultimately owns or controls the money service business of the sole proprietor; or
 - (b) means the other person if the sole proprietor is acting on behalf of another person.
 - (ii) In relation to a partnership means an individual who:
 - (a) is entitled to or controls, directly or indirectly, not less than a 10% share of the capital or profits of the partnership;
 - (b) is, directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights of the partnership; or
 - (c) exercises ultimate control over the management of the partnership.
 - (iii) In relation to a corporation means an individual who:
 - (a) owns or controls, directly or indirectly, including through a trust or bearer share holding, not less than 10% of the issued share capital of the body corporate;
 - (b) is, directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights at general meetings of the body corporate; or

(c) exercises ultimate control over the management of the corporation.

2. Eligibility Criteria

- 2.1 An application for the approval of the CCE to become licensee's partner / director / ultimate owner must be made to the CCE in the specified form and manner and accompanied by the fee specified in Schedule 3 of the AMLO. For details of the application fee, please refer to the Appendix A.
- 2.2 The CCE may grant an approval under section 35(3), 36(3) or 37(3) of the AMLO only if the person in relation to whom the application is made is a fit and proper person to operate a money service.
- 2.3 In determining whether a person is a fit and proper person under section 35(3), 36(3) or 37(3) of the AMLO, the CCE must, in addition to any other matter that the CCE considers relevant, have regard to the matters specified in section 30(4)(a), (b), (c), (d) and (e). For details of the Fit and Proper Person Criteria, please refer to the Appendix B.

3. Application

3.1 Application Forms

- (i) Application forms can be obtained from the Money Service Supervision Bureau (MSSB) of the Customs and Excise Department (C&ED) at 13/F, Customs Headquarters Building, 222 Java Road, North Point, Hong Kong or 3/F, Customs Headquarters Building or downloaded from the C&ED website at <http://www.customs.gov.hk>.
- (ii) Type of Applications Forms and Appendices:
- | | |
|-------------|--|
| Form 4 | - Application for Approval in respect of Persons Proposing to become Licensee's Partners / Directors / Ultimate Owners |
| Form 3A | - Fit and Proper Person Declaration Form for sole proprietor / partner / director / ultimate owner |
| Form 3B | - Fit and Proper Person Declaration Form for partner / director which is a Corporation |
| Appendix I | - Authorization (for retrieving personal information from the Hong Kong Police Force) |
| Appendix II | - Authorization (for retrieving personal information from the Official Receiver) |
- (iii) The applicant is required to submit Form 4 and 3A together with Appendices I & II for the person proposed to be licensee's partner, director and ultimate owner who is an individual. Where there is any proposed partner or director which is a corporation, an applicant is also required to submit Form 4 and 3B for such partner / director.
- (iv) For details of how to complete Form 3A and 3B, please refer to the relevant Guidance Notes.

3.2 Online Application

An applicant may submit an electronic application form through the C&ED website at <http://www.customs.gov.hk>.

3.3 In person or by post

- (i) Please note that there is no need to sign on the duly completed Form 4 when submitting it to the CCE. The applicant will be asked to sign on it during an interview with an officer of the C&ED at a later stage.

- (ii) After receiving the application submitted in person or by post, the CCE will issue an Acknowledgement of Receipt of the application within 7 working days from the submission or the postal date.
- (iii) Information provided by the applicant in the application form must be supported by copies of relevant documents. Applicant is therefore reminded to ensure that application is submitted together with all required supporting documents. Failure to do so may cause delay in processing the application, or may result in deferment or rejection of the application. For details of the required documents, please refer to the “Checklist for submission of supporting documents” in the application form.
- (iv) If there is any change to the information contained in the application after its submission, the applicant should submit a written request to the CCE promptly. Likewise, if an applicant wishes to withdraw the application, the applicant shall submit a written request to the CCE. Applicants are reminded that any amendments shall form an integral part of their applications. The supplementary information must be submitted together with copies of relevant supporting documents to the CCE.

4. Processing of Application

- 4.1 Upon receipt of an application and the relevant documents, the CCE may also request the applicant to provide additional information to process the application where necessary. Failure to do so within a period as specified by the CCE may cause delay in processing the application, or even result in deferment or rejection of the application.
- 4.2 The applicant will receive a notice for an interview together with a demand note for the payment of fees regarding the application for the approval of becoming licensee’s partner / director / ultimate owner. An application without full payment will be rejected. The fees are non-refundable irrespective whether the application is successful or not.
- 4.3 The applicant is required to bring along with him / her the notice, receipt of payment and the relevant original documents for verification during an interview with the authorized officers of the C&ED at date, time and venue as specified by the CCE. During the interview, the applicant is required, among others, to sign on the Form 4 in the presence of an authorized officer of the C&ED.
- 4.4 The accuracy of the information provided will be checked through various means which include but not limited to the information held by the C&ED, other government departments and law enforcing agencies.
- 4.5 The processing time may vary depending on various factors including the time taken in collecting the requisite documents from the applicant and the time required in obtaining records from other authorities to perform a fit and proper person test.

Part B - Notes on How to Complete the Application Form

Please fill in the form in **capital letters** and **black ink** according to the instructions stated in the application form and the Guidance Notes. An illegible handwritten form may be rejected.

5. **Part 1 - General Information of the Applicant**

Please provide the information of the applicant including the MSO licence number, applicant company name and business registration number.

6. **Part 2 - Particulars of the proposed Individual to be Licensee's Partner / Director / Ultimate owner**

6.1 For the individual proposed to be licensee's partner / director / ultimate owner, please complete 3A as well as Appendices I and II.

6.2 Applicant must list out all the persons proposed to be licensee's partners and directors and ultimate owners, and have to pay a fee for fit and proper person test for each of them. If Applicant has more than one partner or director or ultimate owner, please make a photocopy of the relevant page and fill in the information as an additional sheet for each proposed partner or director or ultimate owner.

6.3 The proposed person shall make a statement that he or she has consented to be licensee's partner / director / ultimate owner subject to the approval to be granted by the CCE in respect of the application. He or she should sign the "Consent to act as a partner / director / ultimate owner of the licensee" in the application form.

7. **Part 3 - Particulars of the Proposed Corporate to be Licensee's Partner / Director**

7.1 For corporate proposed to be licensee's partner / director, please complete Form 3B.

7.2 Applicant must list out all the proposed corporate partners / directors, and have to pay a fee for fit and proper person test for each of them. If Applicant has more than one corporate partner or director proposed, please make a photocopy of the page and fill in the information as an additional sheet for each proposed partner or director.

7.3 The proposed corporate shall make a statement that the corporate has consented to be a partner / director of the licensee subject to the approval to be granted by the CCE in respect of the application. The "Consent to act as a partner / director" must be signed by an authorized person acting on its behalf. The authorization letter is required to be submitted together with the application form.

8. **Part 4 – Declaration by the person who submits this application form (see Remarks in Part 4 of the form)**

The person who submits the application form should read the declaration in part 4 and fill in his / her particulars **without signing on it**. The application form is to be signed and stamped with the applicant company's chop in the presence of an authorized officer of the C&ED during an interview.

9. **Specimen of a Completed Application Form 4**

For further information on the requisite particulars and documents, the applicant should make reference to the "Specimen of Completed Form 4 – Application for Approval in respect of Persons Proposing to become Licensee's Partners / Directors / Ultimate Owners" at Appendix C.

Part C - Personal Information Collection Statement

10. Purpose of Collection

- 10.1 The personal data provided in the application form as well as any updates of them will be used for facilitating processing of applications / record purpose / record update and investigations for the enforcement of the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance, Chapter 615.
- 10.2 It is obligatory for you to supply the personal data as required by the application form. If you do not provide sufficient information, we may not be able to process your application.

11. Classes of Transferees

The personal data you provided in the application form as well as any updates of them may be disclosed to other Government departments / bureaux or organizations for the purposes mentioned in paragraph 10.1 above; or any third parties under section 49 of the AMLO; or where such disclosure is authorized or required by law.

12. Access to Personal Data

You have the right of access to and correction of your personal data as provided for in the Personal Data (Privacy) Ordinance (PDPO). Your right of access includes the right to obtain a copy of your personal data provided in this form. In accordance with the provisions of the PDPO, we have the right to charge a reasonable fee for the processing of any data access request.

13. Enquiries to Personal Data

Enquiries concerning the personal data collected by the application form, including the request for access to and correction of personal data, should be addressed to:

**Departmental Secretary
Office of Departmental Administration
Customs and Excise Department
31/F, Customs Headquarters Building
222 Java Road, North Point, Hong Kong**

Part D - General Enquiry

Applicants may visit the C&ED website at <http://www.customs.gov.hk> for details of information on application. For enquiries on individual application, applicant may write to msoenquiry@customs.gov.hk or call the following enquiry hotline:

Enquiry Hotline : 3759 3722 (during normal office hours)

Please attach the copies of the supporting documents (stamped with the applicant company's chop) to the completed application form. Authorized officers of C&ED will examine the originals during the interview with the applicant.

The duly completed application form together with copies of the necessary supporting documents should be submitted to the Money Service Supervision Bureau of the Customs and Excise Department

Address

✕

**Money Service Supervision Bureau
Customs & Excise Department
13/F, Customs Headquarters Building
222 Java Road, North Point
Hong Kong**

警告 WARNING

- (1) Please read the Guidance Notes carefully before completing the Application Form. The data provided in the application form must be true and correct. Under Sections 35(1), 36(1) and 37(1) of the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance, Chapter 615 (AMLO), whenever there is an addition of partners / directors / ultimate owners to the licensee, prior approval must be sought from the Commissioner of Customs and Excise (CCE) for the addition.
- (2) The breach of this requirement is subject to the imposition of supervisory sanctions by the CCE. *The maximum penalty is a fine of \$1,000,000.* The licensee may also be prosecuted and liable on conviction to a fine of \$50,000 and to imprisonment for 6 months.
- (3) The licensee must pay a fee for each person applied to become director / ultimate owner / partner as specified in Schedule 3 of the AMLO.

This Guidance Note is not a legal document. It only serves as a guide in completing the Form 4 Application for Approval in respect of Persons Proposing to become Licensee's Partners / Directors / Ultimate Owners. In case of doubt about legal issues, you should refer to the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance or if necessary, seek assistance from your legal advisor.

Reference Table on Application Fee

Item	Particulars	Fee (HK\$)
1.	Application for the grant of a licence plus for each additional business premises plus for each person who is subject to the fit and proper person test	3,310 2,220 860
2.	Application for the renewal of a licence plus for each additional business premises plus for each person who is subject to the fit and proper person test	790 355 860
3.	Application for an approval to become a licensee's director	860 for each person in relation to whom the application is made
4.	Application for an approval to become a licensee's ultimate owner	860 for each person in relation to whom the application is made
5.	Application for an approval to become a licensee's partner	860 for each person in relation to whom the application is made
6.	Application to add new business premises	2,220 for each new business premises
7.	Application to operate a money service at particular premises	2,220 for each business premises

[Section 30(4) of the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance, Chapter 615 (AMLO)]

In determining whether a person is a fit and proper person, the Commissioner of Customs and Excise (CCE) must, in addition to any other matter that he considers relevant, have regard to the following:

- (a) whether the person has been convicted of —
 - (i) an offence under section 5(5), (6), (7) or (8), 10(1), (3), (5), (6), (7) or (8), 13(1), (3), (5), (6), (7) or (8), 17(9), 20(1), 61(2) or 66(3) of the AMLO;
 - (ii) an offence under section 14(1) of the United Nations (Anti-Terrorism Measures) Ordinance, Chapter 575 for a contravention of section 7 or 8 of that Ordinance;
 - (iii) an offence under section 25(1), 25A(5) or (7) of, or any offence specified in Schedule 1 to the Drug Trafficking (Recovery of Proceeds) Ordinance, Chapter 405; or
 - (iv) an offence under section 25(1), 25A(5) or (7) of, or any offence specified in Schedule 1 or 2 to the Organized and Serious Crimes Ordinance, Chapter 455;
- (b) whether the person has a conviction in a place outside Hong Kong —
 - (i) for an offence in respect of an act that would have constituted an offence specified in AMLO section 30(4)(a)(i), (ii), (iii) or (iv) had it been done in Hong Kong;
 - (ii) for an offence relating to money laundering or terrorist financing; or
 - (iii) for an offence for which it was necessary to find that the person had acted fraudulently, corruptly or dishonestly;
- (c) whether the person has persistently failed to comply with any requirement imposed under the AMLO or any regulation made by the CCE under section 51 of the AMLO;
- (d) whether the person, being an individual, is an undischarged bankrupt or is the subject of any bankruptcy proceedings under the Bankruptcy Ordinance, Chapter 6;
- (e) whether the person, being a corporation, is in liquidation or is the subject of a winding up order, or there is a receiver appointed in relation to it.



香港海關
CUSTOMS AND EXCISE DEPARTMENT

表格 4

要求批准擔任持牌人的合夥人 / 董事 / 最終擁有人申請書

Form 4

Application for Approval in respect of Persons Proposing to become Licensee's Partners / Directors / Ultimate Owners

香港
For
Receipt Date: _____
Application No.: _____
Approval Date: _____

附錄 C
Appendix C

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 completion.

在此樣本表格內填報的資料全屬虛構，如有雷同，實屬巧合。

All the particulars filled in this specimen form are fictitious. Any resemblance to individuals or companies is entirely coincidental.

第 1 部 - 申請人的一般資料

Part 1 - General Information of the Applicant

金錢服務經營者牌照號碼 Money Service Operator Licence No.	1 2 - 0 4 - 9 9 9 9
業務 / 法團名稱(英文) Name of Business / Corporation (in English)	K A M C H I N S H E N G C O M P A N Y
業務 / 法團名稱(中文) Name of Business / Corporation (in Chinese)	金錢商公司
商業登記號碼 Business Registration No.	1 2 3 4 5 6 7 8 - 0 0 0

第 2 部 - 個人擬任持牌人的合夥人 / 董事 / #最終擁有人的詳情

Part 2 - Particulars of the proposed Individual to be Licensee's Partner / Director / #Ultimate Owner

#(最終擁有人 - 請參閱填表須知第 1.3 段) (Ultimate Owner - Please refer to Para. 1.3 of the Guidance Notes)

(1) 個人擬任合夥人 / 董事 / 最終擁有人的詳情

Particulars of the proposed Individual Partner / Director / Ultimate Owner

<input checked="" 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)	K A M W I N G K W A I	
	先填寫姓氏再填寫名字 Surname first then other names	
中文姓名(如適用) Name in Chinese (if applicable)	金永悒	別名(如有) Alias (if any) ----
中文電碼(如適用) Chinese Commercial Codes(if applicable)	6 8 5 5 3 0 5 7 1 9 0 0	
出生日期(日/月/年) Date of Birth (dd/mm/yyyy)	0 8 0 6 1 9 6 5	
出生地點 Place of Birth	C H I N A	
國籍 Nationality	C H I N E S E	



香港海關
CUSTOMS AND EXCISE DEPARTMENT

表格 4

要求批准擔任持牌人的合夥人 / 董事 / 最終擁有人申請書

Form 4

Application for Approval in respect of Persons Proposing to become Licensee's Partners / Directors / Ultimate Owners

第 2 部 - 個人擬任持牌人的合夥人 / 董事 / 最終擁有人的詳情(續)

Part 2 - Particulars of the proposed Individual to be Licensee's Partner / Director / Ultimate Owner (Continued)

(1) 個人擬任合夥人 / 董事 / 最終擁有人的詳情(續)

Particulars of the proposed Individual Partner / Director / Ultimate Owner (Continued)

教育程度 Education Level	<input checked="" type="checkbox"/> 中學程度 Secondary level
	<input type="checkbox"/> 專上程度 Post-secondary level
	<input type="checkbox"/> 其他, 請註明 Others, please specify:- _____
香港居民適用 For Hong Kong Resident	
香港身份證號碼 Hong Kong Identity Card No.	A 1 2 3 4 5 6 (3)
非香港居民適用 For non-Hong Kong Resident	
旅遊證件類別(例如護照) Travel Document Type(e.g.Passport)	
旅遊證件號碼 Travel Document No.	
簽發日期 Date of Issue	屆滿日期 Date of Expiry
日 月 年 D D M M Y Y Y Y	日 月 年 D D M M Y Y Y Y
簽發國家 / 地點 Country / Place of Issue	

(2) 在申請人業務 / 法團擔任的職位及聯絡資料

Position in the Applicant's Business / Corporation and contact information

在公司擔任的職位 Position in Company	A C C O U N T A N T I	受聘日期 Date of Appointment	0 1 1 0 2 0 1 2
		日 月 年 D D M M Y Y Y Y	
聯絡電話號碼 Contact Telephone No.	4 3 2 1 4 3 2 2		

(3) 同意擔任持牌人的合夥人 / 董事 / 最終擁有人

Consent to act as a partner / director / ultimate owner of the licensee

本人同意擔任持牌人的*合夥人 / 董事 / 最終擁有人, 以海關關長批准此申請為準。 I consent to act as a *partner / director / ultimate owner of the licensee subject to the approval to be granted by the Commissioner of Customs and Excise in respect of this application.		
金永悻	金永悻	01/09/2012
(擬任 *合夥人 / 董事 / 最終擁有人 簽署) (Signature of the proposed *partner / director / ultimate owner)	(姓名(正楷)) (Name in block letters)	(日期) (Date)

註: 如有超過 1 名合夥人 / 董事 / 最終擁有人(屬個人), 請影印本申請表格第 2 部, 以填寫其他合夥人 / 董事 / 最終擁有人的詳情。
Remarks: If there is more than one partner / director / ultimate owner who is an individual, please make a photocopy of Part 2 of this application form for filling in the particulars of the other partner / director / ultimate owner.



香港海關
CUSTOMS AND EXCISE DEPARTMENT

表格 4

要求批准擔任持牌人的合夥人 / 董事 / 最終擁有人申請書

Form 4

Application for Approval in respect of Persons Proposing to become Licensee's Partners / Directors / Ultimate Owners

第 3 部 - 法團擬任持牌人的合夥人 / 董事的詳情

Part 3 - Particulars of the Proposed Corporate to be Licensee's Partner / Director

(1) 法團擬任合夥人 / 董事的詳情

Particulars of the proposed Corporate Partner / Director

<input checked="" type="checkbox"/> 合夥人 Partner	<input type="checkbox"/> 董事 Director																				
業務 / 法團名稱 (英文) Name of Business / Corporation (in English)	G	O	O	D	P	A	R	T	N	E	R	C	O	M	P	A	N	Y	L	T	D
業務 / 法團名稱 (中文) Name of Business / Corporation (in Chinese)																					
商業登記號碼 Business Registration No.	1	1	1	1	1	1	1	1	1	-	0	0	0								
屆滿日期 (日/月/年) Expiry Date (dd/mm/yyyy)	3	0	0	9	2	0	1	4													
公司編號 Company No.	2	2	2	2	2	2	2	2													
成立日期 (日/月/年) Date of Incorporation (dd/mm/yyyy)	0	5	0	7	2	0	0	8	註冊日期 (日/月/年) (只適用於非香港公司) Date of Registration (dd/mm/yyyy) (for non-Hong Kong company only)												
成立地點 Place of Incorporation	H	O	N	G	K	O	N	G													
業務性質 Nature of Business	I	N	V	E	S	T	M	E	N	T											
電郵地址 E-mail Address	g	p	c	i	@	g	p	c	i	.	c	o	m								
辦事處電話號碼 Office Telephone No.	4	2	1	1	4	2	1	1	辦事處傳真號碼 Office Fax No.	4	2	1	1	4	2	1	2				

(2) 法團的註冊地址

Registered address of the Corporation

*室 / 店鋪號碼 *Flat / Room / Shop No.	1	0	1	0	樓 Floor	1	0	座 Block No.											
大廈名稱 Building Name	G	O	O	D	P	A	R	T	N	E	R	B	U	I	L	D	I	N	G
*屋邨 / 屋苑名稱 *Estate / Court Name																			
門牌號碼 Street No.	5	5	5	道路 / 街道名稱 Road/Street Name	G	O	O	D	P	A	R	T	N	E	R	R	D		
地區 / 區域 (例如灣仔) District / Area (e.g. Wanchai)	M	O	N	G	K	O	K	<input type="checkbox"/> 香港 HK <input checked="" type="checkbox"/> 九龍 KLN <input type="checkbox"/> 新界 NT <input type="checkbox"/> 香港特區以外 OTHER THAN HKSAR											



香港海關
CUSTOMS AND EXCISE DEPARTMENT

表格 4

要求批准擔任持牌人的合夥人 / 董事 / 最終擁有人申請書

Form 4

Application for Approval in respect of Persons Proposing to become
Licensee's Partners / Directors / Ultimate Owners

第 3 部 - 擬任持牌人的法團合夥人 / 董事的詳情(續)

Part 3 - Particulars of the Proposed Corporate to be Licensee's Partner / Director (Continued)

(3) 同意擔任合夥人 / 董事

Consent to act as a partner / director

本人已獲 GOOD PARTNER CO., LTD (該公司) 授權，證實該公司同意擔任持牌人的
(擬任法團的名稱)

*合夥人 / 董事，以海關關長批准此申請為準。現夾附有關授權書。

I, being authorised by the GOOD PARTNER CO., LTD (the Company), confirm that the Company
(Name of the Proposed Corporation)
consents to become a partner / ~~director~~* of the licensee subject to the approval to be granted by the Commissioner of
Customs and Excise in respect of this application. The authorization letter is attached.

Chan Tai Man (Chop)

(擬任法團的獲授權人士簽署)
(Signature of the authorized person
of the Proposed Corporation)

CHAN TAI MAN

(姓名(正楷))
(Name in block letters)

01/09/2012

(日期)
(Date)

註： 如有超過 1 名屬法團合夥人 / 董事，請影印本申請表第 3 部，以填寫其他合夥人 / 董事的詳情。

Remarks: If there is more than one corporate partner/director, please make a photocopy of Part 3 of this application form for filling in the particulars of the other partner / director.



香港海關
CUSTOMS AND EXCISE DEPARTMENT

表格 4

要求批准擔任持牌人的合夥人 / 董事 / 最終擁有人申請書

Form 4

Application for Approval in respect of Persons Proposing to become Licensee's Partners / Directors / Ultimate Owners

第 4 部 – 提交此申請表格人士的聲明 (見於第 4 部內的備註) (請於會見時簽署及蓋章)

Part 4 – Declaration by the person who submits this application form (see Remarks in Part 4) (Please sign and stamp at the time of interview)

本人謹此聲明：-

I declare that:-

- (a) 在本申請表格提供的所有詳情及資料(包括附加頁)共 5 頁，全屬真確無誤。
the particulars and information given in this application form (including supplementary sheets) consisting of 5 page(s) are true and correct.
- (b) 本人明白根據香港法例第 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)第 40 條，持牌人必須在自資料改變發生之日起計的一個月內，藉書面向海關關長具報有關改變事項。本人更明白無合理辯解而違反此項規定，即屬犯罪，一經定罪，可被判罰款 50,000 元。
I understand that under section 40 of the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance, Chapter 615 (AMLO), a licensee must notify the Commissioner of Customs and Excise in writing of any change in the particulars within one month beginning on the date on which the change takes place. I further understand that any breach of this requirement, without reasonable excuse, is an offence and is liable on conviction to a fine of \$50,000.
- (c) 本人已閱讀要求批准擔任持牌人的合夥人 / 董事 / 最終擁有人申請表格 4 的填表須知第 C 部所載的收集個人資料聲明，以及明白當中內容。
I have read the Personal Information Collection Statement stated in Part C of the Guidance Notes on Form 4 Application for Approval in respect of Persons proposing to become Licensee's Partners/Directors/Ultimate Owners and understand the contents stated therein.

	<u>KAM CHIN SHENG</u>	<u>Z123456(1)</u>
(*持牌人 / 獲持牌人授權的合夥人 / 董事或人士 簽署及公司印章)	(姓名(正楷)) (Name in block letters)	(*香港身份證 / 旅遊證件號碼)
(*Signature of the licensee / authorized person of the licensed partnership / authorized director or person of the licensed corporation and company chop) (會見時簽署及蓋章) (to be signed and stamped at the time of interview)		(*HKID / Travel Doc. No.)
<u>PARTNER</u>	<u>9875 9875</u>	
(在持牌人業務 / 法團擔任的職位) (Position in the Licensee's Business / Corporation)	(聯絡電話號碼) (Contact Telephone No.)	(日期) (Date)
見證人： Witnessed by :	(簽署) (Signature)	(海關人員的姓名及職位) (Name and Post of C&ED officer)
		(日期) (Date)

備註： 提交此申請表格的人士必須是：-
Remarks: The person who submits this application form must be:-

- (a) 如持牌人屬獨資經營，該獨資經營者；
the sole proprietor, if the licensee is a sole proprietorship;
- (b) 如持牌人屬合夥，則獲每名合夥人書面授權的合夥人，並應隨附授權書；
the partner authorized in writing by every partner, if the licensee is a partnership. The authorization letter should be attached;
- (c) 如持牌人屬法團，則獲董事局書面授權的董事或人士，並應隨附授權書。
the director or the person, authorized in writing by the Board of Directors, if the licensee is a corporation. The authorization letter should be attached

要求批准擔任持牌人的合夥人 / 董事 / 最終擁有人申請須遞交的證明文件的核對清單
Checklist for submission of supporting documents for Application for Approval in respect of Persons
Proposing to become Licensee's Partners / Directors / Ultimate Owners

1. 每一名個人擬任合夥人 / 董事 / 最終擁有人詳情的證明文件 (於會面時遞交) Supporting Documents of Particulars of <i>each</i> proposed individual partner / director / ultimate owner (submitted during the interview)	
香港居民 Hong Kong resident	<input checked="" type="checkbox"/> 已填妥的適當人選聲明表格 3A 連同附錄 I 及 II Completed Fit and Proper Person Declaration Form 3A together with Appendices I & II <input checked="" type="checkbox"/> 香港身份證複本 A copy of Hong Kong Identity Card
非香港居民 Non-Hong Kong resident	<input type="checkbox"/> 已填妥的適當人選聲明表格 3A 連同附錄 I 及 II Completed Fit and Proper Person Declaration Form 3A together with Appendices I & II <input type="checkbox"/> 旅遊證件的個人資料頁的複本 A copy of the Bio-data page of the Travel Document
2. 每一名法團擬任合夥人 / 董事的詳情的證明文件 (與申請表格一併遞交) Supporting Documents of Particulars of <i>each</i> proposed corporate partner / director (submitted together with the application form)	
本地公司 Local company	<input checked="" type="checkbox"/> 已填妥的適當人選聲明表格 3B Completed Fit and Proper Person Declaration Form 3B <input checked="" type="checkbox"/> 有效商業登記證的複本 A copy of valid Business Registration Certificate <input checked="" type="checkbox"/> 公司註冊證書的複本 A copy of Certificate of Incorporation <input checked="" type="checkbox"/> 組織章程大綱及章程細則的複本 A copy of Memorandum and Articles of Association
非香港公司 Non-Hong Kong company	<input type="checkbox"/> 已填妥的適當人選聲明表格 3B Completed Fit and Proper Person Declaration Form 3B <input type="checkbox"/> 有效商業登記證的複本 A copy of valid Business Registration Certificate <input type="checkbox"/> 非香港公司的註冊證明書的複本 A copy of Certificate of Registration of non-Hong Kong Company <input type="checkbox"/> 組織章程大綱及章程細則的複本 A copy of Memorandum and Articles of Association
非在香港註冊的法團 Corporation not registered in Hong Kong	<input type="checkbox"/> 已填妥的適當人選聲明表格 3B Completed Fit and Proper Person Declaration Form 3B <input type="checkbox"/> 公司註冊證書的複本或其根據香港法例第 32B 章《公司(表格)規例》第 3 條等同的經核證的公司註冊證書複本 A copy of the Certificate of Incorporation or its equivalent certified in accordance with reg. 3 of the Companies (Forms) Regulations, Chapter 32B
3. 授權書 (與申請表格一併遞交) Authorization letter (submitted together with the Application Form)	
合夥人 Partner	<input checked="" type="checkbox"/> 經所有合夥人簽署的授權書複本 A copy of the authorization letter signed by all partners
法團 Corporation	<input type="checkbox"/> 經董事局簽署的授權書複本 A copy of the authorization letter signed by the Board of Directors
<p>請隨已填妥的申請表格夾附已蓋上申請人公司印章的證明文件。海關的獲授權人員會在與申請人會面時查驗文件的正本。 <i>Please attach the supporting documents (stamped with the applicant's company chop) to the completed application form. Authorized officers of C&ED will examine the originals during the interview with the applicant.</i></p> <p>已填妥的申請表格連同證明文件，應遞交香港海關金錢服務監理科辦理。 <i>The completed application form together with the supporting documents should be submitted to the Money Service Supervision Bureau of the Customs and Excise Department.</i></p> <p>地址 香港北角渣華道222號 海關總部大樓13樓 香港海關 金錢服務監理科</p> <p>辦公時間 星期一至星期五 上午 8 時 45 分至中午 12 時 30 分 (公眾假期除外) 下午 1 時 30 分至 5 時 30 分</p> <p>Address Money Service Supervision Bureau Customs and Excise Department 13/F, Customs Headquarters Building 222 Java Road, North Point, Hong Kong</p> <p>Office hours Monday to Friday 8:45 a.m. to 12:30 p.m. (Except public holidays) 1:30 p.m. to 5:30 p.m.</p>	