



公司註冊處
COMPANIES REGISTRY

STATEMENT OF DISCIPLINARY ACTION

ANTI-MONEY LAUNDERING AND COUNTER-TERRORIST FINANCING ORDINANCE (Chapter 615)

Pursuant to section 53Z of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance ("AMLO"), disciplinary action set out below has been taken by the Registrar of Companies against the following trust or company service provider licensee:

Licence No.	TC005327
Name of Licensee	鴻基企業註冊(香港)有限公司 HUNG KAI REGISTRATIONS (HK) LIMITED
Contravention	<ol style="list-style-type: none">(1) Contravention of section 2(1)(d) of Schedule 2 to the AMLO.(2) Contravention of section 5 of Schedule 2 to the AMLO, namely the Licensee has failed to continuously monitor the business relationships with its customers.(3) Contravention of section 9 of Schedule 2 to the AMLO, namely, the Licensee has failed to carry out the special measures when the customer is not physically present for identification purposes.(4) Contravention of section 19(1) of Schedule 2 to the AMLO, namely, the Licensee has failed to establish and maintain effective procedures for determining whether a customer or a beneficial owner of a customer is a politically exposed person.(5) Contravention of section 19(3) of Schedule 2 to the AMLO, namely, the Licensee has failed to establish and maintain effective procedures not inconsistent with the AMLO for the purpose of carrying out the duties under sections 3, 4, 5, 9, 10 and 15 of Schedule 2.(6) Contravention of section 23 of Schedule 2 to the AMLO, namely, the Licensee has failed to take all reasonable measures to ensure that proper safeguards exist to prevent a contravention of any requirement under Part 2 or 3 of Schedule 2; and to mitigate money laundering and terrorist financing risks.
Date of Decision	5 April 2024
Disciplinary Action Taken	Public reprimand and imposition of a pecuniary penalty of HK\$45,000.

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