



信託或公司服務提供者牌照申請書

Application for a Trust or Company Service Provider Licence

第一部
Part 1

申請人詳情
Particulars of Applicant

申請人屬 The Applicant is	請在適用的空格內加上✓號 Please tick the relevant box	
	<input type="checkbox"/>	以獨資經營人身分經營業務的個人 an individual carrying on business as a sole proprietor
	<input type="checkbox"/>	合夥 a partnership
	<input type="checkbox"/>	法團 a corporation

申請人姓名／名稱 Name of Applicant	9 中文姓名／名稱 Name in Chinese
	英文姓名／名稱 Name in English

申請人的業務名稱 Name of Business of Applicant	中文名稱 Name in Chinese
	英文名稱 Name in English

商業登記證 Business Registration Certificate	號碼 No.	屆滿日期 Expiry Date						
	(起首的8個數字 First 8 digits)	日D	日D	月M	月M	年Y	年Y	年Y

請勿填寫本欄 For Official Use

--



第一部(續) 申請人詳情
Part 1 (cont'd) Particulars of Applicant

營業地址 Business Address	請在適用的空格內加上✓號 Please tick the relevant box									
室／店舖等 Flat/Room/Unit/Shop, etc.										
樓 Floor										
座／期 Block/Tower/Phase										
大廈名稱 Building Name										
屋邨／屋苑名稱 Estate/Court Name										
門牌號碼 Street No.										
街道名稱(或鄉村) Street Name (or Village)										
地區 District	<input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 九龍 Kowloon <input type="checkbox"/> 新界 New Territories									
業務網址 Business Website Address										
業務電郵地址 Business Email Address										
業務聯絡號碼(香港) Business Contact No. (Hong Kong)	電話 Telephone					傳真 Fax				
屬法團申請人的詳情 Particulars of TCSP Applicant which is a Corporation	成立為法團所在地方 Place of Incorporation 請在適用的空格內加上✓號 Please tick the relevant box									
	<input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 其他(請註明) Others (Please specify)									
成立／註冊／註冊為經遷冊公司的日期 Date of Incorporation/Registration/Registration as Re-domiciled Company										
						10				
						日D 日D	月M 月M	年Y 年Y	年Y 年Y	



第二部 Part 2

申請人／申請人的最終擁有人／合夥人／董事的詳情 – 屬個人 Particulars of Applicant / Applicant's Ultimate Owner / Partner / Director – Individual

(如有超過一名個人，請用續頁 A 填報其他個人的詳情)

(If there is more than one individual, please use Continuation Sheet A to report the particulars of the other individual(s))

身份 Capacity	請在適用的空格內加上✓號 Please tick the relevant box(es)	
	<input type="checkbox"/>	申請人(以獨資經營人身分經營業務的個人) Applicant (an individual carrying on business as a sole proprietor)
	<input type="checkbox"/>	申請人的最終擁有人 Applicant's ultimate owner
	<input type="checkbox"/>	申請人的合夥人(屬個人) Applicant's partner who is an individual
	<input type="checkbox"/>	申請人的董事(屬個人) Applicant's director who is an individual

個人資料 Personal Details	
中文姓名 Name in Chinese	
中文電碼 Chinese Commercial Codes	
	(只適用於香港身分證持有人) (Only applicable to holder of Hong Kong Identity Card)
英文姓名 Name in English	姓氏 Surname
	名字 Other Names
國籍 Nationality	
出生地點 Place of Birth	
出生日期 Date of Birth	日D 日D 月M 月M 年Y 年Y 年Y 年Y



第二部(續)
Part 2 (cont'd)

申請人／申請人的最終擁有人／合夥人／董事的詳情 - 屬個人
Particulars of Applicant / Applicant's Ultimate Owner / Partner / Director - Individual

聯絡資料 Contact Details	
通訊地址 Correspondence Address	11 請在適用的空格內加上✓號 Please tick the relevant box
室／店舖等 Flat/Room/Unit/Shop, etc.	
樓 Floor	
座／期 Block/Tower/Phase	
大廈名稱 Building Name	
屋邨／屋苑名稱 Estate/Court Name	
門牌號碼 Street No.	
街道名稱(或鄉村) Street Name (or Village)	
地區 District	<input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 九龍 Kowloon <input type="checkbox"/> 新界 New Territories
國家／地區 Country/Region	
電郵地址 Email Address	
香港電話號碼 Hong Kong Telephone No.	(如適用) (if applicable)



第二部(續)
Part 2 (cont'd)

申請人／申請人的最終擁有人／合夥人／董事的詳情 - 屬個人
Particulars of Applicant / Applicant's Ultimate Owner / Partner / Director - Individual

身分證明 Identification 12	
香港身分證 Hong Kong Identity Card	號碼 No.
	()
護照 Passport	簽發國家／地區 Issuing Country/Region
	號碼 No.
其他身分證明文件／ 旅遊證件 Other Identification / Travel Document	證件類別 Document Type
	簽發地點 Place of Issue
	號碼 No.

適當人選的評定 Fit and Proper Test 13
<p>上述人士 The above-mentioned person (請在適用的空格內加上✓號 Please tick the relevant box)</p> <p> <input type="checkbox"/> 屬會計師 is a certified public accountant <input type="checkbox"/> 屬律師 is a solicitor <input type="checkbox"/> 屬外地律師 is a foreign lawyer </p> <div style="border: 1px solid black; padding: 5px; margin: 5px 0;"> <p>證明該人士屬上述其中一類人士的文件之複本須連同本表格一併提交。 A copy of the document proving that the person belongs to one of the above categories should be submitted together with this form.</p> </div> <p> <input type="checkbox"/> 不屬上述任何一類人士 does not belong to one of the above categories </p> <div style="border: 1px solid black; padding: 5px; margin: 5px 0;"> <p>上述人士的「適當人選陳述書」(表格 TCSP4)及相關費用須連同本表格一併提交。 A Statement as regards Fit and Proper Criteria (Form TCSP4) of the above-mentioned person and the required fee must be submitted together with this form.</p> </div>



第三部 Part 3

申請人的合夥人／董事的詳情 – 屬法團 Particulars of Applicant's Partner/Director – Corporation

(如有超過一名屬法團的合夥人／董事，請用續頁 B 填報其他合夥人／董事的詳情)

(If there is more than one partner/director which is a corporation, please use Continuation Sheet B to report the particulars of the other partner(s)/director(s))

身份 Capacity	請在適用的空格內加上✓號 Please tick the relevant box	
	<input type="checkbox"/>	申請人的合夥人(屬法團) Applicant's partner which is a corporation
	<input type="checkbox"/>	申請人的董事(屬法團) Applicant's director which is a corporation

法團資料 Details of Corporation

中文名稱 Name in Chinese	
英文名稱 Name in English	

成立為法團所在地方 Place of Incorporation	請在適用的空格內加上✓號 Please tick the relevant box	
	<input type="checkbox"/>	香港 Hong Kong
	<input type="checkbox"/>	其他(請註明) Others (Please specify)
成立／註冊／註冊 為遷冊公司的 日期 Date of Incorporation/ Registration/ Registration as Re-domiciled Company	14	
	日D 日D	月M 月M 年Y 年Y 年Y 年Y
商業登記證號碼 Business Registration Certificate No.		(起首的 8 個數字) (如適用) (First 8 digits) (if applicable)



聯絡資料 Contact Details		
營業地址 Business Address	請在適用的空格內加上✓號 Please tick the relevant box	
室／店舖等 Flat/Room/Unit/Shop, etc.		
樓 Floor		
座／期 Block/Tower/Phase		
大廈名稱 Building Name		
屋邨／屋苑名稱 Estate/Court Name		
門牌號碼 Street No.		
街道名稱(或鄉村) Street Name (or Village)		
地區 District		
	<input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 九龍 Kowloon <input type="checkbox"/> 新界 New Territories	
國家／地區 Country/Region		
電郵地址 Email Address		
業務聯絡號碼(香港) Business Contact No. (Hong Kong)	電話 Telephone	傳真 Fax
	(如適用 if applicable)	(如適用 if applicable)



第三部(續)
Part 3 (cont'd)

申請人的合夥人／董事的詳情 – 屬法團
Particulars of Applicant's Partner / Director – Corporation

適當人選的評定 Fit and Proper Test

15

上述法團 The above-mentioned corporation (請在適用的空格內加上✓號 Please tick the relevant box)

- 屬會計師執業法團 is a corporate practice of certified public accountants
 屬認可機構 is an authorized institution
 屬持牌法團 is a licensed corporation

證明該法團屬上述其中一類人士的文件之複本須連同本表格一併提交。

A copy of the document proving that the corporation belongs to one of the above categories should be submitted together with this form.

- 不屬上述任何一類人士 does not belong to one of the above categories

上述法團的「適當人選陳述書」(表格 TCSP5)及相關費用須連同本表格一併提交。

A Statement as regards Fit and Proper Criteria (Form TCSP5) of the above-mentioned corporation and the required fee must be submitted together with this form.

第四部
Part 4

合規主任及／或洗錢報告主任的詳情
Particulars of Compliance Officer ("CO") and / or Money Laundering Reporting Officer ("MLRO")

16

(如有超過一名合規主任及／或洗錢報告主任，請用續頁 C 填寫其他合規主任及／或洗錢報告主任的詳情)

(If there is more than one Compliance Officer and / or Money Laundering Reporting Officer, please use Continuation Sheet C to report the particulars of the other Compliance Officer(s) and / or Money Laundering Reporting Officer(s))

身份 Capacity	請在適用的空格內加上✓號 (如下述人士同時出任合規主任及洗錢報告主任，請在兩個空格內均加上✓號) Please tick the relevant box(es) (If the person below is both the Compliance Officer and the Money Laundering Reporting Officer, please tick both boxes)
中文姓名 Name in Chinese	<input type="checkbox"/> 合規主任 Compliance Officer <input type="checkbox"/> 洗錢報告主任 Money Laundering Reporting Officer
英文姓名 Name in English	姓氏 Surname
	名字 Other Names
	(Blank grid for name details)



第四部(續)

Part 4 (cont'd)

合規主任及／或洗錢報告主任的詳情

Particulars of Compliance Officer ("CO") and/or Money Laundering Reporting Officer ("MLRO")

如合規主任及／或洗錢報告主任是申請人或申請人的最終擁有人／合夥人／董事，則無須填報以下詳情
 No need to complete the following particulars if the CO and/or MLRO is the Applicant or the ultimate owner/
 partner/director of the Applicant

17	
在申請人的業務所擔任的職位 Position in Applicant's Business	

18	
身分證明 Identification	
香港身分證 Hong Kong Identity Card	號碼 No.
	()
護照 Passport	簽發國家／地區 Issuing Country/Region
	號碼 No.
其他身分證明文件／ 旅遊證件 Other Identification/ Travel Document	證件類別 Document Type
	簽發地點 Place of Issue
	號碼 No.

聯絡資料 Contact Details	
電郵地址 Email Address	
香港電話號碼 Hong Kong Telephone No.	(如適用) (if applicable)



本人現核證：-

I certify that:-

- (a) 本申請書內提供的資料均屬完整、真實及正確無誤。
The information given in this application is complete, true and correct.
- (b) 本人明白香港法例第 615 章《打擊洗錢及恐怖分子資金籌集條例》(下稱「《打擊洗錢條例》」) 第 53ZN 條訂明任何人在根據《打擊洗錢條例》第 5A 部向公司註冊處處長(下稱「處長」) 提出的申請、作出的具報或提供的任何其他文件內，或為與在該部向處長提出的申請或作出的具報相關的目的，(1) 作出在要項上屬虛假或具誤導性的陳述；及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；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，可被處第 5 級罰款(50,000 元)及監禁 6 個月。
I understand that section 53ZN of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance, Chapter 615 ("the AMLO") provides that any person who, in an application made, a notification given or any other document provided to the Registrar of Companies ("the Registrar") under Part 5A of the AMLO or for a purpose in connection with an application made or a notification given to the Registrar under that Part, (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 at level 5 (\$50,000) and to imprisonment for 6 months.
- (c) 本人已閱讀處長發出的《信託或公司服務提供者發牌指引》及《打擊洗錢及恐怖分子資金籌集指引(信託或公司服務持牌人適用)》，並明白持牌人的責任。
I have read the 'Guideline on Licensing of Trust or Company Service Providers' and the 'Guideline on Anti-Money Laundering and Counter-Financing of Terrorism (For Trust or Company Service Provider Licensees)' issued by the Registrar and understand the duties of a licensee.
- (d) 如本表格內填報的資料其後有任何改變，本人會立即以書面形式通知處長有關改變。
If there are any subsequent changes in particulars provided in this form, I shall notify the Registrar in writing immediately of the changes.
- (e) 本人及所有從本表格中被收集個人資料的人士已閱讀本表格內的填表須知所載的收集個人資料聲明，並明白當中內容。
I and all persons of whom personal information has been collected in this form have read the Personal Information Collection Statement stated in the Notes for Completion of this form and understand the contents stated therein.

本表格包括下列續頁 This form includes the following Continuation Sheet(s)

續頁 Continuation Sheet	A	B	C
數目 Number			

簽署 : _____ 簽署日期 : _____
Signed : _____ Date of Signature : _____

姓名 : _____
Name : _____

以獨資經營人身分經營業務的申請人 Applicant who carries on business as a sole proprietor
 獲合夥授權的合夥人 Authorized partner of the partnership
 獲法團授權的董事 Authorized director of the corporation

請在適用的空格內加上✓號 Please tick the relevant box



續頁 A

Continuation Sheet A

第二部 Part 2

申請人／申請人的最終擁有人／合夥人／董事的詳情 - 屬個人
Particulars of Applicant / Applicant's Ultimate Owner / Partner / Director - Individual

身份 Capacity	請在適用的空格內加上✓號 <i>Please tick the relevant box(es)</i>	
	<input type="checkbox"/>	申請人(以獨資經營人身分經營業務的個人) Applicant (an individual carrying on business as a sole proprietor)
	<input type="checkbox"/>	申請人的最終擁有人 Applicant's ultimate owner
	<input type="checkbox"/>	申請人的合夥人(屬個人) Applicant's partner who is an individual
	<input type="checkbox"/>	申請人的董事(屬個人) Applicant's director who is an individual

個人資料 Personal Details									
中文姓名 Name in Chinese									
中文電碼 Chinese Commercial Codes									
	(只適用於香港身分證持有人) (Only applicable to holder of Hong Kong Identity Card)								
英文姓名 Name in English	姓氏 Surname								
	名字 Other Names								
國籍 Nationality									
出生地點 Place of Birth									
出生日期 Date of Birth	<table border="1"> <tr> <td>日D</td> <td>日D</td> <td>月M</td> <td>月M</td> <td>年Y</td> <td>年Y</td> <td>年Y</td> <td>年Y</td> </tr> </table>	日D	日D	月M	月M	年Y	年Y	年Y	年Y
日D	日D	月M	月M	年Y	年Y	年Y	年Y		



續頁 A

Continuation Sheet A

第二部(續)

Part 2 (cont'd)

申請人／申請人的最終擁有人／合夥人／董事的詳情 - 屬個人
 Particulars of Applicant / Applicant's Ultimate Owner / Partner / Director - Individual

聯絡資料 Contact Details	
通訊地址 Correspondence Address	11 請在適用的空格內加上✓號 Please tick the relevant box
室／店舖等 Flat/Room/Unit/Shop, etc.	
樓 Floor	
座／期 Block/Tower/Phase	
大廈名稱 Building Name	
屋邨／屋苑名稱 Estate/Court Name	
門牌號碼 Street No.	
街道名稱(或鄉村) Street Name (or Village)	
地區 District	<input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 九龍 Kowloon <input type="checkbox"/> 新界 New Territories
國家／地區 Country/Region	
電郵地址 Email Address	
香港電話號碼 Hong Kong Telephone No.	(如適用) (if applicable)



續頁 A

Continuation Sheet A

第二部(續)
Part 2 (cont'd)

申請人／申請人的最終擁有人／合夥人／董事的詳情 - 屬個人
Particulars of Applicant / Applicant's Ultimate Owner / Partner / Director - Individual

身分證明 Identification 12	
香港身分證 Hong Kong Identity Card	號碼 No.
	()
護照 Passport	簽發國家／地區 Issuing Country/Region
	號碼 No.
其他身分證明文件／ 旅遊證件 Other Identification / Travel Document	證件類別 Document Type
	簽發地點 Place of Issue
	號碼 No.

適當人選的評定 Fit and Proper Test 13

上述人士 The above-mentioned person (請在適用的空格內加上✓號 Please tick the relevant box)

屬會計師 is a certified public accountant 屬律師 is a solicitor 屬外地律師 is a foreign lawyer

證明該人士屬上述其中一類人士的文件之複本須連同本表格一併提交。

A copy of the document proving that the person belongs to one of the above categories should be submitted together with this form.

不屬上述任何一類人士 does not belong to one of the above categories

上述人士的「適當人選陳述書」(表格 TCSP4)及相關費用須連同本表格一併提交。

A Statement as regards Fit and Proper Criteria (Form TCSP4) of the above-mentioned person and the required fee must be submitted together with this form.



續頁 B

Continuation Sheet B

第三部
Part 3申請人的合夥人／董事的詳情 – 屬法團
Particulars of Applicant's Partner / Director – Corporation

身份 Capacity	請在適用的空格內加上✓號 Please tick the relevant box	
	<input type="checkbox"/>	申請人的合夥人(屬法團) Applicant's partner which is a corporation
	<input type="checkbox"/>	申請人的董事(屬法團) Applicant's director which is a corporation

法團資料 Details of Corporation																					
中文名稱 Name in Chinese																					
英文名稱 Name in English																					
成立為法團所在地方 Place of Incorporation	請在適用的空格內加上✓號 Please tick the relevant box																				
	<input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 其他 (請註明) Others (Please specify)																				
成立／註冊／註冊 為經遷冊公司的 日期 Date of Incorporation/ Registration/ Registration as Re-domiciled Company	<table border="1"> <tr> <td>14</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td></td> <td>日D</td><td>日D</td> <td>月M</td><td>月M</td> <td>年Y</td><td>年Y</td> <td>年Y</td><td>年Y</td> <td></td> </tr> </table>	14											日D	日D	月M	月M	年Y	年Y	年Y	年Y	
14																					
	日D	日D	月M	月M	年Y	年Y	年Y	年Y													
商業登記證號碼 Business Registration Certificate No.	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table> (起首的 8 個數字) (如適用) (First 8 digits) (if applicable)																				



續頁 B

Continuation Sheet B

第三部(續)

申請人的合夥人／董事的詳情 - 屬法團

Part 3 (cont'd)

Particulars of Applicant's Partner/Director - Corporation

聯絡資料 Contact Details		
營業地址 Business Address	請在適用的空格內加上✓號 Please tick the relevant box	
室／店舖等 Flat/Room/Unit/Shop, etc.		
樓 Floor		
座／期 Block/Tower/Phase		
大廈名稱 Building Name		
屋邨／屋苑名稱 Estate/Court Name		
門牌號碼 Street No.		
街道名稱(或鄉村) Street Name (or Village)		
地區 District	<input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 九龍 Kowloon <input type="checkbox"/> 新界 New Territories	
國家／地區 Country/Region		
電郵地址 Email Address		
業務聯絡號碼(香港) Business Contact No. (Hong Kong)	電話 Telephone	傳真 Fax
	(如適用 if applicable)	(如適用 if applicable)



續頁 B

Continuation Sheet B

第三部(續)

申請人的合夥人／董事的詳情 – 屬法團

Part 3 (cont'd)

Particulars of Applicant's Partner/Director – Corporation

適當人選的評定 Fit and Proper Test

15

上述法團 The above-mentioned corporation (請在適用的空格內加上✓號 Please tick the relevant box)

- 屬會計師執業法團
 is a corporate practice of certified public accountants
- 屬認可機構
 is an authorized institution
- 屬持牌法團
 is a licensed corporation

證明該法團屬上述其中一類人士的文件之複本須連同本表格一併提交。

A copy of the document proving that the corporation belongs to one of the above categories should be submitted together with this form.

- 不屬上述任何一類人士 does not belong to one of the above categories

上述法團的「適當人選陳述書」(表格 TCSP5)及相關費用須連同本表格一併提交。

A Statement as regards Fit and Proper Criteria (Form TCSP5) of the above-mentioned corporation and the required fee must be submitted together with this form.



續頁 C

Continuation Sheet C

第四部 Part 4

合規主任及／或洗錢報告主任的詳情 16 Particulars of Compliance Officer (“CO”) and / or Money Laundering Reporting Officer (“MLRO”)

身份 Capacity	<p>請在適用的空格內加上✓號 (如下述人士同時出任合規主任及洗錢報告主任，請在兩個空格內均加上✓號) Please tick the relevant box(es) (If the person below is both the Compliance Officer and the Money Laundering Reporting Officer, please tick both boxes)</p> <div style="display: flex; justify-content: space-around;"> <div style="text-align: center;"> <input type="checkbox"/> 合規主任 Compliance Officer </div> <div style="text-align: center;"> <input type="checkbox"/> 洗錢報告主任 Money Laundering Reporting Officer </div> </div>
中文姓名 Name in Chinese	
英文姓名 Name in English	姓氏 Surname <table border="1" style="width: 100%; height: 40px; border-collapse: collapse;"></table>
	名字 Other Names <table border="1" style="width: 100%; height: 40px; border-collapse: collapse;"></table>
	<table border="1" style="width: 100%; height: 40px; border-collapse: collapse;"></table>

如合規主任及／或洗錢報告主任是申請人或申請人的最終擁有人／合夥人／董事，則無須填報以下詳情
No need to complete the following particulars if the CO and / or MLRO is the Applicant or the ultimate owner / partner / director of the Applicant

在申請人的業務所 擔任的職位 Position in Applicant's Business	17	<table border="1" style="width: 100%; height: 60px; border-collapse: collapse;"></table>
--	--	--



續頁 C

Continuation Sheet C

第四部(續)

Part 4 (cont'd)

合規主任及／或洗錢報告主任的詳情

Particulars of Compliance Officer ("CO") and/or Money Laundering Reporting Officer ("MLRO")

身分證明 Identification 18	
香港身分證 Hong Kong Identity Card	號碼 No.
	()
護照 Passport	簽發國家／地區 Issuing Country/Region
	號碼 No.
其他身分證明文件／ 旅遊證件 Other Identification/ Travel Document	證件類別 Document Type
	簽發地點 Place of Issue
	號碼 No.

聯絡資料 Contact Details	
電郵地址 Email Address	
香港電話號碼 Hong Kong Telephone No.	(如適用) (if applicable)



須提交的證明文件的核對清單 (與申請表格 TCSP1 一併提交)

申請人	
以獨資經營人身分 經營業務的個人	<ul style="list-style-type: none"> ■ 已填妥的表格 TCSP1 的補充資料表格 (表格 TCSP1-SIS) ■ 已填妥的表格 TCSP1 的補充資料表格 2A (表格 TCSP1-SIS2A) ■ 有效商業登記證的複本 ■ 商業登記冊內的資料摘錄的複本 ■ 已填妥的適當人選陳述書 (表格 TCSP4) ■ 香港身分證／護照的個人資料頁／其他身分證明文件／旅遊證件的複本
合夥	<ul style="list-style-type: none"> ■ 已填妥的表格 TCSP1 的補充資料表格 (表格 TCSP1-SIS) ■ 已填妥的表格 TCSP1 的補充資料表格 2A (表格 TCSP1-SIS2A) ■ 有效商業登記證的複本 ■ 商業登記冊內的資料摘錄的複本 ■ 經申請人的所有合夥人簽署授權有關的合夥人作出本申請的授權書的複本
法團 (在香港成立為法團)	<ul style="list-style-type: none"> ■ 已填妥的表格 TCSP1 的補充資料表格 (表格 TCSP1-SIS) ■ 已填妥的表格 TCSP1 的補充資料表格 2A (表格 TCSP1-SIS2A) ■ 有效商業登記證的複本 ■ 由申請人的董事局發出授權有關的董事作出本申請的授權書的複本 ■ 集團架構⁽¹⁾及集團每一成員⁽¹⁾的持股量百分率的資料
法團 (在香港以外地方 成立為法團)	<ul style="list-style-type: none"> ■ 已填妥的表格 TCSP1 的補充資料表格 (表格 TCSP1-SIS) ■ 已填妥的表格 TCSP1 的補充資料表格 2A (表格 TCSP1-SIS2A) ■ 有效商業登記證的複本 ■ 商業登記冊內的資料摘錄的複本 (如該法團並沒有在公司註冊處註冊) ■ 由申請人的董事局發出授權有關的董事作出本申請的授權書的複本 ■ 集團架構⁽¹⁾及集團每一成員⁽¹⁾的持股量百分率的資料
申請人的每一名屬個人的最終擁有人／合夥人／董事	
	<ul style="list-style-type: none"> ■ 已填妥的適當人選陳述書 (表格 TCSP4) 或證明該人士屬會計師、律師或外地律師的文件的複本 (請參閱填表須知第 13 項) ■ 香港身分證／護照的個人資料頁／其他身分證明文件／旅遊證件的複本
申請人的每一名屬法團的合夥人／董事	
在香港成立的法團	<ul style="list-style-type: none"> ■ 已填妥的適當人選陳述書 (表格 TCSP5) (連同由該法團的董事局發出授權有關董事簽署表格 TCSP5 的授權書) 或證明該法團屬會計師執業法團、認可機構或持牌法團的文件的複本(請參閱填表須知第 15 項) ■ 有效商業登記證的複本
在公司註冊處註冊的 註冊非香港公司	<ul style="list-style-type: none"> ■ 已填妥的適當人選陳述書 (表格 TCSP5) (連同由該法團的董事局發出授權有關董事簽署表格 TCSP5 的授權書) 或證明該法團屬認可機構或持牌法團的文件的複本 (請參閱填表須知第 15 項) ■ 有效商業登記證的複本
在香港以外地方 成立為法團而沒有在 公司註冊處註冊的法團	<ul style="list-style-type: none"> ■ 已填妥的適當人選陳述書 (表格 TCSP5) (連同由該法團的董事局發出授權有關董事簽署表格 TCSP5 的授權書) 或證明該法團屬認可機構或持牌法團的文件的複本 (請參閱填表須知第 15 項) ■ 由法團成立所在地方發出的「公司迄今仍註冊證書」或同類文件的複本

註:

- (1) 「集團架構」是指顯示直接或間接持有申請人的股份及／或有股份由申請人持有的所有公司的組織架構。「集團成員」則是指任何這些公司。

TCSP1

Checklist for submission of supporting documents (to be submitted with Form TCSP1)

Applicant	
Individual carrying on business as a sole proprietor	<ul style="list-style-type: none"> ■ A completed Supplementary Information Sheet for Form TCSP1 (Form TCSP1-SIS) ■ A completed Supplementary Information Sheet 2A for Form TCSP1 (Form TCSP1-SIS2A) ■ A copy of valid Business Registration Certificate ■ A copy of Extract of Information on the Business Register ■ A completed Statement as regards Fit and Proper Criteria (Form TCSP4) ■ A copy of Hong Kong Identity Card / Bio-data page of the Passport / Other Identification / Travel Document
Partnership	<ul style="list-style-type: none"> ■ A completed Supplementary Information Sheet for Form TCSP1 (Form TCSP1-SIS) ■ A completed Supplementary Information Sheet 2A for Form TCSP1 (Form TCSP1-SIS2A) ■ A copy of valid Business Registration Certificate ■ A copy of Extract of Information on the Business Register ■ A copy of the authorization letter signed by all partners of the applicant authorizing the partner to make the application
Corporation (incorporated in Hong Kong)	<ul style="list-style-type: none"> ■ A completed Supplementary Information Sheet for Form TCSP1 (Form TCSP1-SIS) ■ A completed Supplementary Information Sheet 2A for Form TCSP1 (Form TCSP1-SIS2A) ■ A copy of valid Business Registration Certificate ■ A copy of the authorization letter issued by the board of directors of the applicant authorizing the director to make the application ■ Information of group structure⁽¹⁾ and percentage of shareholdings of each group member⁽¹⁾
Corporation (incorporated outside Hong Kong)	<ul style="list-style-type: none"> ■ A completed Supplementary Information Sheet for Form TCSP1 (Form TCSP1-SIS) ■ A completed Supplementary Information Sheet 2A for Form TCSP1 (Form TCSP1-SIS2A) ■ A copy of valid Business Registration Certificate ■ A copy of Extract of Information on the Business Register if the corporation has not registered with the Companies Registry ■ A copy of the authorization letter issued by the board of directors of the applicant authorizing the director to make the application ■ Information of group structure⁽¹⁾ and percentage of shareholdings of each group member⁽¹⁾
Each of Applicant's Ultimate Owner(s) / Partner(s) / Director(s) who is an Individual	
	<ul style="list-style-type: none"> ■ A completed Statement as regards Fit and Proper Criteria (Form TCSP4) <u>or</u> a copy of the document proving that the person is a certified public accountant, a solicitor or a foreign lawyer (please refer to Item 13 of the Notes for Completion) ■ A copy of Hong Kong Identity Card / Bio-data page of the Passport / Other Identification / Travel Document
Each of Applicant's Partner(s) / Director(s) which is a Corporation	
Corporation incorporated in Hong Kong	<ul style="list-style-type: none"> ■ A completed Statement as regards Fit and Proper Criteria (Form TCSP5) (together with a copy of the authorization letter issued by the board of directors of the corporation authorizing the director to sign the Form TCSP5) <u>or</u> a copy of the document proving that the corporation is a corporate practice of certified public accountants, an authorized institution or a licensed corporation (please refer to Item 15 of the Notes for Completion) ■ A copy of valid Business Registration Certificate
Registered non-Hong Kong company registered with the Companies Registry	<ul style="list-style-type: none"> ■ A completed Statement as regards Fit and Proper Criteria (Form TCSP5) (together with a copy of the authorization letter issued by the board of directors of the corporation authorizing the director to sign the Form TCSP5) <u>or</u> a copy of the document proving that the corporation is an authorized institution or a licensed corporation (please refer to Item 15 of the Notes for Completion) ■ A copy of valid Business Registration Certificate
Corporation incorporated outside Hong Kong which is NOT registered with the Companies Registry	<ul style="list-style-type: none"> ■ A completed Statement as regards Fit and Proper Criteria (Form TCSP5) (together with a copy of the authorization letter issued by the board of directors of the corporation authorizing the director to sign the Form TCSP5) <u>or</u> a copy of the document proving that the corporation is an authorized institution or a licensed corporation (please refer to Item 15 of the Notes for Completion) ■ A copy of the Certificate of Continuing Registration or equivalent issued by the place of incorporation of the corporation

Note:

- (1) 'Group structure' refers to the organisational structure showing all companies which directly or indirectly hold the shareholdings of the applicant and/or have shareholdings held by the applicant. 'Group member' refers to any of these companies.

填表須知

一般事項

1. 根據香港法例第 615 章《打擊洗錢及恐怖分子資金籌集條例》(下稱「《打擊洗錢條例》」) 第 53F(1) 條的規定，任何人在沒有牌照的情況下經營信託或公司服務業務，即屬犯罪。《打擊洗錢條例》第 53F(2) 條訂明，任何人干犯第 53F(1) 條所訂罪行，一經定罪，可被處罰款港幣 100,000 元及監禁 6 個月。本表格是用以向公司註冊處處長(下稱「處長」)根據《打擊洗錢條例》第 53G 條申請批給牌照。
2. 申請人可以是獨資經營人身分經營業務的個人、合夥或法團。在作出申請前，申請人須閱讀處長發出的《信託或公司服務提供者發牌指引》及《打擊洗錢及恐怖分子資金籌集指引(信託或公司服務持牌人適用)》，了解信託或公司服務持牌人須遵從的法規及責任。上述指引可於公司註冊處(下稱「本處」)信託及公司服務提供者發牌制度的網站(www.tcsp.cr.gov.hk)下載。
3. 本表格 **必須連同已填妥的表格 TCSP1 的補充資料表格 (表格 TCSP1-SIS)、已填妥的表格 TCSP1 的補充資料表格 2A (表格 TCSP1-SIS2A)、有效的商業登記證的複本及所有相關證明文件一併交付**。有關所須證明文件的詳情，請參閱本表格的「須提交的證明文件的核對清單」。本處不接納沒有隨附所有相關證明文件的表格。
4. 處長僅可在信納以獨資經營人身分經營業務的申請人／申請人的每名合夥人(如申請人屬合夥)／申請人的每名董事(如申請人屬法團)及申請人的每名最終擁有人是屬經營信託或公司服務業務或(視乎有關情況)屬與經營信託或公司服務業務有聯繫的適當人選的情況下，向申請人批給牌照。
5. 請劃一以中文或英文填報各項所需資料。如以中文填報申請表格，請用繁體字。
6. 如本表格是以印本形式交付本處，你可郵寄本表格及所有相關證明文件到「香港九龍九龍灣宏遠街 1 號「一號九龍」12 樓 1208 室信託及公司服務提供者註冊辦事處」，或親身到上址交付。申請人獲批給牌照後，本處會通知申請人親身領取牌照。如申請人委託他人代領，需要簽署授權書。

費用

7. 申請人須繳付申請批給牌照費用港幣 3,440 元，並就每個須予評定是否屬適當人選的人，另加費用港幣 975 元。本表格必須連同正確費用一併交付，否則本表格不會被本處接納。如以支票繳付費用，該支票須劃線並以港幣發出，抬頭請註明「公司註冊處」。請勿郵寄現金。

簽署

8. 本表格必須由擬以獨資經營人身分經營信託或公司服務業務的申請人、一名獲申請人授權的合夥人(如申請人屬合夥)或一名獲申請人授權的董事(如申請人屬法團)簽署並核證第五部「證明書」內的各項陳述。如表格由申請人的獲授權合夥人／董事簽署，**本表格必須連同經申請人的所有合夥人簽署／由申請人的董事局發出的授權書複本一併交付**。本處不接納未簽妥的表格。

填表須知

個別項目的備註 (請參照表格上的備註編號)

第一部 申請人詳情

9. 申請人姓名／名稱可以是英文及／或中文姓名／名稱。申請人如屬:-
- (a) 以獨資經營人身分經營業務的個人，則須填報該個人的姓名；
 - (b) 合夥，則須填報該合夥的名稱；或
 - (c) 法團，則須填報該法團的名稱，即「公司註冊證明書」／「公司更改名稱證明書」或「非香港公司註冊證明書」／「註冊非香港公司變更名稱註冊證明書」／「遷冊證明書」上所載的名稱。
10. 有關「成立／註冊／註冊為經遷冊公司的日期」一項：
- (a) 如該法團是在香港成立的公司，請填報在香港成立的日期；
 - (b) 如該法團為註冊非香港公司，請填報在香港註冊的日期；
 - (c) 如該法團是經遷冊公司，請填報遷冊日期。

第二部 申請人／申請人的最終擁有人／合夥人／董事的詳情 - 屬個人

11. 請提供該個人的有效通訊地址。如屬非香港地址，請同時填報所屬國家／地區。本處不接納「轉交」地址或郵政信箱號碼。
12. 請填報該個人的香港身分證號碼或其所持有護照的號碼及簽發國家／地區(如該個人並非香港身分證持有人)。如該個人並非香港身分證持有人亦沒有任何國家的護照，但持有其他身分證明文件或旅遊證件，請在「其他身分證明文件／旅遊證件」項填報有關資料。
13. **每名於本項填報的個人的「適當人選陳述書」(表格 TCSP4)必須連同本表格及所須費用一併提交**，但如有關的個人屬《打擊洗錢條例》第 53B 條所述明該條例第 5A 部不適用的人士(例如會計師(按照《專業會計師條例》(第 50 章)第 2(1)條所界定的涵義)／執業會計師(按照《會計及財務匯報局條例》(第 588 章)第 2(1)條所界定的涵義)、律師(按照《法律執業者條例》(第 159 章)第 2(1)條所界定的涵義)及外地律師(按照《法律執業者條例》(第 159 章)第 2(1)條所界定的涵義))，則屬例外。如該個人屬《打擊洗錢條例》第 53B 條所述任何一項類別的人士，只須連同本表格一併提交證明該個人屬有關類別的文件的複本。詳情請參閱《信託或公司服務提供者發牌指引》第 3 章。

第三部 申請人的合夥人／董事的詳情 - 屬法團

14. 有關「成立／註冊／註冊為經遷冊公司的日期」一項：
- (a) 如該法團是在香港成立的公司，請填報在香港成立的日期；
 - (b) 如該法團為註冊非香港公司，請填報在香港註冊的日期；
 - (c) 如該法團是經遷冊公司，請填報遷冊日期。
15. **每個於本項填報的法團的「適當人選陳述書」(表格 TCSP5)必須連同本表格及所須費用一併提交**，但如有關的法團屬《打擊洗錢條例》第 53B 條所述明該條例第 5A 部不適用的人士(例如執業法團(按照《會計及財務匯報局條例》(第 588 章)第 2(1)條所界定的涵義)、認可機構(按照《銀行業條例》(第 155 章)第 2(1)條所界定的涵義)及在香港經營信託或公司服務業務的持牌法團(按照《證券及期貨條例》(第 571 章)附表 1 第 1 部第 1 條所界定的涵義)(前提是該業務附屬於該法團的主要業務))，則屬例外。如該法團屬《打擊洗錢條例》第 53B 條所述的任何一項類別的人士，只須連同本表格一併提交證明該法團屬有關類別的文件的複本。詳情請參閱《信託或公司服務提供者發牌指引》第 3 章。

填表須知

第四部 合規主任及／或洗錢報告主任的詳情

16. 根據《打擊洗錢及恐怖分子資金籌集指引(信託或公司服務持牌人適用)》第 3.4 段，任何信託或公司服務持牌人須顧及其業務的性質、規模及複雜程度，以及該等業務所引起的洗錢及恐怖分子資金籌集風險，實施相應的打擊洗錢及恐怖分子資金籌集政策、程序及管控措施，而有關制度須包括合規管理安排。根據該指引第 3.5 段，合規管理安排須包括委任一名合規主任及一名洗錢報告主任。視乎信託或公司服務持牌人的規模，合規主任及洗錢報告主任的職能可由同一人履行。不過，每名信託或公司服務持牌人應確保持牌人業務的各層人員均遵從打擊洗錢及恐怖分子資金籌集的規定。
17. 如申請人為公司集團的成員，而擬出任合規主任及／或洗錢報告主任的人士為其屬信託或公司服務持牌人的母公司或集團其他公司的高級經理，請於空格內填報有關公司的名稱及其在該公司擔任的職位。
18. 請填報該人士的香港身分證號碼或其所持有護照的號碼及簽發國家／地區(如該人士並非香港身分證持有人)。如該人士並非香港身分證持有人亦沒有任何國家的護照，但持有其他身分證明文件或旅遊證件，請在「其他身分證明文件／旅遊證件」項填報有關資料。

填表須知

收集個人資料聲明

收集目的

1. 依據《打擊洗錢及恐怖分子資金籌集條例》(第 615 章)(下稱「《打擊洗錢條例》」)的規定向公司註冊處處長(下稱「處長」)提供的個人資料，處長會作為下列一項或一項以上用途：
 - (a) 根據《打擊洗錢條例》處理有關信託或公司服務牌照的申請或牌照續期的申請；
 - (b) 根據《打擊洗錢條例》處理有關批准成為信託或公司服務持牌人的最終擁有人／合夥人／董事的申請，或具報詳情有所改變的通知書；
 - (c) 實施《打擊洗錢條例》；
 - (d) 執行《打擊洗錢條例》的有關條文(包括信託或公司服務提供者牌照的相關條件)；
 - (e) 備存載有每名持牌人的姓名或名稱及其營業地址的信託或公司服務持牌人登記冊(下稱「登記冊」)讓公眾查閱；
 - (f) 在收取費用後為任何人提供登記冊內某記項／登記冊的摘錄的核證複本，或處長根據《打擊洗錢條例》所發出的證明書；及
 - (g) 就處長根據《打擊洗錢條例》行使紀律處分權力的個案，向公眾披露個案的重要事實。
2. 向處長提供所須的個人資料屬《打擊洗錢條例》的規定。如未能提供所須的個人資料，公司註冊處將無法處理有關申請／通知書。

獲轉交資料的人士

3.
 - (a) 所收集的某些個人資料會記錄在登記冊內供公眾查閱。
 - (b) 你提供的個人資料可能會根據《打擊洗錢條例》的第 76C、76D 及 76F 條向其他政府政策局／部門、監管當局／機構或任何其他人士披露；或在法律授權或規定的情況下作出此等披露。

公告

4. 《個人資料(私隱)條例》(第 486 章)的條文，適用於如何使用從登記冊取得的個人資料。任何使用個人資料的人士，如將資料作為並非「收集個人資料聲明」所述的用途，或違反《個人資料(私隱)條例》的規定，均須支付補償，並可能遭受根據該條例而採取的執法行動。
5. 依據《個人資料(私隱)條例》第 18 和 22 條規定，任何個人均有權查閱與更正處長備存的登記冊內有關其本人的資料。如須查閱和更正這些資料，可到以下辦事處提出要求：

香港九龍九龍灣宏遠街 1 號
「一號九龍」12 樓 1208 室
信託及公司服務提供者註冊辦事處

Notes for Completion

General

1. Under section 53F(1) of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615) (“the AMLO”), a person commits an offence if the person carries on a trust or company service business without a licence. Section 53F(2) of the AMLO provides that a person who commits an offence under section 53F(1) is liable on conviction to a fine of HK\$100,000 and imprisonment for 6 months. This form should be used for applying to the Registrar of Companies (“the Registrar”) for the grant of a licence under section 53G of the AMLO.
2. The applicant can be an individual carrying on business as a sole proprietor, a partnership or a corporation. Before making the application, the applicant should read the ‘Guideline on Licensing of Trust or Company Service Providers’ and the ‘Guideline on Anti-Money Laundering and Counter-Financing of Terrorism (For Trust or Company Service Provider Licensees)’ issued by the Registrar and understand the statutory obligations and duties of a trust or company service provider (“TCSP”) licensee. The aforesaid Guidelines are available for download at the website of the Companies Registry’s Trust and Company Service Providers Licensing Regime (www.tcsp.cr.gov.hk).
3. This form **must be accompanied by a completed Supplementary Information Sheet for Form TCSP1 (Form TCSP1-SIS), a completed Supplementary Information Sheet 2A for Form TCSP1 (Form TCSP1-SIS2A), a copy of a valid business registration certificate and all the relevant supporting documents.** For details of the required supporting documents, please refer to the ‘Checklist for submission of supporting documents’ of this form. A form which is not accompanied by all the relevant supporting documents will be rejected by the Companies Registry (“the Registry”).
4. A licence may be granted only if the Registrar is satisfied that the applicant who is an individual carrying on business as a sole proprietor, each ultimate owner of the applicant, each partner of the applicant where the applicant is a partnership, and each director of the applicant where the applicant is a corporation is fit and proper to carry on or, as the case may be, to be associated with a trust or company service business.
5. Please fill in all particulars and complete all items consistently in either Chinese or English. Traditional Chinese characters should be used if the application form is completed in Chinese.
6. If this form is delivered to the Registry in hard copy form, it can be delivered together with all supporting documents by post or in person to ‘The Registry for Trust and Company Service Providers, Unit 1208, 12th floor, One Kowloon, 1 Wang Yuen Street, Kowloon Bay, Kowloon, Hong Kong’. The Registry will notify the applicant to collect the licence in person after a licence is granted. A written authorization will be required if the applicant sends a representative to collect the licence.

Fees

7. An application fee for the grant of a licence of HK\$3,440 and an additional fee of HK\$975 for each person subject to the fit and proper test are payable. This form must be delivered together with the correct fees. A form which is not delivered with the correct fee will be rejected by the Registry. If the fee is paid by cheque, the cheque should be crossed and issued in Hong Kong Dollars payable to ‘Companies Registry’. Please do not send cash.

Signature

8. This form must be signed by the applicant who would carry on trust or company service business as a sole proprietor, a partner authorized by the applicant which is a partnership or a director authorized by the applicant which is a corporation. The person who signs the form should certify the statements in Part 5. If the form is signed by an authorized partner/a director of the applicant, **this form must be accompanied by a copy of the authorization letter signed by all partners of the applicant/issued by the board of directors of the applicant.** A form which is not properly signed will be rejected by the Registry.

Notes for Completion

Notes for specific items (please refer to the form for the note numbers)

Part 1 Particulars of Applicant

9. The name of the applicant may be in English or in Chinese or both. If the applicant is :-
- an individual carrying on business as sole proprietor, the name of the individual should be stated;
 - a partnership, the name of the partnership should be stated; or
 - a corporation, the name of the corporation, i.e. the name stated on the Certificate of Incorporation / Certificate of Change of Name or the Certificate of Registration of Non-Hong Kong Company / Certificate of Registration of Alteration of Name of Registered Non-Hong Kong Company / Certificate of Re-domiciliation, should be stated.
10. For the item 'Date of Incorporation / Registration / Registration as Re-domiciled Company':
- if the corporation is a company incorporated in Hong Kong, please state the date of incorporation in Hong Kong;
 - if the corporation is a registered non-Hong Kong company, please state the date of registration in Hong Kong;
 - if the corporation is a re-domiciled company, please state the re-domiciliation date.

Part 2 Particulars of Applicant / Applicant's Ultimate Owner / Partner / Director – Individual

11. Please provide a valid correspondence address of the individual. If a non-Hong Kong address is given, please also complete the box for 'Country / Region'. 'Care of' addresses or post office box numbers are not acceptable.
12. The Hong Kong Identity Card Number of the individual, or if the individual does not hold a Hong Kong Identity Card, the number and issuing country / region of the passport of the individual should be stated. If the individual holds neither a Hong Kong Identity Card nor a passport, but holds other identification or travel documents, please state the relevant particulars in the boxes under 'Other Identification / Travel Document'.
13. Except where the individual is a type of person listed in section 53B of the AMLO to whom Part 5A of the AMLO does not apply (i.e. a certified public accountant (as defined by section 2(1) of the Professional Accountants Ordinance (Cap. 50)) / a certified public accountant (practising) (as defined by section 2(1) of the Accounting and Financial Reporting Council Ordinance (Cap 588)), a solicitor (as defined by section 2(1) of the Legal Practitioners Ordinance (Cap. 159)) and a foreign lawyer (as defined by section 2(1) of the Legal Practitioners Ordinance (Cap. 159))), **a Statement as regards Fit and Proper Criteria (Form TCSP4) of each individual stated in this part must be submitted with the required fee together with this form.** If the individual belongs to one of the categories listed in section 53B of the AMLO, a copy of the document proving that the individual belongs to that category should be provided together with this form. Please refer to Chapter 3 of the 'Guideline on Licensing of Trust or Company Service Providers'.

Notes for Completion

Part 3 Particulars of Applicant's Partner / Director – Corporation

14. For the item 'Date of Incorporation / Registration / Registration as Re-domiciled Company':
- if the corporation is a company incorporated in Hong Kong, please state the date of incorporation in Hong Kong;
 - if the corporation is a registered non-Hong Kong company, please state the date of registration in Hong Kong;
 - if the corporation is a re-domiciled company, please state the re-domiciliation date.
15. Except where the corporation is a type of person listed in section 53B of the AMLO to whom Part 5A of the AMLO does not apply (i.e. a corporate practice (as defined by section 2(1) of the Accounting and Financial Reporting Council Ordinance (Cap. 588)), an authorized institution (as defined by section 2(1) of the Banking Ordinance (Cap. 155)) and a licensed corporation (as defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap. 571) that operates a trust or company service business in Hong Kong that is ancillary to the corporation's principal business)), **a Statement as regards Fit and Proper Criteria (Form TCSP5) of each corporation stated in this part must be submitted with the required fee together with this form.** If the corporation belongs to one of the categories listed in section 53B of the AMLO, a copy of the document proving that the corporation belongs to that category should be provided together with this form. Please refer to Chapter 3 of the 'Guidelines on Licensing of Trust or Company Service Providers'.

Part 4 Particulars of Compliance Officer ("CO") and / or Money Laundering Reporting Officer ("MLRO")

16. Under paragraph 3.4 of the 'Guideline on Anti-Money Laundering and Counter-Financing of Terrorism (For Trust or Company Service Provider Licensees)', a TCSP licensee is required to implement anti-money laundering and counter-financing of terrorism policies, procedures and controls having regard to the nature, size and complexity of its businesses and the money laundering and terrorist financing risks arising from those businesses, and which should include compliance management arrangements. Under paragraph 3.5 of that Guideline, such compliance management arrangements should include appointment of a CO and an MLRO. Depending on the size of a TCSP licensee, the functions of CO and MLRO may be performed by the same person. However, every TCSP licensee should ensure that the anti-money laundering and counter-financing of terrorism requirements are complied with by different levels of staff of the licensee's business.
17. If the applicant is a member of a group of companies and the person to be appointed as the CO and / or MLRO is a senior manager of its parent company or other companies within the group which is a TCSP licensee, please state the name of the relevant company and the position in that company in the boxes provided.
18. The Hong Kong Identity Card Number of the person, or if the person does not hold a Hong Kong Identity Card, the number and issuing country / region of the passport of the individual should be stated. If the individual holds neither a Hong Kong Identity Card nor a passport, but holds other identification or travel documents, please state the relevant particulars in the boxes under 'Other Identification / Travel Document'.

Notes for Completion

Personal Information Collection Statement (“PICS”)

Purpose of Collection

1. Personal data provided to the Registrar of Companies (“the Registrar”) pursuant to the requirements of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Chapter 615) (“the AMLO”) will be used by the Registrar for one or more of the following purposes:
 - (a) to process applications for licences for Trust or Company Service Providers (“TCSPs”) or their renewals under the AMLO;
 - (b) to process applications for approvals to become an ultimate owner / a partner / a director of a TCSP licensee or notifications of changes in particulars under the AMLO;
 - (c) to administer the AMLO;
 - (d) to enforce relevant provisions of the AMLO (including relevant conditions of TCSP licences);
 - (e) to maintain a register of TCSP licensees (“the Register”) containing the name of every licensee and its business address for public inspection;
 - (f) to provide a certified copy of an entry in / an extract from the Register or a certificate issued by the Registrar under the AMLO to any person subject to payment of a fee; and
 - (g) to disclose to the public the material facts of cases in which the Registrar exercised disciplinary powers under the AMLO.
2. Provision of the required personal data to the Registrar is obligatory for compliance with the AMLO. The Companies Registry will not be able to process the relevant applications / notifications if the required personal data are not provided.

Classes of Transferees

3.
 - (a) Certain personal data collected will be disclosed in the Register for public inspection.
 - (b) The personal data you provide may be disclosed to government bureaux / departments, regulatory authorities / bodies or any other persons under sections 76C, 76D and 76F of the AMLO; or where such disclosure is authorized or required by law.

Notice

4. The provisions of the Personal Data (Privacy) Ordinance (Chapter 486) (“the PDPO”) apply to the use of personal data obtained from the Register. Any person who uses personal data for any purpose other than the purposes stated in the PICS or in contravention of the requirements under the PDPO is liable to pay compensation and may be subject to enforcement action under the PDPO.
5. Individuals have a right to request access to and correction of his / her personal data held in the Register maintained by the Registrar pursuant to sections 18 and 22 of the PDPO. Any such request for access to and correction of such personal data may be made to the Registry for Trust and Company Service Providers at:

Unit 1208, 12th Floor, One Kowloon
1 Wang Yuen Street, Kowloon Bay
Kowloon, Hong Kong