



批准成為信託或公司服務持牌人的最終擁有人／合夥人／董事申請書
Application for Approval to Become an Ultimate Owner／a Partner／
a Director of a Trust or Company Service Provider Licensee

第一部
Part 1

信託或公司服務持牌人的詳情
Particulars of Trust or Company Service Provider (“TCSP”) Licensee

持牌人姓名／名稱 Name of Licensee	中文姓名／名稱 Name in Chinese
持牌人姓名／名稱 Name of Licensee	英文姓名／名稱 Name in English
信託或公司服務提供者 牌照編號 TCSP Licence No.	

豁免 Exemption ²

香港法例第 615 章《打擊洗錢及恐怖分子資金籌集條例》第 53B 條所述的人士包括下述類別的個人或法團，無須取得公司註冊處處長(下稱「處長」)的批准，才可以成為信託或公司服務持牌人的最終擁有人／合夥人／董事，因而無須使用本表格向處長申請有關批准。

The persons listed in section 53B of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance, Chapter 615 including individuals or corporations belonging to any of the categories below are not required to obtain approval of the Registrar of Companies (“the Registrar”) to become an ultimate owner／a partner／a director of a trust or company service provider licensee and, hence, are not required to use this form to apply for the Registrar’s approval.

Individual 個人	Corporation 法團
<ul style="list-style-type: none"> ➢ 會計師 a certified public accountant ➢ 律師 a solicitor ➢ 外地律師 a foreign lawyer 	<ul style="list-style-type: none"> ➢ 會計師執業法團 a corporate practice of certified public accountants ➢ 認可機構 an authorized institution ➢ 持牌法團 a licensed corporation

請勿填寫本欄 For Official Use



第二部 Part 2

擬成為持牌人的最終擁有人／合夥人／董事的人士的詳情 – 屬個人 Particulars of the Person Proposed to Become Licensee's Ultimate Owner/Partner/Director – Individual

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(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))

身分 Capacity	請在適用的空格內加上✓號 Please tick the relevant box(es)
	向處長提出申請批准下述人士成為持牌人的： Application for approval of the Registrar for the following person to become Licensee's:
	<input type="checkbox"/> 最終擁有人 Ultimate Owner
	<input type="checkbox"/> 合夥人 Partner
	<input type="checkbox"/> 董事 Director

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)

擬成為持牌人的最終擁有人／合夥人／董事的人士的詳情－屬個人
Particulars of the Person Proposed to Become Licensee'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)



信託或公司服務提供者
牌照編號
TCSP Licence No.

第二部(續)
Part 2 (cont'd)

擬成為持牌人的最終擁有人／合夥人／董事的人士的詳情－屬個人
Particulars of the Person Proposed to Become Licensee'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.



信託或公司服務提供者
牌照編號
TCSP Licence No.

第三部 Part 3

擬成為持牌人的合夥人／董事的人士的詳情 – 屬法團 13 Particulars of the Person Proposed to Become Licensee'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))

身分 Capacity	<p>請在適用的空格內加上✓號 <i>Please tick the relevant box</i></p> <p>向處長提出申請批准下述法團成為持牌人的： Application for approval of the Registrar for the following corporation to become Licensee's:</p> <p><input type="checkbox"/> 合夥人 Partner</p> <p><input type="checkbox"/> 董事 Director</p>
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法團資料 Details of Corporation									
中文名稱 Name in Chinese									
英文名稱 Name in English									
公司編號 Company No.	(只適用於在香港成立或註冊的法團) (Only applicable to corporation incorporated or registered in HK)								
成立所在地 Place of Incorporation	<p>請在適用的空格內加上✓號 <i>Please tick the relevant box</i></p> <p><input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 其他 (請註明) Others (Please specify)</p>								
成立／註冊日期 Date of Incorporation / Registration	<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px;">14</div> <table border="1" style="margin-left: 5px;"> <tr> <td style="width: 20px;">日D</td><td style="width: 20px;">日D</td><td style="width: 20px;">月M</td><td style="width: 20px;">月M</td><td style="width: 20px;">年Y</td><td style="width: 20px;">年Y</td><td style="width: 20px;">年Y</td><td style="width: 20px;">年Y</td> </tr> </table> </div>	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		
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)								



第三部(續)
Part 3 (cont'd)

擬成為持牌人的合夥人／董事的人士的詳情 – 屬法團
Particulars of the Person Proposed to Become Licensee'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)



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第四部 **證明書**
Part 4 **Certification**

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 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) 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.
- (d) 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
數目 Number		

簽署 : _____ 簽署日期 :

日D	日D	月M	月M	年Y	年Y	年Y	年Y

姓名 : _____
Name : _____

- 以獨資經營人身分經營業務的持牌人 Licensee who carries on business as sole proprietor
 獲持牌人授權的合夥人 Authorized partner of Licensee
 獲持牌人授權的董事 Authorized director of Licensee

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



續頁 A Continuation Sheet A

信託或公司服務提供者 牌照編號 TCSP Licence No.

第二部 Part 2

擬成為持牌人的最終擁有人／合夥人／董事的人士的詳情 – 屬個人 10 Particulars of the Person Proposed to Become Licensee's Ultimate Owner / Partner / Director – Individual

身分 Capacity	請在適用的空格內加上✓號 <i>Please tick the relevant box(es)</i>
	<p>向處長提出申請批准下述人士成為持牌人的： Application for approval of the Registrar for the following person to become Licensee's:</p> <p><input type="checkbox"/> 最終擁有人 Ultimate Owner</p> <p><input type="checkbox"/> 合夥人 Partner</p> <p><input type="checkbox"/> 董事 Director</p>

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



續頁 A Continuation Sheet A

信託或公司服務提供者
牌照編號
TCSP Licence No.

第二部(續) Part 2 (cont'd)

擬成為持牌人的最終擁有人／合夥人／董事的人士的詳情－屬個人
Particulars of the Person Proposed to Become Licensee'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 B Continuation Sheet B

信託或公司服務提供者 牌照編號 TCSP Licence No.

第三部 Part 3 擬成為持牌人的合夥人／董事的人士的詳情 – 屬法團 ¹³ Particulars of the Person Proposed to Become Licensee's Partner / Director – Corporation

身分 Capacity	請在適用的空格內加上✓號 Please tick the relevant box
	向處長提出申請批准下述法團成為持牌人的： Application for approval of the Registrar for the following corporation to become Licensee's:
	<input type="checkbox"/> 合夥人 Partner
	<input type="checkbox"/> 董事 Director

法團資料 Details of Corporation	
中文名稱 Name in Chinese	
英文名稱 Name in English	
公司編號 Company No.	(只適用於在香港成立或註冊的法團) (Only applicable to corporation incorporated or registered in HK)
成立所在地 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／註冊日期 Date of Incorporation/ Registration	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)



續頁 B Continuation Sheet B

信託或公司服務提供者 牌照編號 TCSP Licence No.

第三部(續) Part 3 (cont'd) 擬成為持牌人的合夥人／董事的人士的詳情 – 屬法團 Particulars of the Person Proposed to Become Licensee'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)



TCSP3

須提交的證明文件的核對清單 (與申請表格 TCSP3 一併提交)

持牌人的授權書	
持牌人屬合夥	■ 經持牌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
持牌人屬法團	■ 由持牌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
每一名擬成為持牌人的最終擁有人／合夥人／董事的人士	
個人	■ 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
在香港成立的法團	■ 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) ■ 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	■ 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) ■ 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	■ 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) ■ 由法團成立所在地發出的「公司迄今仍註冊證書」或同類文件的複本

Checklist for submission of supporting documents (to be submitted with Form TCSP3)

Licensee's Authorization Letter	
Licensee which is a partnership	■ A copy of the authorization letter signed by all partners of the licensee authorizing the partner to make the application
Licensee which is a corporation	■ A copy of the authorization letter issued by the board of directors of the licensee authorizing the director to make the application
Each Person Proposed to Become Licensee's Ultimate Owner / Partner / Director	
Individual	■ 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
Corporation incorporated in Hong Kong	■ 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) ■ A copy of valid Business Registration Certificate
Registered non-Hong Kong company registered with the Companies Registry	■ 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) ■ A copy of valid Business Registration Certificate
Corporation incorporated outside Hong Kong which is NOT registered with the Companies Registry	■ 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) ■ A copy of the Certificate of Continuing Registration or equivalent issued by the place of incorporation of the corporation

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 53S, 53T 及 53U 條的規定，除非公司註冊處處長(下稱「處長」)給予書面批准，否則任何人不得成為信託或公司服務持牌人(下稱「持牌人」)的最終擁有人／合夥人／董事。持牌人須使用本表格向處長提出申請有關批准。
2. 在作出申請前，持牌人須閱讀處長發出的《信託或公司服務提供者發牌指引》，了解向處長提出申請批准某人成為持牌人的最終擁有人／合夥人／董事的規定及程序，以及就有關規定的豁免。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。請注意，上述第 1 段的規定並不適用於《打擊洗錢條例》第 53B 條所述各類別的人士，包括：-
 - (a) 認可機構(按照《銀行業條例》(第 155 章)所界定的涵義)；
 - (b) 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)所界定的涵義(前提是該業務附屬於該法團的主要業務))；
 - (c) 《專業會計師條例》(第 50 章)所界定的會計師／《會計及財務匯報局條例》(第 588 章)所界定的執業會計師或執業法團；及
 - (d) 《法律執業者條例》(第 159 章)所界定的律師或外地律師。
3. 本表格**必須連同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. 處長僅可在信納擬成為持牌人的最終擁有人／合夥人／董事的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給予批准。
5. 如申請獲批，本處會向持牌人發出書面批准。持牌人可作出所需安排，讓獲批准人士成為其最終擁有人／合夥人／董事。持牌人須在該人士正式成為其最終擁有人／合夥人／董事之日起計的一個月內，以表格 TCSP6 - 「詳情改變通知書」向處長具報加入新的最終擁有人／合夥人／董事。
6. 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。
7. 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。申請獲批准後，本處會以書面方式通知持牌人。

費用

8. 持牌人須就有關申請所關乎的每個人，繳付申請費港幣 1,140 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

9. 本表格必須由以獨資經營人身分經營業務的持牌人、一名獲持牌人授權的合夥人(如持牌人屬合夥)或一名獲持牌人授權的董事(如持牌人屬法團)簽署並核證第四部「證明書」內的各項陳述。如表格由持牌人的獲授權合夥人／董事簽署，**本表格必須連同經合夥的所有合夥人簽署／由法團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)

第二部 擬成為持牌人的最終擁有人／合夥人／董事的人士的詳情 - 屬個人

10. 每名於本部填報的個人的「適當人選陳述書」(表格 TCSP4)及相關費用必須連同本表格一併提交。
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。

第三部 擬成為持牌人的合夥人／董事的人士的詳情 - 屬法團

13. 每個於本部填報的法團的「適當人選陳述書」(表格 TCSP5)及相關費用必須連同本表格一併提交。
14. 如該法團為註冊非香港公司，則請在「成立／註冊日期」項填報在香港註冊的日期。

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在符合法律的限制下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 53ZJ 及 53ZK 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。

填表須知

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 sections 53S, 53T and 53U of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615) (“the AMLO”), a person must not become an ultimate owner / a partner / a director of a trust or company service provider licensee (“licensee”) unless the Registrar of Companies (“the Registrar”) gives approval in writing. This form should be used by the licensee to make an application to the Registrar for the approval.
2. Before making the application, the licensee should read the ‘Guideline on Licensing of Trust or Company Service Providers’ issued by the Registrar and understand the requirements and procedures for licensee’s application for the Registrar’s approval of a person to become a licensee’s ultimate owner / partner / director as well as the exemptions to the requirements. The aforesaid guideline is available for download at the website of the Companies Registry’s Trust and Company Service Providers Licensing Regime (www.tcsp.cr.gov.hk). Please note that the requirements stated in Note 1 above do not apply to the category of persons listed in section 53B of the AMLO, including:-
 - (a) an authorized institution (as defined in the Banking Ordinance (Cap. 155));
 - (b) a licensed corporation (as defined in 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);
 - (c) a certified public accountant as defined by the Professional Accountants Ordinance (Cap. 50) / a certified public accountant (practising) or a corporate practice as defined by the Accounting and Financial Reporting Council Ordinance (Cap. 588); and
 - (d) a solicitor or a foreign lawyer as defined in the Legal Practitioners Ordinance (Cap. 159).
3. This form ***should be accompanied by 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. Approval may be granted only if the Registrar is satisfied that the person proposed to become a licensee’s ultimate owner / partner / director is fit and proper to carry on or, as the case may be, to be associated with a trust or company service business.
5. If the application is successful, an approval in writing will be issued to the licensee. The licensee can make necessary arrangements for the approved person to become the licensee’s ultimate owner / partner / director. Within one month beginning on the date on which the person actually becomes the licensee’s ultimate owner / partner / director, the licensee must notify the Registrar of the addition of the ultimate owner / partner / director using a Form TCSP6 – Notification of Changes in Particulars.
6. 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.
7. 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 licensee in writing after approval is granted.

Fees

8. An application fee of HK\$1,140 is payable for each person in respect of whom the application is made. 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.

Notes for Completion

Signature

9. This form must be signed by the licensee who carries on business as a sole proprietor, a partner authorized by the licensee which is a partnership or a director authorized by the licensee which is a corporation. The person who signs the form should certify the statements in Part 4. If the form is signed by an authorized partner / director of the licensee, **this form must be accompanied by a copy of the authorization letter signed by all partners of the partnership / issued by the board of directors of the corporation.** A form which is not properly signed will be rejected by the Registry.

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

Part 2 Particulars of the Person Proposed to Become Licensee's Ultimate Owner / Partner / Director – Individual

10. A Statement as regards Fit and Proper Criteria (Form TCSP4) of each individual stated in this Part and the required fee must be submitted together with this form.
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'.

Part 3 Particulars of the Person Proposed to Become Licensee's Partner / Director – Corporation

13. A Statement as regards Fit and Proper Criteria (Form TCSP5) of each corporation stated in this Part and the required fee must be submitted together with this form.
14. If the corporation is a registered non-Hong Kong company, please state the date of registration in Hong Kong in the item 'Date of Incorporation / Registration'.

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 subject to any restriction in law.
 - (b) The personal data you provide may be disclosed to government bureaux / departments, regulatory authorities / bodies or any other persons under sections 53ZJ and 53ZK 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