



表格 TCSP1 的補充資料表格 2A

Supplementary Information Sheet 2A for Form TCSP1

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

第一部
Part 1

業務資料
Business Information

預期在香港提供信託或公司服務的職員人數 Estimated number of staff in Hong Kong to provide trust or company service business		(包括董事、以及任何提供信託或公司服務的全職及兼職職員) (including directors, and any full-time and part-time staff who provide trust or company service)
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預期客戶的來源 Sources of potential customers	請在適用的空格內加上 ✓ 號 Please tick the relevant box(es)		
	來源 Sources	比重 Ratio	
	<input type="checkbox"/> 介紹 / 轉介 Introduction / referral		%
	<input type="checkbox"/> 街客 Walk-in		%
	<input type="checkbox"/> 其他(請註明): Other (please specify):		%

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第一部(續)
Part 1 (cont'd)

業務資料
Business Information

預期客戶的居住地/ 成立地 Place of residence / incorporation of potential customers	請在適用的空格內加上 ✓ 號 <i>Please tick the relevant box(es)</i>		
	客戶的居住地/成立地 Place of residence / incorporation of customers	比重 Ratio	
	<input type="checkbox"/> 香港 Hong Kong		%
	<input type="checkbox"/> 中國大陸 Mainland China		%
	<input type="checkbox"/> 其他國家 / 地區 Other countries / regions		%

第二部
Part 2

打擊洗錢及恐怖份子資金籌集的規定
Anti-Money Laundering and Counter-Financing of Terrorism Requirements

請在適用的空格內加上 ✓ 號 <i>Please tick the relevant box</i>		
風險為本方法 Risk-based Approach		
1(a)	申請人是否將會進行機構層面的洗錢及／或恐怖份子資金籌集(下稱「洗錢／恐怖份子資金籌集」)風險評估，以識別、評估及了解其本身就其 (i) 客戶； (ii) 客戶所來自或所在的國家或司法管轄區； (iii) 業務所在的國家及司法管轄區；及 (iv) 產品、服務、交易及交付渠道 所引致的洗錢／恐怖份子資金籌集風險？ Would the Applicant conduct an institutional money laundering and/or terrorist financing ("ML/TF") risk assessment to identify, assess and understand its ML/TF risks in relation to: (i) its customers; (ii) the countries or jurisdictions its customers are from or in; (iii) the countries or jurisdictions the Applicant has operations in; and (iv) the products, services, transactions and delivery channels of the Applicant? 如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:	是 Yes <input type="checkbox"/> 否 No <input type="checkbox"/>
	1(b)	



第二部(續) **打擊洗錢及恐怖份子資金籌集的規定**
Part 2 (cont'd) **Anti-Money Laundering and Counter-Financing of Terrorism Requirements**

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

打擊洗錢及恐怖份子資金籌集制度 AML/CFT Systems

4	<p>就遵從打擊洗錢及恐怖份子資金籌集規定方面，申請人是否將會制定充分及適當的政策、程序及管控措施(下稱「制度」)，包括但不限於合規管理安排、獨立審計職能、僱員甄選程序以及持續僱員培訓計劃，並以政策綱領或其他書面文件作為證明？</p> <p>Would the Applicant put in place adequate and proper policies, procedures and controls (“Systems”) to comply with the anti-money laundering and counter-financing of terrorism (“AML/CFT”) requirements, including but not limited to compliance management arrangements, an independent audit function, employee screening procedures and ongoing employee training programme, as evidenced by policy statement(s) or other written documents?</p> <p>如答案為「否」，請解釋原因： If the answer is “No”, please explain the reasons:</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
5	<p>申請人是否在香港成立為法團？</p> <p>Is the Applicant incorporated in Hong Kong?</p> <p>如答案為「否」，請跳過 5(a)及(b)。 If the answer is “No”, please skip 5(a) and (b).</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
5(a)	<p>如 5 的答案為「是」，申請人是否在香港以外地方有分行或附屬企業(下稱「外地分行及／或附屬企業」)經營與《打擊洗錢及恐怖份子資金籌集條例》(第 615 章)(下稱「《打擊洗錢條例》」)所界定的指定非金融業人士相同的業務？</p> <p>If the answer to 5 is “Yes”, does the Applicant have any branches or subsidiary undertakings outside Hong Kong (“overseas branches and/or subsidiary undertakings”) that carry on the same business as a DNFBP as defined in the Anti-Money Laundering and Counter-Terrorist Financing Ordinance, Cap. 615 (“the AMLO”)?</p> <p>如答案為「否」，請跳過 5(b)。 If the answer is “No”, please skip 5(b).</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>



第二部(續) **打擊洗錢及恐怖份子資金籌集的規定**
Part 2 (cont'd) **Anti-Money Laundering and Counter-Financing of Terrorism Requirements**

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

5(b)	<p>如 5(a) 的答案為「是」，申請人是否將會實施集團層面的打擊洗錢及恐怖份子資金籌集制度，藉此令《打擊洗錢及恐怖份子資金籌集指引(信託或公司服務持牌人適用)》(下稱「該指引」)列載與該外地分行及附屬企業有關及適用的規定，應用於其指定非金融業人士集團內的所有外地分行及附屬企業？</p> <p>If the answer to 5(a) is “Yes”, would the Applicant implement group-wide AML/CFT Systems to apply the requirements set out in the Guideline on Anti-Money Laundering and Counter-Financing of Terrorism (For Trust or Company Service Provider Licensees) (“Guideline”) to all of its overseas branches and subsidiary undertakings in its DNFBP group, wherever the requirements in the Guideline are relevant and applicable to the overseas branches and subsidiary undertakings concerned?</p>	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
	<p>如答案為「否」，請解釋原因： If the answer is “No”, please explain the reasons:</p>		
6	<p>申請人是否已委任合規主任及洗錢報告主任？ Has the Applicant appointed a compliance officer (“CO”) and a money laundering reporting officer (“MLRO”)?</p>	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
	<p>如答案為「否」，請解釋原因： If the answer is “No”, please explain the reasons:</p>		
	<p>如 6 的答案為「是」， If the answer to 6 is “Yes”,</p>		
	<p>(i) 就委任合規主任及洗錢報告主任，申請人是否已備存有關的文件及紀錄？ Has the Applicant kept any documents or records showing the appointment of the CO and the MLRO?</p>	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
<p>(ii) 就合規主任及洗錢報告主任的職責，申請人是否已備存有關的文件及紀錄？ Has the Applicant kept any documents or records showing the responsibilities of the CO and the MLRO?</p>	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>	
<p>如以上任何一項的答案為「否」，請解釋原因： If the answer to any of the above items is “No”, please explain the reasons:</p>			



**第二部 (續)
Part 2 (cont'd)**

**打擊洗錢及恐怖份子資金籌集的規定
Anti-Money Laundering and Counter-Financing of Terrorism Requirements**

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

申請人是否將會設立獨立審計職能，以定期檢討：

- (i) 申請人的打擊洗錢及恐怖份子資金籌集制度、洗錢／恐怖份子資金籌集風險評估框架及風險為本方法的應用是否適當；
- (ii) 可疑交易舉報制度是否有效；
- (iii) 合規職能是否有效；及
- (iv) 負有打擊洗錢及恐怖份子資金籌集職責的職員的警覺性？

Would the Applicant establish an independent audit function which regularly reviews the:

- (i) adequacy of the Applicant's AML/CFT Systems, ML/TF risk assessment framework and application of risk-based approach;
- (ii) effectiveness of suspicious transaction reporting systems;
- (iii) effectiveness of the compliance function; and
- (iv) level of awareness of staff having AML/CFT responsibilities?

是 Yes

否 No

如答案為「是」，誰人將會擔任獨立審計職能及多久會進行獨立檢討？

If the answer is "Yes", who would perform the independent audit function and how often would the independent review be conducted?

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如答案為「否」，請解釋原因：

If the answer is "No", please explain the reasons:



**第二部 (續)
Part 2 (cont'd)**

**打擊洗錢及恐怖份子資金籌集的規定
Anti-Money Laundering and Counter-Financing of Terrorism
Requirements**

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

8	<p>申請人是否將會設立妥善及適當的甄選程序，確保聘用的僱員符合嚴格標準？ Would the Applicant put in place adequate and appropriate screening procedures in order to ensure high standards when hiring employees?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	<p>是 Yes <input type="checkbox"/></p>	<p>否 No <input type="checkbox"/></p>
客戶盡職審查 Customer Due Diligence			
9(a)	<p>申請人是否將會在以下情況就每名客戶執行盡職審查措施： Would the Applicant carry out CDD measures in relation to each customer in the following circumstances:</p>		
	<p>(i) 在與該客戶建立業務關係之前； before establishing a business relationship with the customer;</p>	<p>是 Yes <input type="checkbox"/></p>	<p>否 No <input type="checkbox"/></p>
	<p>(ii) 在為該客戶執行涉及相等於 120,000 港元或以上的款額(或折算為任何其他貨幣的相同款額)的非經常交易之前，不論該交易是以單一次操作執行，或是以申請人覺得是有關連的若干次操作執行； before carrying out for the customer an occasional transaction involving an amount equal to or above HK\$120,000 or an equivalent amount in any other currency, whether the transaction is carried out in a single operation or in several operations that appear to the Applicant to be linked;</p>	<p>是 Yes <input type="checkbox"/></p>	<p>否 No <input type="checkbox"/></p>
	<p>(iii) 當申請人懷疑客戶或客戶的戶口涉及洗錢／恐怖份子資金籌集時；及 when the Applicant suspects that the customer or the customer's account is involved in ML/TF; and</p>	<p>是 Yes <input type="checkbox"/></p>	<p>否 No <input type="checkbox"/></p>
	<p>(iv) 當申請人懷疑過往為識別客戶的身分或核實客戶的身分而取得的資料是否真實或充分時？ when the Applicant doubts the veracity or adequacy of any information previously obtained for the purpose of identifying the customer or for the purpose of verifying the customer's identity?</p>	<p>是 Yes <input type="checkbox"/></p>	<p>否 No <input type="checkbox"/></p>
<p>如以上任何一項的答案為「否」，請解釋原因： If the answer to any of the above items is "No", please explain the reasons:</p>			



第二部 (續)
Part 2 (cont'd)

打擊洗錢及恐怖份子資金籌集的規定
Anti-Money Laundering and Counter-Financing of Terrorism Requirements

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

就每名客戶而言，申請人是否將會執行以下的盡職審查措施：
In respect of each customer, would the Applicant carry out the following CDD measures:

	(i) 識別客戶的身分，及根據可靠及獨立來源所提供的文件、數據或資料，核實客戶的身分； identify the customer and verify the customer's identity using documents, data or information provided by a reliable and independent source;	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
	(ii) 如就客戶而言有實益擁有人，識別及採取合理措施核實該實益擁有人的身分，從而使申請人信納其知道該實益擁有人為何人；如客戶屬法人或信託，該等措施包括可使申請人了解有關法人或信託的擁有權及控制權結構； where there is a beneficial owner in relation to the customer, identify and take reasonable measures to verify the beneficial owner's identity so that the Applicant is satisfied that it knows who the beneficial owner is, including, in the case of a legal person or trust, measures to enable the Applicant to understand the ownership and control structure of the legal person or trust;	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
	(iii) 取得與申請人建立業務關係(如有)的目的及擬具有的性質的資料，除非有關目的及擬具有的性質顯而易見；及 obtain information on the purpose and intended nature of the business relationship (if any) established with the Applicant unless the purpose and intended nature are obvious; and	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
9(b)	(iv) 如某人看似是代表客戶行事： (a) 識別該人的身分，並採取合理措施，根據可靠及獨立來源所提供的文件、數據或資料，核實該人的身分；以及 (b) 核實該人代表客戶行事的授權？ if a person purports to act on behalf of the customer: (a) identify the person and take reasonable measures to verify the person's identity using documents, data or information provided by a reliable and independent source; and (b) verify the person's authority to act on behalf of the customer?	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>

如以上任何一項的答案為「否」，請解釋原因：
If the answer to any of the above items is "No", please explain the reasons:

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第二部(續) Part 2 (cont'd) **打擊洗錢及恐怖份子資金籌集的規定 Anti-Money Laundering and Counter-Financing of Terrorism Requirements**

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

10(c)	<p>(i) 申請人在知悉某客戶或某客戶的實益擁有人為非香港政治人物後，會否在以下情況採取該指引第 4.9.10 段列載的所有嚴格審查措施： Would the Applicant, when it knows that a customer or a beneficial owner of a customer is a non-Hong Kong PEP, apply all EDD measures set out in paragraph 4.9.10 of the Guideline in the following situations:</p>		
	<p>(a) 在與本身或其實益擁有人為非香港政治人物的客戶建立業務關係之前；及 before establishing a business relationship with a customer who is or whose beneficial owner is a non-Hong Kong PEP; and</p>	<p>是 Yes <input type="checkbox"/></p>	<p>否 No <input type="checkbox"/></p>
	<p>(b) 在維持已建立的業務關係之前(在已建立業務關係後才發現該客戶或實益擁有人為非香港政治人物)? before continuing an existing business relationship where the customer or the beneficial owner is subsequently found to be a non-Hong Kong PEP?</p>	<p>是 Yes <input type="checkbox"/></p>	<p>否 No <input type="checkbox"/></p>
	<p>如以上任何一項的答案為「否」，請解釋原因： If the answer to any of the above items is "No", please explain the reasons:</p>		
10(d)	<p>(ii) 申請人是否將會按該指引第 4.9.11 段所要求，在客戶本身或其實益擁有人為非香港政治人物的情況下，加強對有關業務關係的持續監察？ Would the Applicant conduct enhanced ongoing monitoring of a business relationship with a customer if the customer or the beneficial owner of the customer is a non-Hong Kong PEP as required in paragraph 4.9.11 of the Guideline?</p>		
	<p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>		
10(d)	<p>申請人是否將會採取合理措施以斷定某客戶或某客戶的實益擁有人是否香港政治人物或國際組織政治人物？ Would the Applicant take reasonable measures to determine whether a customer or a beneficial owner of a customer is a Hong Kong PEP or an international organisation PEP?</p>		
	<p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>		



第二部 (續)
Part 2 (cont'd)

打擊洗錢及恐怖份子資金籌集的規定

Anti-Money Laundering and Counter-Financing of Terrorism Requirements

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

(i) 申請人會否在以下情況採取該指引第 4.9.10 段列載的所有嚴格審查措施：
Would the Applicant apply all the EDD measures set out in paragraph 4.9.10 of the Guideline in the following situations:

(a) 在與本身或其實益擁有人為香港政治人物或國際組織政治人物的客戶建立高風險業務關係之前； before establishing a high risk business relationship with a customer who is or whose beneficial owner is a Hong Kong PEP or an international organisation PEP;	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
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(b) 在維持與本身或其實益擁有人為香港政治人物或國際組織政治人物的客戶已建立的業務關係，而該業務關係於其後變為高風險；及 when continuing an existing business relationship with a customer who is or whose beneficial owner is a Hong Kong PEP or an international organisation PEP where the relationship subsequently becomes high risk; and	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
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(c) 在維持已建立的高風險業務關係，而申請人其後知悉有關客戶或其實益擁有人為香港政治人物或國際組織政治人物？ when continuing an existing high risk business relationship where the Applicant subsequently knows that the customer or the beneficial owner of the customer is a Hong Kong PEP or an international organisation PEP?	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
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如以上任何一項的答案為「否」，請解釋原因：
If the answer to any of the above items is "No", please explain the reasons:

10(e)

(ii) 申請人是否將會如該指引第 4.9.18 段所提述，在客戶本身或其實益擁有人為香港政治人物或國際組織政治人物的情況下，加強對有關業務關係的持續監察？ Would the Applicant conduct enhanced ongoing monitoring of a business relationship with a customer if the customer or the beneficial owner of the customer is a Hong Kong PEP or an international organisation PEP as referred to in paragraph 4.9.18 of the Guideline?	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
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如答案為「否」，請解釋原因：
If the answer is "No", please explain the reasons:



第二部 (續) Part 2 (cont'd)	打擊洗錢及恐怖份子資金籌集的規定 Anti-Money Laundering and Counter-Financing of Terrorism Requirements
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請在適用的空格內加上 ✓ 號 *Please tick the relevant box*

10(f)	<p>申請人是否將會取得其高級管理層的批准，以建立可引致高洗錢／恐怖分子資金籌集風險的業務關係，或繼續已建立的業務關係(當該關係其後引致高洗錢／恐怖分子資金籌集風險)?</p> <p>Would the Applicant obtain approval from its senior management to establish a business relationship that presents a high ML/TF risk, or continue an existing business relationship where the relationship subsequently presents a high ML/TF risk?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
10(g)	<p>申請人是否將會採取額外措施，以緩減客戶並未為身分識別目的而現身所涉及的風險?</p> <p>Would the Applicant carry out additional measures to mitigate the risk associated with customers not physically present for identification purposes?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>



第二部(續)
Part 2 (cont'd)

打擊洗錢及恐怖份子資金籌集的規定
Anti-Money Laundering and Counter-Financing of Terrorism Requirements

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

依賴中介人進行盡職審查 *Reliance on CDD performed by Intermediaries*

11	<p>申請人是否會依賴任何中介人採取任何部分的盡職審查措施? Would the Applicant rely upon any intermediary to perform any part of the CDD measures?</p> <p>如答案為「否」，請跳過 11(a)、(b)、(c)及(d)。 If the answer is "No", please skip 11(a), (b), (c) and (d).</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
11(a)	<p>就每名擬任用的中介人而言，申請人是否將會取得該擬任用的中介人的書面確認，表示同意作為中介人並會採取某部分的盡職審查措施? In respect of each intended intermediary, would the Applicant obtain written confirmation from the intended intermediary that the intended intermediary agrees to act as the Applicant's intermediary and perform which part of the CDD measures?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
11(b)	<p>就每名擬任用的中介人而言，申請人是否信納該擬任用的中介人會應要求提供在執行盡職審查措施過程中取得的任何文件的複本，數據或資料的紀錄，而不會有任何延誤? In respect of each intended intermediary, is the Applicant satisfied that the intended intermediary will on request provide a copy of any document, or a record of any data or information, obtained by the intended intermediary in the course of carrying out CDD measures without delay?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>



第二部(續) Part 2 (cont'd) **打擊洗錢及恐怖份子資金籌集的規定**
Anti-Money Laundering and Counter-Financing of Terrorism Requirements

請在適用的空格內加上 ✓ 號 Please tick the relevant box			
11(c)	<p>是否有任何擬任用的中介人是本地中介人? Is any of the intended intermediaries a domestic intermediary?</p> <p>如答案為「否」，請跳過 11(c)(i)及(ii)。 If the answer is "No", please skip 11(c)(i) and (ii).</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
	<p>如 11(c) 的答案為「是」，</p> <p>If the answer to 11(c) is "Yes",</p> <p>(i) 就每名擬任用的本地中介人而言，該擬任用的中介人是否屬《打擊洗錢條例》所界定的金融機構中的認可機構、持牌法團、獲授權保險人、持牌個人保險代理、持牌保險代理機構或持牌保險經紀公司(下稱「中介人金融機構」)、法律專業人士、會計專業人士、信託或公司服務持牌人或地產代理? In respect of each intended domestic intermediary, is the intended intermediary a financial institution (as defined in the AMLO) that is an authorized institution, a licensed corporation, an authorized insurer, a licensed individual insurance agent, licensed insurance agency or licensed insurance broker company ("intermediary financial institution"), a legal professional, an accounting professional, a TCSP licensee or an estate agent?</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
	<p>(ii) 就每名擬任用的本地中介人而言，如該擬任用的中介人本身為會計專業人士、地產代理、法律專業人士或信託或公司服務持牌人，申請人是否信納該擬任用的本地中介人有足夠程序以防止洗錢／恐怖份子資金籌集活動，並須就有關客戶遵從《打擊洗錢條例》附表 2 所載的相關規定? In respect of each intended domestic intermediary being an accounting professional, an estate agent, a legal professional or a TCSP licensee, is the Applicant satisfied that the intended domestic intermediary has adequate procedures in place to prevent ML/TF and is required to comply with the relevant requirements set out in Schedule 2 to the AMLO with respect to the customer?</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
	<p>如 11(c)(i)或(ii)的答案為「否」，請解釋原因： If the answer to 11(c)(i) or (ii) is "No", please explain the reasons:</p>		



第二部(續) **打擊洗錢及恐怖份子資金籌集的規定**
Part 2 (cont'd) **Anti-Money Laundering and Counter-Financing of Terrorism Requirements**

請在適用的空格內加上 ✓ 號 <i>Please tick the relevant box</i>			
11(d)	<p>是否有任何擬任用的中介人是外地中介人? Is any of the intended intermediaries an overseas intermediary?</p> <p>如答案為「否」, 請跳過 11(d)(i)、(ii)、(iii)及(iv)。 If the answer is "No", please skip 11(d)(i), (ii), (iii) and (iv).</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
	<p>如 11(d) 的答案為「是」, If the answer to 11(d) is "Yes",</p> <p>(i) 就每名擬任用的外地中介人而言, 該擬任用的中介人是否屬下列任何一類業務或專業:</p> <ul style="list-style-type: none"> • 經營與中介人金融機構所經營的業務相若的機構; • 律師或公證人; • 核數師、專業會計師或稅務顧問; • 信託或公司服務提供者; • 經營信託業務的信託公司; 及 • 經營與地產代理所經營的業務相若的業務的人? <p>In respect of each intended overseas intermediary, does the intended intermediary fall into one of the following categories of businesses or professions:</p> <ul style="list-style-type: none"> • an institution that carries on a business similar to that carried on by an intermediary financial institution; • a lawyer or a notary public; • an auditor, a professional accountant, or a tax advisor; • a trust or company service provider; • a trust company carrying on trust business; and • a person who carries on a business similar to that carried on by an estate agent? 	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
	<p>(ii) 就每名擬任用的外地中介人而言, 該擬任用的中介人是否按該司法管轄區的法律規定, 須根據該司法管轄區的法律註冊或領牌或受規管? In respect of each intended overseas intermediary, is the intended intermediary required under the law of the jurisdiction concerned to be registered or licensed or is regulated under the law of that jurisdiction?</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
	<p>(iii) 就每名擬任用的外地中介人而言, 該擬任用的中介人是否已有措施確保遵從與《打擊洗錢條例》附表 2 所施加的規定相若的規定? In respect of each intended overseas intermediary, does the intended intermediary have measures in place to ensure compliance with requirements similar to those imposed under Schedule 2 to the AMLO?</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
	<p>(iv) 就每名擬任用的外地中介人而言, 在遵從該等規定方面, 該擬任用的中介人是否受到該司法管轄區主管當局監管, 而該主管當局所執行的職能, 與任何《打擊洗錢條例》所界定的有關當局或監管機構(視何者適用而定)的職能相若? In respect of each intended overseas intermediary, is the intended intermediary supervised for compliance with those requirements by an authority in that jurisdiction that performs functions similar to those of any of the relevant authorities or the regulatory bodies (as may be applicable) as defined in the AMLO?</p> <p>如 11(d)(i)、(ii)、(iii)及(iv)的任何一項的答案為「否」, 請解釋原因: If the answer to any of the items in 11(d)(i), (ii), (iii) and (iv) above is "No", please explain the reasons:</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>



第二部 (續) Part 2 (cont'd)	打擊洗錢及恐怖份子資金籌集的規定 Anti-Money Laundering and Counter-Financing of Terrorism Requirements
請在適用的空格內加上 ✓ 號 Please tick the relevant box	
持續監察 Ongoing Monitoring	
12(a)	<p>申請人是否將會對客戶進行持續盡職審查，不時覆核為遵從根據《打擊洗錢條例》附表 2 第 2 部施加的規定而由申請人取得的關於客戶的文件、數據及資料，以確保該等文件、數據及資料反映現況及仍屬相關的？</p> <p>Would the Applicant conduct ongoing CDD by reviewing from time to time documents, data and information relating to the customer that have been obtained by the Applicant for the purpose of complying with the requirements imposed under Part 2 of Schedule 2 to the AMLO to ensure that they are up-to-date and relevant?</p> <p>是 Yes <input type="checkbox"/> 否 No <input type="checkbox"/></p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>
12(b)	<p>申請人是否將會至少每年一次對所有涉及高洗錢／恐怖份子資金籌集風險的客戶進行覆核，並在認為有需要時對有關客戶進行更頻密的覆核，以確保盡職審查資料反映現況及仍屬相關？</p> <p>Would the Applicant conduct an annual review at a minimum, or more frequent reviews if deemed necessary, of all customers that present high ML/TF risks to ensure the CDD information retained remains up-to-date and relevant?</p> <p>是 Yes <input type="checkbox"/> 否 No <input type="checkbox"/></p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>



第二部(續) **Part 2 (cont'd)** **打擊洗錢及恐怖份子資金籌集的規定**
Anti-Money Laundering and Counter-Financing of Terrorism Requirements

請在適用的空格內加上 ✓ 號 <i>Please tick the relevant box</i>			
12(c)	<p>就每名客戶而言，申請人是否將會對為客戶執行的交易進行適當的審查，以確保交易符合申請人對該客戶、該客戶的業務及風險狀況，以及該客戶的資金來源的認知？</p> <p>Would the Applicant conduct appropriate scrutiny of transactions carried out for each customer to ensure that they are consistent with the Applicant's knowledge of the customer, the customers' business, risk profile and source of funds?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
12(d)	<p>申請人是否將會採取措施，以識別(i)複雜、款額大得異乎尋常或進行模式異乎尋常的交易；及(ii)沒有明顯經濟或合法目的的交易，並審查該等交易的背景及目的，並以書面方式列明審查結果？</p> <p>Would the Applicant take measures to identify transactions that (i) are complex, unusually large in amount or of an unusual pattern; and (ii) have no apparent economic or lawful purpose, and examine the background and purposes of those transactions and set out the findings in writing?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>



第二部(續) **打擊洗錢及恐怖份子資金籌集的規定**
Part 2 (cont'd) **Anti-Money Laundering and Counter-Financing of Terrorism Requirements**

請在適用的空格內加上 ✓ 號 Please tick the relevant box			
恐怖分子資金籌集、金融制裁及武器擴散資金籌集 Terrorist Financing, Financial Sanctions and Proliferation Financing			
13	<p>申請人是否將會實施有效的篩查機制，在建立關係當時，根據當時的恐怖分子及制裁指定名單對客戶及客戶的實益擁有人進行篩查，以及在切實可行範圍內，盡快根據所有新增及任何更新的名單，對客戶及客戶的實益擁有人進行篩查？</p> <p>Would the Applicant implement an effective screening mechanism to screen its customers and the beneficial owners of the customers against the current relevant list(s) of terrorist and sanction designations at the establishment of the relationship and against all new and any updated list(s) as soon as practicable?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
	<p>如 13 的答案為「是」， If the answer to 13 is "Yes",</p>		
	<p>(i) 申請人是否將會按風險為本方法，把該篩查規定擴大至涵蓋該指引第 4.3.19 段所界定的客戶的關連方及看似代表客戶行事的人？</p> <p>Would the Applicant, using a risk-based approach, extend such screening requirements to the connected parties (as defined in paragraph 4.3.19 of the Guideline) of the customers and the persons purporting to act on behalf of the customers?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
<p>(ii) 申請人是否將會備存有關的篩查紀錄？</p> <p>Would the Applicant keep the relevant screening records?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>	



第二部(續) Part 2 (cont'd)	打擊洗錢及恐怖份子資金籌集的規定 Anti-Money Laundering and Counter-Financing of Terrorism Requirements
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請在適用的空格內加上 ✓ 號 Please tick the relevant box

可疑交易報告 Suspicious Transaction Reports

14	<p>申請人是否將會實施適當的打擊洗錢及恐怖份子資金籌集制度，以履行其根據《有組織及嚴重罪行條例》(第 455 章)、《販毒(追討得益)條例》(第 405 章)及《聯合國(反恐怖主義措施)條例》(第 575 章)的要求向聯合財富情報組舉報可疑交易報告的法定責任？</p> <p>Would the Applicant implement appropriate AML/CFT Systems to fulfil its statutory reporting obligations to report suspicious transactions to the Joint Financial Intelligence Unit as required under the Organized and Serious Crimes Ordinance (Cap. 455), Drug Trafficking (Recovery of Proceeds) Ordinance (Cap. 405) and United Nations (Anti-Terrorism Measures) Ordinance (Cap. 575)?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>



第二部(續) **Part 2 (cont'd)** **打擊洗錢及恐怖份子資金籌集的規定** **Anti-Money Laundering and Counter-Financing of Terrorism Requirements**

請在適用的空格內加上 ✓ 號 <i>Please tick the relevant box</i>				
15(b)	<p>申請人是否將會在自有關交易完成的日期起計的至少 5 年期間內備存就其進行的每項交易取得的文件的正本或複本，以及有關數據及資料的紀錄？</p> <p>Would the Applicant keep the original or a copy of the documents, and a record of the data and information, obtained in connection with each transaction the Applicant carries out, for a period of at least 5 years beginning on the date on which the transaction is completed?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	<p>是 Yes <input type="checkbox"/></p>	<p>否 No <input type="checkbox"/></p>	
	<p>職員培訓 Staff Training</p> <p>申請人是否將會為職員提供充足培訓，使職員有能力實施打擊洗錢及恐怖份子資金籌集制度？</p> <p>Would the Applicant provide its staff with adequate training so that they are adequately trained to implement its AML/CFT Systems?</p> <p>如答案為「是」，申請人會如何監察培訓的成效？ If the answer is "Yes", how would the effectiveness of the training be monitored?</p>		<p>是 Yes <input type="checkbox"/></p>	<p>否 No <input type="checkbox"/></p>
16	<p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>			



第二部 (續)
Part 2 (cont'd)

打擊洗錢及恐怖份子資金籌集的規定
Anti-Money Laundering and Counter-Financing of Terrorism Requirements

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

17	<p>申請人會否提醒職員留意：</p> <p>(i) 申請人根據《打擊洗錢條例》規定進行盡職審查及備存紀錄的責任，以及職員本身在申請人遵守該等規定方面的角色；</p> <p>(ii) 申請人及職員本身有關舉報可疑交易的法定責任；</p> <p>(iii) 與申請人及職員本身有關的其他法定及監管責任；</p> <p>(iv) 申請人在打擊洗錢及恐怖份子資金籌集方面的政策及程序；及</p> <p>(v) 職員為履行其在申請人內有關打擊洗錢及恐怖份子資金籌集的特定職責所需的，在洗錢／恐怖份子資金籌集方面的嶄新及新興技巧、方法及趨勢的資訊？</p> <p>Would the staff be made aware of:</p> <p>(i) the Applicant's obligations and their own role in relation to the Applicant's compliance with the CDD and record-keeping requirements under the AMLO;</p> <p>(ii) the Applicant's and their own personal statutory obligations relating to suspicious transactions reporting;</p> <p>(iii) any other statutory and regulatory obligations that concern the Applicant and themselves in relation to AML/CFT;</p> <p>(iv) the Applicant's policies and procedures relating to AML/CFT; and</p> <p>(v) any new and emerging techniques, methods and trends in ML/TF to the extent that such information is needed to carry out their particular roles in the Applicant with respect to AML/CFT?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
18	<p>申請人是否將會備存最少 3 年的紀錄，列明已接受培訓的職員、有關職員接受培訓的時間，以及所提供的培訓類別？</p> <p>Would the Applicant maintain records for a minimum of 3 years of who have been trained, when the staff received the training and the type of the training provided?</p> <p>如答案為「否」，請解釋原因： If the answer is "No", please explain the reasons:</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>



第三部
Part 3

證明書
Certification

本人現核證：-

I certify that:-

- (a) 本表格內提供的資料均屬完整、真實及正確無誤。
The information given in this form is complete, true and correct.
- (b) 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.

簽署 : _____
Signed :

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



填表須知

一般事項

1. 請劃一以中文或英文填報各項所需資料。如以中文填報，請用繁體字。
2. 你可郵寄本表格到「香港九龍灣宏遠街 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」。

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. Please fill in all particulars and complete all items consistently in either Chinese or English. Traditional Chinese characters should be used if the form is completed in Chinese.
2. This form can be delivered by post to 'The Registry for Trust and Company Service Providers, Unit 1208, 12th floor, One Kowloon, 1 Wang Yuen Street, Kowloon Bay, Hong Kong'.

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
Hong Kong