



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 業務資料
Part 1 Business Information

將會在香港受僱提供信託或公司服務的職員人數 Number of staff to be employed in Hong Kong to provide trust or company service business		(包括全職及兼職職員) (Including both full-time and part-time staff)
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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):		%

請勿填寫本欄 For Official Use

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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 Place of residence of potential customers	<i>請在適用的空格內加上 ✓ 號 Please tick the relevant box(es)</i>			
	客戶的居住地 Place of residence 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措施
Anti-Money Laundering and Counter-Terrorist Financing Measures

<i>請在適用的空格內加上 ✓ 號 Please tick the relevant box</i>				
1	<p>就遵從打擊洗錢及恐怖份子資金籌集規定方面，申請人是否將會制訂充分及適當的政策、程序及管控措施，並將會以政策綱領或其他書面文件作為證明？ Would the Applicant put in place adequate and appropriate policies, procedures and controls to comply with the anti-money laundering and counter-terrorist financing (AML/CTF) requirements, 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>		是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>



第二部 (續)

打擊洗錢及恐怖份子資金籌集的措施

Part 2 (cont'd)

Anti-Money Laundering and Counter-Terrorist Financing Measures

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

在與客戶建立業務關係之前或在為客戶執行交易之前，申請人是否將會採取客戶盡職審查措施，以識別及核實客戶和客戶的實益擁有人的身分？
Before establishing business relationships with customers or before carrying out transactions for customers, would the Applicant take customer due diligence (CDD) measures to identify and verify the identity of the customers and their beneficial owners?

是 Yes

否 No

如答案為「否」，請解釋原因：
If the answer is 'No', please explain the reasons:

2(a)

在與客戶建立業務關係之前或在為客戶執行交易之前，申請人是否將會取得關於與申請人建立業務關係的目的及擬具有的性質的資料？
Before establishing business relationships with customers or before carrying out transactions for customers, would the Applicant obtain information on the purpose and intended nature of the business relationships with the Applicant?

是 Yes

否 No

如答案為「否」，請解釋原因：
If the answer is 'No', please explain the reasons:

2(b)



第二部 (續)

打擊洗錢及恐怖份子資金籌集的措施

Part 2 (cont'd)

Anti-Money Laundering and Counter-Terrorist Financing Measures

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

2(c)	<p>申請人是否將會對該業務關係進行持續的客戶盡職審查，包括確保正進行的交易符合申請人對該客戶、客戶的業務及風險狀況，及客戶的資金來源的認知，以及確保在客戶盡職審查程序下收集的文件、數據或資料能反映現況及仍屬相關的，並覆核現有紀錄(尤其是對較高風險的客戶類別)?</p> <p>Would the Applicant conduct ongoing due diligence on the business relationship, including ensuring that the transactions being conducted are consistent with the Applicant's knowledge of the customer, the customer's business and risk profile, and the source of the customer's funds, and ensuring that documents, data or information collected under the CDD process is kept up-to-date and relevant, by undertaking reviews of existing records, particularly for higher-risk categories of customers?</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>																																																																																																			
	<p>如答案為「否」，請解釋原因： If the answer is 'No', please explain the reasons:</p>	<table border="1" style="width: 100%; height: 100%;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>																																																																																																				
3	<p>申請人是否將會因應以下情況採取適用的額外措施或更嚴格客戶盡職審查措施？</p> <p>(i) 客戶沒有為身分識別的目的而現身；</p> <p>(ii) 客戶或其實益擁有人是政治人物；</p> <p>(iii) 已發行持票人股份的法團客戶；</p> <p>(iv) 來自被財務行動特別組織識別為在打擊洗錢及恐怖分子資金籌集方面存在策略性缺失的司法管轄區的客戶，或與該等司法管轄區有關連的交易；及</p> <p>(v) 公司註冊處處長在發給申請人的通知中所指明的任何情況。</p> <p>Would the Applicant carry out the applicable additional measures or enhanced CDD measures when dealing with the following situations?</p> <p>(i) customer not physically present for identification purposes;</p> <p>(ii) customer or its beneficial owner being a politically exposed person;</p> <p>(iii) corporate customer which has issued bearer shares;</p> <p>(iv) customer from or transaction connected with a jurisdiction identified by the Financial Action Task Force as having strategic AML/CTF deficiencies; and</p> <p>(v) any situation specified by the Registrar of Companies in a notice given to the Applicant.</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>																																																																																																			
	<p>如答案為「否」，請解釋原因： If the answer is 'No', please explain the reasons:</p>	<table border="1" style="width: 100%; height: 100%;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>																																																																																																				



第二部(續)

打擊洗錢及恐怖份子資金籌集的措施

Part 2 (cont'd)

Anti-Money Laundering and Counter-Terrorist Financing Measures

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

4	<p>申請人是否將會訂立機制或程序，藉以根據《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提交可疑交易報告？</p> <p>Would the Applicant put in place a system or procedures to submit suspicious transaction reports 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>是 Yes <input type="checkbox"/></p> <p>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>		
5	<p>申請人是否會藉著中介人執行客戶盡職審查措施？</p> <p>Would the Applicant carry out CDD measures by means of intermediaries?</p> <p>是 Yes <input type="checkbox"/></p> <p>否 No <input type="checkbox"/></p> <p>如答案為「否」，請跳過 5(a)、(b) 及 (c)。 If the answer is 'No', please skip 5(a), (b) and (c).</p>		
5(a)	<p>如 5 的答案為「是」： If answer to 5 is 'Yes':</p> <p>- 擬任用的中介人是否 (i) 屬認可機構、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的金融機構，或 (ii) 律師、會計師、信託或公司服務提供者或地產代理？</p> <p>Are the intended intermediaries (i) financial institutions that are authorized institutions, licensed corporations, authorized insurers, licensed individual insurance agents, licensed insurance agencies or licensed insurance broker companies, or (ii) lawyers, accountants, trust or company service providers or estate agents?</p> <p>是 Yes <input type="checkbox"/></p> <p>否 No <input type="checkbox"/></p>		
5(b)	<p>- 擬任用的中介人是否將會藉書面同意擔任申請人的中介人？</p> <p>Would the intended intermediaries consent in writing to be the Applicant's intermediaries?</p> <p>是 Yes <input type="checkbox"/></p> <p>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)

打擊洗錢及恐怖份子資金籌集的措施

Part 2 (cont'd)

Anti-Money Laundering and Counter-Terrorist Financing Measures

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

申請人是否信納：

Is the Applicant satisfied that:

- (i) 擬任用的中介人將會執行客戶盡職審查措施以識別和核實客戶及其實益擁有人的身分?
the intended intermediaries will carry out CDD measures to identify and verify the identity of the customers and their beneficial owners?

是 Yes

否 No

如答案為「否」，請解釋原因：

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

- (ii) 擬任用的中介人將可應申請人的要求，沒有延誤地提供中介人在執行客戶盡職審查措施時取得的文件複本，或取得的數據或資料的紀錄?
the intended intermediaries will on request provide a copy of any document, or a record of any data or information, obtained by the intermediaries in the course of carrying out CDD measures without delay?

是 Yes

否 No

5(c)

如答案為「否」，請解釋原因：

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

- (iii) 擬任用的中介人將會為遵從客戶盡職審查及備存紀錄規定而制訂措施?
the intended intermediaries will have measures in place for compliance with CDD and record-keeping requirements?

是 Yes

否 No

如答案為「否」，請解釋原因：

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



第二部 (續)

打擊洗錢及恐怖份子資金籌集的措施

Part 2 (cont'd)

Anti-Money Laundering and Counter-Terrorist Financing Measures

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

6(a)	<p>申請人是否將會在與客戶的業務關係持續期間，以及由有關業務關係終止後的最少 5 年期間內備存透過客戶盡職審查措施取得的客戶的紀錄？</p> <p>Would the Applicant keep records of customers obtained through CDD measures throughout the continuance of the business relationships with the customers and for a period of at least 5 years after the end of business relationships?</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"/>
6(b)	<p>申請人是否將會在交易完成後的最少 5 年內備存交易的紀錄？</p> <p>Would the Applicant keep records of transactions for at least 5 years after the completion of transactions?</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"/>
7	<p>申請人是否將會評估其業務的洗錢及恐怖份子資金籌集風險，就僱員甄選制定及實施政策、程序及管控措施，以及訂立適當的甄選程序，以確保信納任何新僱員的誠信？</p> <p>Would the Applicant assess the money laundering and terrorist financing risk of their businesses, develop and implement policies, procedures and controls on employee screening, and have appropriate screening procedures in order to be satisfied of the integrity of any new 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</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措施

Part 2 (cont'd)

Anti-Money Laundering and Counter-Terrorist Financing Measures

請在適用的空格內加上 ✓ 號 Please tick the relevant box			
8	<p>申請人是否將會就防止及偵察洗錢及恐怖份子資金籌集事宜向職員提供合適的培訓，包括加深他們了解在業務上針對打擊洗錢及恐怖份子資金籌集的措施的培訓？</p> <p>Would the Applicant provide staff with appropriate training on prevention and detection of money laundering and terrorist financing activities, including training to raise their awareness of business practices against money laundering and terrorist financing?</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</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
	<p>如答案為「否」，請解釋原因： If the answer is 'No', please explain the reasons:</p>		
9	<p>申請人是否將會就客戶盡職審查的執行、識別可疑交易的準則、以及打擊洗錢及恐怖份子資金籌集的措施，提供政策或指引給員工參考？</p> <p>Would the Applicant provide staff with policies or guidelines in relation to the conduct of CDD, criteria for identifying suspicious transactions, and relevant AML/CTF measures for reference?</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措施

Part 2 (cont'd)

Anti-Money Laundering and Counter-Terrorist Financing Measures

請在適用的空格內加上 ✓ 號 Please tick the relevant box			
10	<p>申請人在推出或使用新產品、經營方法及科技之前，是否將會訂立風險評估制度或程序，用以評估出現洗錢及恐怖份子資金籌集的風險？</p> <p>Would the Applicant put in place risk assessment systems or procedures to assess money laundering and terrorist financing risks prior to the launch or use of new products, practices and technologies?</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	<p>申請人是否有任何海外分行或擁有大多數股權的附屬公司？</p> <p>Does the Applicant have any foreign branches or majority-owned subsidiaries?</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
	<p>如「是」，申請人是否將會確保其分行及附屬公司採取與申請人的計劃一致的打擊洗錢及恐怖份子資金籌集措施？</p> <p>If yes, would the Applicant ensure that the Applicant's branches and subsidiaries apply AML/CTF measures consistent with the Applicant's programme?</p>	<p>是 Yes</p> <input type="checkbox"/>	<p>否 No</p> <input type="checkbox"/>
12	<p>請描述申請人將會如何設立獨立審計職能以便申請人能履行其職責，包括對申請人的打擊洗錢及恐怖份子資金籌集制度進行獨立檢討。</p> <p>Please describe how the Applicant would establish an independent audit function to enable the Applicant to carry out the Applicant's responsibilities, including independent reviews of the Applicant's AML/CTF systems.</p>		



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