

Asset and Wealth Management Activities Survey 2021

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Please select the type of firm of your company

- ☐ Insurance Companies (ICs)
- ☐ Licensed Corporations (LCs)
- ☐ Registered Institutions (RIs)
- ☒ Trustee

After selecting the type of firm above, you may download a full set of questionnaire in PDF Form by clicking the button below

Important Notes

1. This Questionnaire is for completion by those Trustee who had had assets held under your trust for providing trust services in Hong Kong in 2021.
2. Please complete this Questionnaire on or before [25] April 2022.
3. Before completing this Questionnaire, please read the meanings of certain terms and expressions used throughout the Questionnaire at the Note button on the top right corner. For your ease of reference, the terms for which meaning is provided are labelled with an annotation mark.
4. All items should be quoted in **"thousand Hong Kong \$"** or in **"percentage %"** except for the items in staff section (i.e. Items Q1 to Q8).
5. You may save a partially completed Questionnaire in your local drive in ".html" format for further completion and submission later by clicking the "Download Form" button at the top of the page. To resume editing your submission, you may perform either of the following steps below:
 - upload the previously saved ".html" file from your local drive to this portal by clicking the "Upload Form" button at the top of the page; or
 - further edit the Questionnaire at your own computer by opening the previously saved ".html" file from your local drive. After you have completed editing the Questionnaire, click "Submit" to upload the completed form to this portal.
6. For enquiries about this Questionnaire, please contact the Investment Products Division at (852) 2231-1532.
7. The Securities and Futures Commission (SFC) may contact your company to discuss information obtained from the Questionnaire. All information relating to individual companies will be treated in strict confidence and will not be disclosed by the SFC to any third party except in an aggregated form of statistics.

General Information

Name of company*

Domicile of company*

Questionnaire completed by

Name

Salutation*

Choose...

First Name*

Last Name*

Position*

Email address*

Fax number

Telephone number*

Correspondence address*

*** Our company had derived gross operating income from the following in 2021 (please select all that are applicable):**

☒ Asset held under trust (*Note 3)

☐ None of the above is applicable to our company because we

Corporate Information

Name of CEO / Managing Director

Salutation*
Choose...

First Name*

Last Name*

Telephone number*

Email address*

Asset held under trust (*Note 3)

Please complete this section if your company had gross operating income derived from asset held under trust (*Note 3) for the year 2021.

(Please provide figures as of 31 December 2021)

HK\$'000

(1) Assets under management/ trusteeship (*Note 3) of your company (AUM) = (A) (A)*

(B) = Out of the AUM (in question (1) above), the amount of assets managed by other licensed corporations (LCs) (*Note 19) / registered institutions (RIs) (*Note 20) in Hong Kong for management/ investment management in the case of assets under trusteeship (B)

(C) = AUM managed by non-SFC LCs/ RIs (C) HK\$'000
(C) = (A) - (B) 0

Where the value of (A) or (C) is substantially different from the respective value reported for Asset and Wealth Management Activities Survey 2020 (eg, by 10%), please briefly explain if possible.

(2) AUM - Breakdown by AUM sourced from Hong Kong investors/ clients (*Note 11) and those from non-Hong Kong investors/ clients (*Note 12)	AUM managed by other LCs/ RIs As a percentage of B	AUM managed by non-SFC LCs/ RIs As a percentage of C
AUM sourced from Hong Kong investors/ clients	<u>(B1)</u>	<u>(C1)</u>
AUM sourced from non-Hong Kong investors/ clients (by geographical distribution)		
- Mainland	<u>(B2)</u>	<u>(C2)</u>
- Rest of Asia-Pacific (excluding mainland and Hong Kong)	<u>(B3)</u>	<u>(C3)</u>
- Europe	<u>(B4)</u>	<u>(C4)</u>
- North America	<u>(B5)</u>	<u>(C5)</u>
- Others (please specify details in text box below)	<u>(B6)</u>	<u>(C6)</u>
Total (100%)	0.00	0.00

(3)	AUM - Breakdown by geographical distribution of investments where applicable	As a percentage of A	
		China	
		- Mainland	(A1)
		- Hong Kong	(A2)
		Japan	(A3)
		Australia and New Zealand	(A4)
		ASEAN	(A5)
		Rest of Asia Pacific	(A6)
		Middle East	(A7)
		Europe (including the UK)	(A8)
		North America	(A9)
		Others (please specify details in text box below)	(A10)
(4)	AUM - Breakdown by client types	Non-identifiable (*Note 14)	(A11)
		Total (100%)	0.00
		As a percentage of A	
		SFC authorized funds	(A12)
		Pension (including MPF and ORSO) (*Note 5)	(A13)
		Government / sovereign wealth/ central banks	(A14)
		Family office and private trusts	(A15)
		Charity	(A16)

Other corporates

(A17)

Others (please specify details in text box below)

(A18)

Total (100%)

0.00

(5) Amount of net fund inflow / (outflow) during the year of
2021 (*Note 35)

(A19) HK\$'000

Staff

(Please provide figures as of 31 December 2021)

- (1) For total staff in asset and wealth management activities
(Q)
- Breakdown by job function

Number of staff (*Note 29)

Asset management	<u>(Q1)</u>
Sales and marketing/distribution/account relationship	<u>(Q2)</u>
Research/analysis	<u>(Q3)</u>
Fund administration (*Note 30)	<u>(Q4)</u>
Dealing and/or trading (*Note 31)	<u>(Q5)</u>
Corporate planning and business management (*Note 32)	<u>(Q6)</u>
Risk management/legal and compliance	<u>(Q7)</u>
Supporting Units (*Note 33) (please specify details in text box below)	<u>(Q8)</u>
Total	<u>(Q)</u> 0.00

Note: $Q1 + Q2 + Q3 + Q3 + Q4 + Q5 + Q6 + Q7 + Q8 = Q$

Preview

- (i) Please review your provided information in this form by clicking the button "Preview Your Submission".
 - (ii) Please save the completed Questionnaire for future reference by clicking "Save Form" after you have successfully submitted your Questionnaire.
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