



公 司 註 冊 處

COMPANIES REGISTRY

信 託 及 公 司 服 務 提 供 者 註 冊 辦 事 處

REGISTRY FOR TRUST AND COMPANY SERVICE PROVIDERS

TCSP4

適當人選陳述書 (適用於申請人／最終擁有人／合夥人／董事－屬個人)

Statement on Fit and Proper Criteria

(For applicant/ultimate owner/partner/director - individual)

**第一部
Part 1****所屬申請類別
Type of Application**

本陳述書是作為下述申請書的一部份並與申請書一併提交

This Statement is Part of and Submitted Together with the Following Application

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

| | 表格編號 Form Number | 表格的描述 Description of Form |
|--------------------------|---------------------|--|
| <input type="checkbox"/> | TCSP1 | 信託或公司服務提供者牌照申請書 Application for a Trust or Company Service Provider Licence |
| <input type="checkbox"/> | TCSP2 | 信託或公司服務提供者牌照續期申請書 Application for Renewal of a Trust or Company Service Provider Licence |
| <input type="checkbox"/> | TCSP3 | 批准成為信託或公司服務提供者的最終擁有人／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 |

**第二部
Part 2****第一部所述申請書的申請人詳情
Particulars of the Applicant of the Application Referred to in Part 1**

| | | |
|---|---|--|
| 申請人姓名／名稱 Name of Applicant | 7 中文姓名／名稱 Name in Chinese | |
| | 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. | (如申請人為持牌人 If the applicant is a licensee) | |
| 商業登記證號碼 Business Registration Certificate No. | (起首的 8 個數字) (First 8 digits) | |

請勿填寫本欄 For Official Use



第三部 Part 3

須接受評定是否適當人選的人的詳情
(屬個人的申請人或是／擬成為申請人的最終擁有人／合夥人／董事的個人)

Particulars of the Person Subject to the Fit and Proper Test
(the individual who is the Applicant or is / is proposed to become the Applicant's ultimate owner / partner / director)

| | | |
|----------------|---|---|
| 身分 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 |
| | |



第三部(續) Part 3 (Cont'd)

須接受評定是否適當人選的人的詳情
(屬個人的申請人或是／擬成為申請人的最終擁有人／合夥人／董事的個人)

Particulars of the Person Subject to the Fit and Proper Test
(the individual who is the Applicant or is / is proposed to become the Applicant's ultimate owner / partner / director)

| 身分證明 Identification | | 8 |
|--|----------------------|---|
| 香港身分證 Hong Kong Identity Card | 號碼 No. | |
| | () | |
| 護照 Passport | 簽發國家 Issuing Country | |
| | 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. | |



第四部 Part 4

定罪紀錄 Conviction Record

9

| 請在適用的空格內加上 ✓ 號 Please tick the relevant boxes | | 有 Yes | 沒有 No |
|---|--|--------------------------|--------------------------|
| (a) | 你有否曾被裁定干犯香港法例第 615 章《打擊洗錢及恐怖分子資金籌集條例》(「打擊洗錢條例」)內所訂的罪行？ Have you ever been convicted of an offence under the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Chapter 615) (AMLO)? | <input type="checkbox"/> | <input type="checkbox"/> |
| (b) | 你有否曾被裁定干犯香港法例第 575 章《聯合國(反恐怖主義措施)條例》第 14 條所訂的罪行？ Have you ever been convicted of an offence under section 14 of the United Nations (Anti-Terrorism Measures) Ordinance (Chapter 575)? | <input type="checkbox"/> | <input type="checkbox"/> |
| (c) | 你有否曾被裁定干犯香港法例第 405 章《販毒(追討得益)條例》第 25(1)、25A(5)或(7)條所訂罪行，或該條例附表 1 所指明的罪行？ Have you ever been convicted of an offence under section 25(1), 25A(5) or (7) of, or an offence specified in Schedule 1 to, the Drug Trafficking (Recovery of Proceeds) Ordinance (Chapter 405)? | <input type="checkbox"/> | <input type="checkbox"/> |
| (d) | 你有否曾被裁定干犯香港法例第 455 章《有組織及嚴重罪行條例》第 25(1)、25A(5)或(7)條所訂罪行，或該條例附表 1 或 2 所指明的罪行？ Have you ever been convicted of an offence under section 25(1), 25A(5) or (7) of, or an offence specified in Schedule 1 or 2 to, the Organized and Serious Crimes Ordinance (Chapter 455)? | <input type="checkbox"/> | <input type="checkbox"/> |
| (e) | 除上述 (a) 至 (d) 的罪行及交通罪行外，你有否在香港或其他地方就任何罪行被定罪？ Have you ever been convicted of any offence, other than any offence of (a) to (d) above or a traffic offence, in Hong Kong or elsewhere? | <input type="checkbox"/> | <input type="checkbox"/> |

如第四部(a)至(e)任何一條問題的答案是「有」，請用附表 A 填報有關資料

If the answer to any of the questions in Part 4 (a) to (e) is "Yes", please use Schedule A to report the details

第五部 Part 5

不遵從規定的紀錄 Non-Compliance Record

| 請在適用的空格內加上 ✓ 號 Please tick the relevant box | | 有 Yes | 沒有 No |
|---|--|--------------------------|--------------------------|
| | 你有否曾被裁定不遵從根據打擊洗錢條例所施加的規定或公司註冊處處長根據打擊洗錢條例第 53ZM 條訂立的任何規例？ Have you ever been found to have failed to comply with any requirement imposed under the AMLO or regulation made by the Registrar of Companies under section 53ZM of the AMLO? | <input type="checkbox"/> | <input type="checkbox"/> |

如第五部的問題的答案是「有」，請用附表 B 填報有關資料

If the answer to the question in Part 5 is "Yes", please use Schedule B to report the details

第六部 Part 6

破產紀錄 Bankruptcy Record

| 請在適用的空格內加上 ✓ 號 Please tick the relevant boxes | | 有 Yes | 沒有 No |
|---|--|--------------------------|--------------------------|
| (a) | 你有否曾被判決為破產人及仍未解除破產人身份？ Have you ever been adjudged bankrupt and not yet been discharged? | <input type="checkbox"/> | <input type="checkbox"/> |
| (b) | 你是否香港法例第 6 章《破產條例》下的任何破產程序所針對的人？ Are you the subject of any bankruptcy proceedings under the Bankruptcy Ordinance, Chapter 6? | <input type="checkbox"/> | <input type="checkbox"/> |

如第六部(a)或(b)的問題的答案是「有」，請用附表 C 填報有關資料

If the answer to the question in Part 6(a) or (b) is "Yes", please use Schedule C to report the details



第七部 Part 7

授權及確認 Authorization and Confirmation

授權 Authorization

本人就根據香港法例第615章《打擊洗錢及恐怖分子資金籌集條例》而作出本表格第一部所述的申請一事，現授權警務處處長及任何本地或海外刑事調查機構或監管機構或其代表，向公司註冊處處長(「處長」)及獲處長授權的任何公職人員發放任何及全部有關本人的刑事定罪紀錄(包括香港法例第297章《罪犯自新條例》已失時效的定罪)的所有資料。

I, in connection with the application stated in Part 1 of this form made under the Anti-Money Laundering and Counter-Terrorist Financing Ordinance, Chapter 615, hereby authorize the Commissioner of Police and any criminal investigatory bodies or regulatory authorities in or outside Hong Kong, or their representatives, to release full particulars of any and all criminal convictions (including the spent convictions under the Rehabilitation of Offenders Ordinance (Chapter 297)) recorded against me to the Registrar of Companies ("the Registrar") and any public officer delegated by the Registrar.

確認 Confirmation

本人謹此確認：

I confirm that:-

- (a) 在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) 本人已閱讀香港法例第615章《打擊洗錢及恐怖分子資金籌集條例》(「打擊洗錢條例」)。本人明白打擊洗錢條例第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」)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 have read the Anti-Money Laundering and Counter-Terrorist Financing Ordinance, Chapter 615 ("the AMLO"). I understand that section 53ZN of 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) 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 have read the Personal Information Collection Statement stated in the Notes for Completion of this form and understand the contents stated therein.

本表格包括下列附表 This Form includes the following Schedule(s)

| 附表 Schedule(s) | A | B | C |
|-----------------|---|---|---|
| 頁數 No. of pages | | | |

簽署

Signed

簽署日期

Date of Signature

| | | | | | | | | | |
|----|----|----|----|----|----|----|----|--|--|
| | | | | | | | | | |
| 日D | 日D | 月M | 月M | 年Y | 年Y | 年Y | 年Y | | |

姓名

Name



附表 A

Schedule A

信託或公司服務提供者
牌照編號 (屬持牌人)
TCSP Licence No. (For Licensee)

第四部 Part 4

定罪紀錄 Conviction Record

| | | | | | | | | | |
|--|--|----|----|----|----|----|----|----|----|
| 所犯罪行 The offence | | | | | | | | | |
| 曾被施加的刑罰 (如有的話) Penalty imposed (if any) | | | | | | | | | |
| 被定罪日期 Date of conviction | <table><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 | | |
| 作出定罪判決所在地 Place where the conviction was made | | | | | | | | | |
| 審訊該罪行的法院的 名稱 Name of the court which tried the offence | | | | | | | | | |



第五部 **Part 5** 不遵從規定的紀錄 **Non-Compliance Record**

| | | | | | | | | | | | | |
|---|-------|-------|-------------|--|--|--|--|--|--|--|--|--|
| 不遵從規定／規例的詳情 Details of non-compliance | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| 被施加的刑罰／制裁 Details of penalty/sanction imposed | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| 有關裁定的生效日期 Effective date of the relevant specific decision | | | | | | | | | | | | |
| | 日D 日D | 月M 月M | 年Y 年Y 年Y 年Y | | | | | | | | | |
| 作出有關裁定的當局 The authority that made the relevant decision | | | | | | | | | | | | |
| | | | | | | | | | | | | |



破產紀錄
Bankruptcy Record

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--|----|----|--|--|--|--|--|----|----|----|----|--|--|--|--|--|--|--|--|----|----|----|----|--|--|--|--|
| 紀錄類別 Type of record | 請在適用的空格內加上 ✓ 號 Please tick the relevant box | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <input type="checkbox"/> 仍未解除破產人身分的紀錄 Record of undischarged bankruptcy | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <input type="checkbox"/> 香港法例第 6 章《破產條例》下的破產程序的紀錄 Record of bankruptcy proceedings under the Bankruptcy Ordinance, Chapter 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 破產令／呈請書送達日期 Date of the bankruptcy order／service of the petition | <table border="1" style="margin: auto; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="font-size: small;">日D</td> <td style="font-size: small;">日D</td> <td style="font-size: small;">月M</td> <td style="font-size: small;">月M</td> </tr> </table> | | | | | | | | 日D | 日D | 月M | 月M | <table border="1" style="margin: auto; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> <tr> <td style="font-size: small;">年Y</td> <td style="font-size: small;">年Y</td> <td style="font-size: small;">年Y</td> <td style="font-size: small;">年Y</td> </tr> </table> | | | | | | | | 年Y | 年Y | 年Y | 年Y | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 日D | 日D | 月M | 月M | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 年Y | 年Y | 年Y | 年Y | | | | | | | | | | | | | | | | | | | | | | | | | |
| 作出破產令／提交呈請書所在地 Place where the bankruptcy order was made／the petition was presented | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 作出破產令／呈請書所提交的法院的名稱 Name of the court which made the bankruptcy order／to which the petition was presented | | | | | | | | | | | | | | | | | | | | | | | | | | | | |



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》(「打擊洗錢條例」)，以下申請須連同每名須評定為適當人選的個人妥為填報及簽署的表格 TCSP4:
 - (a) 信託或公司服務提供者牌照申請書 (表格 TCSP1)；
 - (b) 信託或公司服務提供者牌照續期申請書 (表格 TCSP2)；及
 - (c) 批准成為信託或公司服務提供者的最終擁有人／合夥人／董事申請書 (表格 TCSP3)。
2. 在填報本表格前，有關人士須閱讀公司註冊處處長(「處長」)發出的《信託或公司服務提供者發牌指引》，了解有關評定適當人選的事宜。上述指引可於公司註冊處(「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. 請劃一以中文或英文填報各項所需資料。如以中文填報表格，請用繁體字。
4. 如本表格及有關的表格 TCSP1、TCSP2 或 TCSP3 是以印本形式交付本處，你可郵寄該等表格到「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。

費用

5. 有關的表格 TCSP1、TCSP2 或 TCSP3 及本表格必須連同正確費用一併交付，否則本處不會接納有關申請。有關所需費用的詳情，請參閱《信託或公司服務提供者發牌指引》第 15 章。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

6. 須評定是否適當人選的人士須簽署本表格並在第 7 部作出授權及確認各項陳述。本處不接納未簽妥的表格。

個別項目的備註 (請參照表格上的備註編號)

第二部 TCSP4 第一部所述申請書的申請人詳情

7. 請依據相關的表格 TCSP1、TCSP2 或 TCSP3 內填報的申請人或信託或公司服務持牌人的姓名／名稱填報本項。

第三部 須接受評定是否適當人選的人的詳情(屬個人的申請人或是／擬成為申請人的最終擁有人／合夥人／董事的個人)

8. 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(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。

第四部 定罪紀錄

9. 根據香港法例第 297 章《罪犯自新條例》第 4 條，該條例第 2 條不適用於與某人是否適宜獲批給或繼續持有牌照的問題有關的程序。因此，任何定罪均不會視為「已失時效」，而所有定罪的詳細資料必須填報。

Notes for Completion

General

- Under the Anti-Money Laundering and Counter-Terrorist Financing Ordinance, Cap.615 (“the AMLO”), the following applications should be accompanied by the duly completed and signed TCSP4 of each individual who is subject to the fit and proper test:
 - Application for a Trust or Company Service Provider Licence (Form TCSP1);
 - Application for Renewal of a Trust or Company Service Provider Licence (Form TCSP2); and
 - Application for Approval to Become an Ultimate Owner / a Partner / a Director of a Trust or Company Service Provider (Form TCSP3).
- Before completing this form, the person should read the ‘Guideline on Licensing of Trust or Company Service Providers’ issued by the Registrar of Companies (“the Registrar”) and understand the fit and proper criteria. The 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 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.
- If this form and the respective Form TCSP1, TCSP2 or TCSP3 are delivered to the Companies Registry (“the Registry”) in hard copy form, they can be delivered 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’.

Fees

- This form must be delivered with the respective Form TCSP1, TCSP2 or TCSP3 together with the correct fee. An application which is not delivered with the correct fee will be rejected by the Registry. Please refer to Chapter 15 of the ‘Guideline on Licensing of Trust or Company Service Providers’ for the correct fee payable for the respective application. 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

- This form must be signed by the person who is subject to the fit and proper test. The person who signs the form should make the authorization and confirm the statements in Part 7. 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 Applicant of the Application Referred to in Part 1 of TCSP4

- Please state the name of the applicant or TCSP licensee in accordance with the one stated in the respective Form TCSP1, TCSP2 or TCSP3.

Part 3 Particulars of the Person Subject to the Fit and Proper Test (the individual who is the Applicant or is/is proposed to become the Applicant’s ultimate owner/partner/director)

- 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 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 4 Conviction Record

- Pursuant to section 4 of the Rehabilitation of Offenders Ordinance (Cap. 297), section 2 of that Ordinance does not apply to proceedings related to a person’s suitability to be granted or to continue to hold a licence. Therefore, no conviction will be regarded as ‘spent’ and details of all convictions must be provided.