



公司註冊處  
Companies Registry

開放式基金型公司－  
法團成立表格  
Open-ended Fund Company –  
Incorporation Form

表格  
Form

OFCNC1  
(SFC)

註 Note

1 重要事項 Important Note

此表格須經由證券及期貨事務監察委員會交付公司註冊處。  
This form should be delivered to the Securities and Futures Commission  
for sending to the Companies Registry.

8 1 擬成立公司的名稱 Name of the Proposed Company

擬成立公司的英文名稱 English Name of the Proposed Company

擬成立公司的中文名稱 Chinese Name of the Proposed Company

9 2 擬成立公司的註冊辦事處地址 Address of the Proposed Company's Registered Office

(本處不接納非香港地址、「轉交」地址及郵政信箱號碼 Non-Hong Kong addresses, 'care of' addresses and post office box numbers are not acceptable)

室／樓／座等  
Flat/Floor/Block etc.

大廈  
Building

街道／屋苑／地段／村等  
Street/Estate/Lot/Village etc.

區  
District

地區  
Region

10 3 擬成立公司的聯絡資料 Contact Information of the Proposed Company

電郵地址  
Email Address

香港聯絡電話號碼  
Hong Kong Contact Telephone Number

+852

4 提交人資料 Presentor's Reference

中文姓名／名稱  
Name in Chinese

英文姓名／名稱  
Name in English

地址  
Address

電話 Tel

傳真 Fax

電郵 Email

檔號 Reference

請勿填寫本欄 For Official Use



# 表格 Form OFCNC1(SFC)

## 11 4 首任董事 First Directors

(如委任超過兩名董事，請用續頁 A 填報 Use Continuation Sheet A if more than 2 directors are appointed)

1 中文姓名

Name in Chinese

英文姓名

Name in English

姓氏

Surname

名字

Other Names

前用姓名

Previous Names

中文

Chinese

英文

English

別名

Alias

中文

Chinese

英文

English

## 12 通常住址 Usual Residential Address

(本處不接納「轉交」地址及郵政信箱號碼 'Care of' addresses and post office box numbers are not acceptable)

室／樓／座等

Flat/Floor/Block etc.

大廈

Building

街道／屋苑／地段／村等

Street/Estate/Lot/Village etc.

區／市／省／州／郵遞區號等

District/City/Province/

State/Postal Code etc.

國家／地區

Country/Region

## 13 身分識別 Identification

(a) 香港身分證號碼

Hong Kong Identity Card Number

(b) 護照

Passport

簽發國家／地區

Issuing Country/Region

號碼

Number

## 14 電郵地址

Email Address

## 15 出任董事職位同意書 Consent to Act as Director

本人同意在公司成立為法團後擔任其董事，並確認本人已年滿 18 歲。

I consent to be a director of the company after its incorporation and confirm that I have attained the age of 18 years.

簽署 Signed

: \_\_\_\_\_



表格  
Form

# OFCNC1(SFC)

11 4 首任董事 First Directors (續上頁 cont'd)

(如委任超過兩名董事，請用續頁 A 填報 Use Continuation Sheet A if more than 2 directors are appointed)

2 中文姓名  
Name in Chinese

英文姓名  
Name in English

姓氏  
Surname

名字  
Other Names

前用姓名  
Previous Names

中文  
Chinese

英文  
English

別名  
Alias

中文  
Chinese

英文  
English

12 通常住址 Usual Residential Address

(本處不接納「轉交」地址及郵政信箱號碼 'Care of' addresses and post office box numbers are not acceptable)

室／樓／座等  
Flat/Floor/Block etc.

大廈  
Building

街道／屋苑／地段／村等  
Street/Estate/Lot/Village etc.

區／市／省／州／郵遞區號等  
District/City/Province/  
State/Postal Code etc.

國家／地區  
Country/Region

13 身分識別 Identification

(a) 香港身分證號碼  
Hong Kong Identity Card Number

 (  )

(b) 護照 簽發國家／地區  
Passport Issuing Country/Region

號碼  
Number

14 電郵地址  
Email Address

15 出任董事職位同意書 Consent to Act as Director

本人同意在公司成立為法團後擔任其董事，並確認本人已年滿 18 歲。  
I consent to be a director of the company after its incorporation and confirm that I have attained the age of 18 years.

簽署 Signed : \_\_\_\_\_



**5 非香港居民董事的法律程序文件代理人**

**Process Agent(s) of Non-resident Director(s)**

(只有通常住址在香港以外地方的董事才須要法律程序文件代理人。如超過一名法律程序文件代理人獲委任，請用續頁 B 填報)

*A process agent is only required for a director whose usual residential address is outside Hong Kong. Use Continuation Sheet B if more than one process agent is appointed)*

**A 法律程序文件代理人的詳情 Details of Process Agent**

中文姓名／名稱  
Name in Chinese

英文姓名／名稱  
Name in English

16

**地址 Address**

(本處不接納非香港地址、「轉交」地址及郵政信箱號碼 Non-Hong Kong addresses, 'care of' addresses and post office box numbers are not acceptable)

室／樓／座等  
Flat/Floor/Block etc.

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Street/Estate/Lot/Village etc.

區  
District

地區  
Region

香港／HONG KONG

17

**B 委任上述法律程序文件代理人的董事的姓名**

**Name(s) of Director(s) who has/have appointed the above Process Agent**



**7 6 董事陳述書 Statement of Director**

本人現核證 I certify that :

- (a) 本人為擬成立公司的首任董事並獲其他首任董事授權簽署本表格。  
I am a first director of the proposed company and am authorized by the other first director(s) to sign this incorporation form.
- (b) 所有首任董事已根據《證券及期貨(開放式基金型公司)規則》(第 571AQ 章)第 13(1)(b) 條簽署公司的法團成立文書，並確認連同本表格交付的公司法團成立文書的文本的內容，與由所有首任董事簽署的該等法團成立文書的內容相同。  
The company's instrument of incorporation has been signed by all the first directors of the company pursuant to rule 13(1)(b) of the Securities and Futures (Open-ended Fund Companies) Rules (Cap. 571AQ). The contents of the copy of the company's instrument of incorporation delivered together with this form are the same as those of the instrument of incorporation signed by all the first directors.
- (c) 本表格所載的資料、陳述及詳情均屬準確，並與公司的法團成立文書內的資料、陳述及詳情相符。  
The information, statements and particulars contained in this form are accurate and consistent with those contained in the company's instrument of incorporation.
- (d) 公司已遵守《證券及期貨條例》(第 571 章)第 IVA 部及《證券及期貨(開放式基金型公司)規則》中就有關開放式基金型公司成立為法團的所有規定。  
All the requirements of Part IVA of the Securities and Futures Ordinance (Cap. 571) and the Securities and Futures (Open-ended Fund Companies) Rules in respect of the incorporation of an open-ended fund company have been complied with.

本表格包括下列續頁 This Form includes the following Continuation Sheet(s)

續頁 Continuation Sheet(s)	A	B
頁數 Number of pages		

**7** 簽署 Signed :

姓名 Name : \_\_\_\_\_ 日期 Date : \_\_\_\_\_  
首任董事 First Director 日 DD / 月 MM / 年 YYYY



11 首任董事詳情 (第 4 項) Details of First Directors (Section 4)

中文姓名 Name in Chinese	
英文姓名 Name in English	姓氏 Surname
	名字 Other Names
前用姓名 Previous Names	中文 Chinese
	英文 English
別名 Alias	中文 Chinese
	英文 English

12 通常住址 Usual Residential Address

(本處不接納「轉交」地址及郵政信箱號碼 'Care of' addresses and post office box numbers are not acceptable)

室／樓／座等 Flat/Floor/Block etc.	
大廈 Building	
街道／屋苑／地段／村等 Street/Estate/Lot/Village etc.	
區／市／省／州／郵遞區號等 District/City/Province/ State/Postal Code etc.	
國家／地區 Country/Region	

13 身分識別 Identification

(a) 香港身分證號碼 Hong Kong Identity Card Number		(		)
(b) 護照 Passport	簽發國家／地區 Issuing Country/Region			
	號碼 Number			

14 電郵地址  
Email Address

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15 出任董事職位同意書 Consent to Act as Director

本人同意在公司成立為法團後擔任其董事，並確認本人已年滿 18 歲。  
I consent to be a director of the company after its incorporation and confirm that I have attained the age of 18 years.

簽署 Signed : \_\_\_\_\_



非香港居民董事的法律程序文件代理人的詳情(第 5 項)

**Details of Process Agent(s) of Non-resident Director(s) (Section 5)**

**A 法律程序文件代理人的詳情 Details of Process Agent**

中文姓名／名稱  
Name in Chinese

英文姓名／名稱  
Name in English

16

**地址 Address**

(本處不接納非香港地址、「轉交」地址及郵政信箱號碼 Non-Hong Kong addresses, 'care of' addresses and post office box numbers are not acceptable)

室／樓／座等  
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Street/Estate/Lot/Village etc.

區  
District

地區  
Region

17

**B 委任上述法律程序文件代理人的董事的姓名**

**Name(s) of Director(s) who has/have appointed the above Process Agent**



**《證券及期貨條例》(第 571 章)  
第 112C(1)(a)條規定交付的**

**開放式基金型公司 — 法團成立表格**

**填表須知 — 表格 OFCNC1(SFC)**

**附註**

**引言**

1. 本表格是用以申請成立一間具法團地位的開放式基金型公司。本表格須連同公司的法團成立文書的文本及正確的費用，經由證券及期貨事務監察委員會(「證監會」)交付公司註冊處處長(「處長」)登記。證監會會將有關文件及費用送交公司註冊處。
2. 根據《商業登記條例》(第 310 章)第 5A(1) 及 5D(2) 條的規定，提出成立開放式基金型公司的申請人須把「致商業登記署通知書」(IRBR3)和訂明的商業登記費及徵費連同本表格一併交付，否則公司註冊處不會接納其申請。
3. 請劃一以中文或英文申報各項所需資料。如以中文申報，請用繁體字。以手寫方式填寫的表格或不會被公司註冊處接納。
4. 請提供提交人資料。除非有特別事項需要公司註冊處注意，否則無須另加附函。公司註冊處會以電郵或傳真方式通知提交人親身領取開放式基金型公司的「公司註冊證明書」及「商業登記證」。如提交人委託他人代領，需簽署授權書。
5. 你可郵寄或親身交付本表格到「香港鰂魚涌華蘭路 18 號港島東中心 54 樓證券及期貨事務監察委員會」。如以郵寄方式交付表格而證監會並沒有收到該表格的話，則該表格不會視作曾為遵從《證券及期貨條例》第 112C(1)(a)條及《證券及期貨(開放式基金型公司)規則》(第 571AQ 章) (「該規則」)中有關條文的規定而作出交付。

**費用**

6. 本表格必須連同正確的費用經由證監會交付公司註冊處，否則公司註冊處不會接納登記。有關所需費用的詳情，請參閱公司註冊處《開放式基金型公司向公司註冊處交付文件登記》資料小冊子及《商業登記費及徵費收費表》。請以港幣劃線支票繳付費用，抬頭請註明「公司註冊處」。

**簽署**

7. 本表格必須由一名名列本表格內的首任董事簽署並核證第 6 項「董事陳述書」內的各項陳述。公司註冊處不接納未簽妥的表格。

**擬成立公司的名稱 (第 1 項)**

8. 在本項填報的開放式基金型公司的公司名稱須與公司法團成立文書內所述的公司名稱相同。

**擬成立公司的註冊辦事處地址 (第 2 項)**

9. 請在本項填報擬成立公司的註冊辦事處的詳細地址。本處不接納非香港地址、「轉交」地址及郵政信箱號碼。於本項填報的地址須自開放式基金型公司成立為法團的日期起，作為其註冊辦事處地址，直至公司根據該規則第 20(1)條向處長交付有關該地址的更改通知書(表格 OFCR1)為止。

**擬成立公司的聯絡資料 (第 3 項)**

10. 請提供開放式基金型公司的電郵地址及香港聯絡電話號碼以方便聯絡。如電郵地址或聯絡電話號碼其後有任何更改，請以表格 OFCR1 通知公司註冊處。



#### 首任董事 (第 4 項)

11. (a) 請在本項填報開放式基金型公司的首任董事的詳情。
- (b) 每間開放式基金型公司必須有最少兩名董事，法人團體不得獲委任為公司董事。
12. 請填報董事的通常住址。如屬非香港地址，請同時填報「國家／地區」一欄，並在第 5 項提供其法律程序文件代理人的資料。本處不接納「轉交」地址及郵政信箱號碼。
13. 請填報董事的香港身分證號碼。如該人並非香港身分證持有人，請填報其所持護照的號碼及簽發國家／地區。如該人並非香港身分證持有人，亦沒有任何護照，則請在有關的空格內填上「無」。
14. 請提供董事的電郵地址(如有的話)以方便聯絡。如電郵地址其後有任何更改，請以表格 OFCD3 通知公司註冊處。
15. 每一名董事均須作出陳述，同意在開放式基金型公司成立為法團後擔任其董事。董事必須在本表格的「出任董事職位同意書」上簽署。

#### 非香港居民董事的法律程序文件代理人 (第 5 項)

16. 請填報法律程序文件代理人在香港的地址—
- (a) 如法律程序文件代理人是個人，請註明該人的通常住址。
- (b) 如法律程序文件代理人是公司，請註明該公司的註冊辦事處地址。
- (c) 如法律程序文件代理人是律師行或《會計及財務匯報局條例》(第 588 章)第 2(1) 條所界定的會計師事務所，請註明該合夥的主要營業地點。

本處不接納「轉交」地址及郵政信箱號碼。

17. 請註明委任法律程序文件代理人的董事姓名。

## OPEN-ENDED FUND COMPANY – INCORPORATION FORM

For the purposes of section 112C(1)(a) of  
Securities and Futures Ordinance (Cap. 571)

### Notes for Completion of Form OFCNC1(SFC)

#### Introduction

1. This form is used for applying for incorporation of an open-ended fund company. This form should be delivered, together with a copy of the company's instrument of incorporation and the correct fees, to the Registrar of Companies (the Registrar) for registration **through the Securities and Futures Commission** (the Commission). The Commission will send the relevant documents and fees to the Companies Registry.
2. According to sections 5A(1) and 5D(2) of the Business Registration Ordinance (Cap. 310), **an applicant for incorporation of an open-ended fund company must deliver a Notice to Business Registration Office (IRBR3) and the prescribed business registration fee and levy together with this form.** Otherwise, the application will be rejected by the Companies Registry.
3. 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. Please note that handwritten forms may be rejected by the Companies Registry.
4. Please complete the Presentor's Reference. Unless the presentor needs to raise a specific issue for the attention of the Companies Registry, no covering letter is required. The Companies Registry will notify the presentor by email or fax to collect the Certificate of Incorporation and Business Registration Certificate for the open-ended fund company in person. A written authorization will be required if the presentor sends a representative to collect the certificates.
5. This form can be delivered to the Commission by post or in person to "**The Securities and Futures Commission, 54/F, One Island East, 18 Westlands Road, Quarry Bay, Hong Kong**". If the form is delivered by post but the Commission has not received it, the form will not be regarded as having been delivered in satisfaction of section 112C(1)(a) of the Securities and Futures Ordinance and the relevant provision of the Securities and Futures (Open-ended Fund Companies) Rules (Cap. 571AQ) (the Rules).

#### Fee

6. This form must be delivered with the correct fees to the Companies Registry through the Commission. A form which is not delivered with the correct fees will be rejected by the Companies Registry for registration. Please refer to the Companies Registry's information pamphlet on 'Open-ended Fund Company - Delivery of Documents to the Companies Registry for Registration' and the 'Business Registration Fee and Levy Table' for the correct fees payable. **The fees should be paid by cheque which should be crossed and issued in Hong Kong Dollars payable to 'Companies Registry'.**

#### Signature

7. One of the first directors named in this form must sign this form and **certify the statements made in the Statement of Director in Section 6.** A form which is not properly signed will be rejected by the Companies Registry.

#### Name of the Proposed Company (Section 1)

8. The company name(s) of the open-ended fund company stated in this Section should be identical to the name(s) stated in the instrument of incorporation of the company.

#### Address of the Proposed Company's Registered Office (Section 2)

9. The full address of the proposed company's registered office must be stated in this Section. Non-Hong Kong addresses, 'care of' addresses and post office box numbers are not acceptable. The address given in this Section shall be the address of the registered office of the open-ended fund company with effect from the date of its incorporation until a notice of change in respect of the address in Form OFCR1 is delivered to the Registrar under rule 20(1) of the Rules.

### Contact Information of the Proposed Company (Section 3)

10. Please provide the email address and contact telephone number in Hong Kong of the open-ended fund company to facilitate communication. If there are any subsequent changes in the email address or the contact telephone number, please notify the Companies Registry by completing Form OFCR1.

### First Directors (Section 4)

11. (a) The details of the first directors of the open-ended fund company must be reported in this Section.
- (b) Every open-ended fund company must have at least two directors. A body corporate must ***not*** be appointed a director of the company.
12. Please provide the ***usual residential address*** of each director. If a non-Hong Kong address is given, please also complete the box for 'Country / Region' and provide details of the director's process agent in Section 5. 'Care of' addresses and post office box numbers are not acceptable.
13. The Hong Kong Identity Card number or, in the absence of a Hong Kong Identity Card, the number and issuing country / region of the passport of a director should be given. If he or she holds neither a Hong Kong Identity Card nor a passport, please state 'Nil' in the boxes provided.
14. Please provide the email address of each director, if any, to facilitate electronic communication. If there are any subsequent changes in the email address, please notify the Companies Registry by completing Form OFCD3.
15. Every director shall make a statement that he or she has consented to be a director of the open-ended fund company after the incorporation of the company. A director must sign the 'Consent to Act as Director' in this form.

### Process Agent(s) of Non-resident Director(s) (Section 5)

16. Please provide the address of the process agent in ***Hong Kong***—
- (a) If the process agent is an individual, his / her usual residential address should be given.
- (b) If the process agent is a company, the address of the company's registered office should be given.
- (c) If the process agent is a firm of solicitors or a CPA firm as defined by section 2(1) of the Accounting and Financial Reporting Council Ordinance (Cap. 588), the principal place of business of the partnership should be given.
- 'Care of' addresses and post office box numbers are not acceptable.
17. Please state the name(s) of the director(s) for whom the process agent is appointed.