

Personal Information Collection Statements (“PICS”)

Securities and Futures Ordinance (Cap. 571) and Securities and Futures (Open-ended Fund Companies) Rules (Cap. 571AQ)

Purpose of Collection

1. Personal data provided to the Registrar of Companies (“the Registrar”) pursuant to any requirement of the Securities and Futures Ordinance (Cap. 571) and the Securities and Futures (Open-ended Fund Companies) Rules (Cap. 571AQ) will be used by the Registrar for one or more of the following purposes:
 - a. to administer the Securities and Futures Ordinance (Cap. 571) and the Securities and Futures (Open-ended Fund Companies) Rules (Cap. 571AQ);
 - b. to enforce relevant provisions of the Securities and Futures Ordinance (Cap. 571) and the Securities and Futures (Open-ended Fund Companies) Rules (Cap. 571AQ);
 - c. to make available for public inspection the OFC register (containing personal data), so as to enable any member of the public –
 - I. to ascertain whether the member of the public is dealing with -
 - i. an open-ended fund company or its directors, in matters of or connected with any act of the company;
 - ii. a director of an open-ended fund company, in matters of or connected with the administration of the company, or of its property;
 - iii. a person who has entered into possession of the property of an open-ended fund company as mortgagee;
 - iv. a person who is appointed as the provisional liquidator or liquidator in the winding up of an open-ended fund company under Part 11 of the Securities and Futures (Open-ended Fund Companies) Rules (Cap. 571AQ); or
 - v. a person who is appointed as the receiver or manager of the property of an open-ended fund company; and
 - II. to ascertain the particulars of the company, its directors, or its former directors (if any), or the particulars of any person mentioned in paragraphs I (iii) to (v) above;

- d. to provide copies of any documents containing such personal data to any person subject to payment of a fee; and
- e. to administer functions of the Companies Registry in relation to simultaneous business registration applications under the Business Registration Ordinance (Cap. 310).

Classes of Transferees

- 2.
 - a. The personal data collected will be available in the OFC register for public inspection subject to any restriction in law.
 - b. Some personal data as required under the Business Registration Ordinance (Cap. 310) will be transmitted to the Commissioner of Inland Revenue for the purposes of business registration. The Commissioner of Inland Revenue will use the data for tax purposes and may disclose the data to other parties authorised by law to receive it.
 - c. The personal data collected may be disclosed to the Securities and Futures Commission for the purposes of the Securities and Futures Ordinance (Cap. 571) or the Securities and Futures (Open-ended Fund Companies) Rules (Cap. 571AQ).

Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32)

Purpose of Collection

- 1. Personal data provided to the Registrar pursuant to any requirement of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32) will be used by the Registrar for one or more of the following purposes:
 - a. to administer the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32);
 - b. to enforce relevant provisions of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32);

- c. to make available for public inspection the Companies Register (containing personal data), so as to enable any member of the public -
 - I. to ascertain whether the member of the public is dealing with -
 - i. a person against whom a disqualification order has been made by a court; or
 - ii. a person who is appointed as the provisional liquidator or liquidator in the winding up of an open-ended fund company; and
 - II. to ascertain the particulars of the provisional liquidator or liquidator in the winding up of an open-ended fund company;
- d. to provide copies of any documents containing such personal data to any person subject to payment of a fee.

Classes of Transferees

- 2. The personal data collected will be available in the Companies Register for public inspection subject to any restriction in law.

Notice

- 1. The provisions of the Personal Data (Privacy) Ordinance (Cap. 486) ("PDPO") apply to the use of personal data obtained from the Companies Registry's public registers. 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.
- 2. Individuals have a right to request access to and correction of his/her personal data held in the public registers maintained by the Companies Registry 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 any officer acting for or on behalf of the Registrar at the Companies Registry, 15th Floor, Queensway Government Offices, 66 Queensway, Hong Kong.

* For delivery to the Securities and Futures Commission ("SFC") for applying

approval

**Not for delivery to the Companies Registry or SFC