

# APPLICATION BY A COMPANY FOR A MONEY LENDER LICENCE

## *Supplementary Information Sheet*

### Section 1 : Company Basic Information

Name of the company	
CR Number	
Contact person	
Telephone Number	
Facsimile Number	
Email Address	
Website Address	
Number of Employees (including both full-time and part-time employees)	

### Section 2 : Intended Business

Amount of Issued Share Capital	
Intended nature of money lending business	<input type="checkbox"/> Customer loans <input type="checkbox"/> Inter-company loans <input type="checkbox"/> Other lending business (please specify)
Intended major types of customer loans	<input type="checkbox"/> Unsecured Personal Loans <input type="checkbox"/> Other Unsecured Loans <input type="checkbox"/> Secured Loans (excluding property mortgage loan) <input type="checkbox"/> Property Mortgage Loans <input type="checkbox"/> Others (please specify)
Intended source of funding	<input type="checkbox"/> Bank borrowings <input type="checkbox"/> Shareholders' funds <input type="checkbox"/> Debt instruments <input type="checkbox"/> Other liabilities (please specify)
Forecast business volume (Projected loan size)	

**Section 3 : Operational Planning on Anti-Money Laundering and Counter-Terrorist Financing Measures**

3.1	<p>Would the company put in place adequate and appropriate policies, procedures and controls to comply with the anti-money laundering and counter-terrorist financing requirements, as evidenced by policy statement(s) or other written documents?</p> <p>If not, please explain:-</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.2	<p>(a) Before establishing business relationships with customers or before carrying out transactions for customers, would the company take customer due diligence measures to identify and verify the identity of the customers and their beneficial owners?</p> <p>If not, please explain:-</p> <hr/> <hr/> <hr/> <p>(b) Before establishing business relationships with customers or before carrying out transactions for customers, would the company obtain information on the purpose and intended nature of the business relationships established with the company?</p> <p>If not, please explain:-</p> <hr/> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.3	<p>(a) Would the company keep records of customers obtained through customer due diligence 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>If not, please explain :-</p> <hr/> <hr/> <p>(b) Would the company keep records of transactions for at least 5 years after the completion of transactions?</p> <p>If not, please explain :-</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
		<input type="checkbox"/> Yes	<input type="checkbox"/> No

3.4	<p>Would the company carry out enhanced customer due diligence measures when dealing with situations which present a high risk of money laundering or terrorist financing (e.g. customers have not been physically present for identification purposes or where the customers or beneficial owners are politically exposed person or from high risk countries)?</p> <p>If not, please explain:-</p> <hr/> <hr/> <p>Would senior management approval be needed before establishing such business relationship?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.5	<p>Would the company carry out customer due diligence measures by means of intermediaries?</p> <p>If the answer is “No”, please skip 3.5(a) and (b).</p> <p>If the answer is “yes”, :</p> <p>(a) Would the company obtain consent in writing from the intermediaries to be the company’s intermediaries?</p> <p>If not, please explain :-</p> <hr/> <hr/> <p>(b) Would the company ensure that the 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 customer due diligence measures without delay?</p> <p>If not, please explain:-</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.6	<p>Would the company 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>If not, please explain:-</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.7	<p>Would the company 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>If not, please explain:-</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

<p>3.8</p>	<p>Would the company 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 or terrorist financing?</p> <p>If yes, how would the effectiveness of the training be monitored?</p> <hr/> <hr/> <p>If not, please explain:-</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<p>3.9</p>	<p>Would the company provide its staff with policies or guidelines in relation to the conduct of customer due diligence, criteria for identifying suspicious transactions, and relevant anti-money laundering and counter-terrorist financing measures for reference?</p> <p>If not, please explain:-</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Section 4 : Disciplinary Actions**

<p>Has</p> <ul style="list-style-type: none"> <li>● the company;</li> <li>● any of the directors or other controlling persons of the company;</li> <li>● another company of which the company is or was a corporate director; or</li> <li>● another company of which the company is or was a principal shareholder</li> </ul> <p>ever been</p> <ul style="list-style-type: none"> <li>● refused or restricted, in Hong Kong or elsewhere, from the right to carry on any trade, business or profession for which a specific licence, registration or other authorisation is required by law? If so, please provide details</li> </ul> <hr/> <hr/> <hr/> <hr/> <hr/> <ul style="list-style-type: none"> <li>● censored, disciplined or disqualified by any professional or regulatory body in Hong Kong or elsewhere in relation to any trade, business or profession? If so, please provide details</li> </ul> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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**Section 5: Declaration**

**I hereby declare that:**

- (1) the company would not have any business relationship with any relevant person or relevant entity (as defined under the United Nations Sanctions Ordinance, Cap 537 or any subsidiary legislation thereunder) which is subject to financial sanctions or any terrorist or terrorist associate as defined under the United Nations (Anti-Terrorism Measures) Ordinance, Cap 575.<sup>Note 2</sup>**
  
- (2) all the information provided in this form is complete, true and correct.**

For and on behalf of	 <i>(Name of the company)</i>  
Signature	   
Name of person authorised by the company <sup>(Note 3)</sup>	   
Date	   

Note

1. Please use a separate sheet to continue if there is insufficient space provided for your answer.
2. The relevant lists are available at “Our Services > Licensing of Money Lenders > Anti-Money Laundering and Counter-Terrorist Financing” section of the website at [www.cr.gov.hk](http://www.cr.gov.hk). It is an offence for any person to make available any funds or other financial assets or economic resources to or for the benefit of relevant persons or relevant entities; or to deal with any funds, other financial assets or economic resources belonging to, owned or controlled by, such persons or entities, except under the authority of a licence granted by the Chief Executive.
3. Please produce evidence of authorisation.