

**APPLICATION BY AN INDIVIDUAL FOR A MONEY LENDERS LICENCE
FOR A SOLE PROPRIETOR OR FOR A PARTNERSHIP**

Supplementary Information Sheet

Section 1 : Basic Information

Name of the applicant	
Intended Business Name	
Contact person	
Telephone Number	
Facsimile Number	
Email Address	
Website Address for the business	
Number of Employees (including both full-time and part-time employees)	

Section 2 : Intended Business

Total amount of capital	
Intended nature of money lending business	<input type="checkbox"/> Customer loans <input type="checkbox"/> Inter-company loans <input type="checkbox"/> Corporate Financing <input type="checkbox"/> Others (please specify)
Intended major types of 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"/> Funds from proprietor / partners <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

<p>3.1</p>	<p>Would you / any of your partners 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/>	<p><input type="checkbox"/> Yes</p>	<p><input type="checkbox"/> No</p>
<p>3.2</p>	<p>(a) Before establishing business relationships with customers or before carrying out transactions for customers, would you / any of your partners 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 you / any of your partners obtain information on the purpose and intended nature of the business relationships established with your business?</p> <p>If not, please explain:-</p> <hr/> <hr/> <hr/>	<p><input type="checkbox"/> Yes</p>	<p><input type="checkbox"/> No</p>
<p>3.3</p>	<p>(a) Would you / any of your partners 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 you / any of your partners keep records of transactions for at least 5 years after the completion of transactions?</p> <p>If not, please explain :-</p> <hr/> <hr/>	<p><input type="checkbox"/> Yes</p>	<p><input type="checkbox"/> No</p>
		<p><input type="checkbox"/> Yes</p>	<p><input type="checkbox"/> No</p>

Section 5: Declaration

I hereby declare that:

- (1) I / any of my partners 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. ^{Note 2}**
- (2) all the information provided in this form is complete, true and correct.**

Signature	
Name of the Applicant	
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. 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.