

COMPANIES (WINDING UP AND MISCELLANEOUS PROVISIONS)
ORDINANCE (Chapter 32)

In exercise of the power conferred on me under section 2A of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Chapter 32) ('the Ordinance'), I hereby specify the forms mentioned in the first column of the Schedule hereto for use by open-ended fund companies with effect from the commencement of the Securities and Futures (Amendment) Ordinance 2016 for the purposes of the sections of the Ordinance mentioned opposite to the respective entries of the forms in the second column of the Schedule hereto.

The forms specified are hereby published for information.

SCHEDULE

Form		Section Number(s) of the Ordinance
Form Number	Name of Form	
OFCW3	Open-ended Fund Company—Notice of Appointment of Liquidator or Provisional Liquidator	195(a), 228A(10) & 253(1)(b)
OFCW6	Open-ended Fund Company—Certificate of Release of Liquidator	226A(1)

20 July 2018

Ada L. L. CHUNG *Registrar of Companies*



公司註冊處
Companies Registry

開放式基金型公司－
委任清盤人或臨時清盤人通知書
Open-ended Fund Company –
Notice of Appointment of
Liquidator or Provisional Liquidator

表格 **OFCW3**
Form

公司編號 Company Number

OF

註 Note

1 公司名稱 Company Name

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(清盤在進行中 In Liquidation)*

2 本通知書是關於－

This Notice relates to —

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

☐ 上述開放式基金型公司
the above Open-ended Fund Company

☐ 上述開放式基金型公司的子基金
a sub-fund of the above Open-ended Fund Company

子基金名稱 Name of the sub-fund

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(清盤在進行中 In Liquidation)

*請刪去不適用者 Delete whichever does not apply

4

提交人資料 Presenter's Reference

姓名 Name:

地址 Address:

電話 Tel:

電郵 Email :

檔號 Reference:

傳真 Fax:

請勿填寫本欄 For Official Use

3 清盤方式 Mode of Winding Up

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

☐ 由法院作出清盤 Winding Up by Court

☐ 股東自動清盤 Shareholders' Voluntary Winding Up

☐ 債權人自動清盤 Creditors' Voluntary Winding Up

☐ 其他清盤方式 (請註明) Others (Please specify)

4 委任詳情 Details of Appointment(s)

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

- 1 身分 ☐ 清盤人 ☐ 臨時清盤人
Capacity Liquidator Provisional Liquidator
- 類別 ☐ 唯一 ☐ 共同 ☐ 共同及各別
Status Sole Joint Joint & Several
- 委任方式 ☐ 公司決議 ☐ 債權人決議 ☐ 董事決議 ☐ 法院命令 ☐ 破產管理署署長
Mode of Resolution Resolution Resolution Resolution Court Order 委任
Appointment of Company of Creditors of Directors by the Official
Receiver

中文姓名
Name in Chinese

英文姓名
Name in English

姓氏
Surname

名字
Other Names

地址
Address

單位／樓層／座數 Flat / Floor / Block

大廈／屋苑 Building / Estate

街道名稱／區／市 Name of Street / District / City

國家／地區 Country / Region

(本處不接納郵政信箱號碼 Post office box numbers are not acceptable)

7 電郵地址
Email Address

8 身分證明 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

委任日期
Date of Appointment

日 DD 月 MM 年 YYYY

表格 **OFCW3**
Form

公司編號 Company Number

OF

4 委任詳情 Details of Appointment(s) (續上頁 cont'd)

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

2 身分 ☐ **清盤人** ☐ **臨時清盤人**
Capacity Liquidator Provisional Liquidator

類別 ☐ **唯一** ☐ **共同** ☐ **共同及各別**
Status Sole Joint Joint & Several

委任方式 ☐ **公司決議** ☐ **債權人決議** ☐ **董事決議** ☐ **法院命令** ☐ **破產管理署署長**
Mode of Appointment Resolution of Company Resolution of Creditors Resolution of Directors Court Order **委任**
by the Official Receiver

中文姓名
Name in Chinese

英文姓名 **姓氏**
Name in English Surname
名字
Other Names

地址
Address

單位／樓層／座數 Flat / Floor / Block

大廈／屋苑 Building / Estate

街道名稱／區／市 Name of Street / District / City

國家／地區 Country / Region

(本處不接受郵政信箱號碼 Post office box numbers are not acceptable)

電郵地址
Email Address

身分證明 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

委任日期
Date of Appointment

日 DD 月 MM 年 YYYY

簽署 Signed : **簽署** Signed :
姓名 Name : **姓名** Name :
清盤人／臨時清盤人* **清盤人／臨時清盤人***
Liquidator / Provisional Liquidator * Liquidator / Provisional Liquidator *

日期 Date : **日期** Date :
日 DD / 月 MM / 年 YYYY 日 DD / 月 MM / 年 YYYY

* 請刪去不適用者 Delete whichever does not apply

根據《證券及期貨(開放式基金型公司)規則》(香港法例第 571AQ 章)第 177 及 188 條和
《公司(清盤及雜項條文)條例》(香港法例第 32 章)
第 195(a)、228A(10) 及 253(1)(b)條規定交付的

開放式基金型公司 — 委任清盤人或臨時清盤人通知書

填表須知 — 表格 OFCW3

附註

引言

1. 本表格是用以通知公司註冊處處長(「處長」)有關開放式基金型公司／該公司的子基金清盤人或臨時清盤人的委任。根據《公司(清盤及雜項條文)條例》第 228A 條，獲委任的臨時清盤人須在公司／該公司的子基金清盤開始後的 15 日內交付本表格；在自動清盤案中獲委任的清盤人則須在委任日期後的 15 日內交付本表格；獲法院委任的清盤人或臨時清盤人亦須盡快以本表格通知處長。
2. 如委任超過兩名清盤人或臨時清盤人，請使用另一份表格 OFCW3。如申報其詳情的更改，請使用表格 OFCW4。如申報有關清盤人或臨時清盤人的停任，請使用表格 OFCW5。
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。
5. 你可郵寄本表格到「香港金鐘道 66 號金鐘道政府合署 14 樓公司註冊處」，或親身到上址交付。如以郵寄方式交付表格而處長並沒有收到該表格的話，則該表格不會視作曾為遵從《公司(清盤及雜項條文)條例》中有關條文的規定而交付處長。

簽署

6. 本表格必須由每一位獲委任的清盤人或臨時清盤人簽署，公司註冊處不接納未簽妥的表格。

委任詳情 (第 4 項)

7. 請提供清盤人或臨時清盤人的電郵地址(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 OFCW4 通知公司註冊處。
8. 請申報清盤人或臨時清盤人的香港身分證號碼。如該人並非香港身分證持有人，請申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，亦沒有任何國家／地區的護照，則請在有關的空格內填上「無」。

**OPEN-ENDED FUND COMPANY –
NOTICE OF APPOINTMENT OF LIQUIDATOR OR PROVISIONAL LIQUIDATOR**

**For the purposes of sections 195(a), 228A(10) and 253(1)(b) of
Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32) and
rules 177 and 188 of the Securities and Futures (Open-ended Fund Companies) Rules (Cap. 571AQ)**

Notes for Completion of Form OFCW3

Introduction

1. This form should be used to notify the Registrar of Companies (the Registrar) of the appointment of the liquidator or provisional liquidator of an open-ended fund company / sub-fund of the company. A provisional liquidator appointed under section 228A of the Companies (Winding Up and Miscellaneous Provisions) Ordinance should deliver this form within 15 days after the commencement of the winding up of the company / sub-fund of the company. A liquidator appointed in a voluntary winding up should deliver this form within 15 days after the date of appointment. A liquidator or provisional liquidator appointed by the court should give notice of the appointment to the Registrar in this form as soon as possible.
2. If more than two liquidators or provisional liquidators are appointed, please use a separate Form OFCW3. To report any changes in their particulars, please use Form OFCW4. To report that a liquidator or provisional liquidator has ceased to act, please use Form OFCW5.
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.
5. This form can be delivered by post or in person to "The Companies Registry, 14th floor, Queensway Government Offices, 66 Queensway, Hong Kong". If the form is delivered by post but the Registrar has not received it, the form will not be regarded as having been delivered to the Registrar in satisfaction of the relevant provision of the Companies (Winding Up and Miscellaneous Provisions) Ordinance.

Signature

6. This form must be signed by each of the newly appointed liquidators or provisional liquidators. A form which is not properly signed will be rejected by the Companies Registry.

Details of Appointment(s) (Section 4)

7. Please provide the email address of the liquidator or provisional liquidator, if any, to facilitate electronic communication. If there are any subsequent changes in the email address, please notify the Companies Registry by completing Form OFCW4.
8. The Hong Kong Identity Card number or, in the absence of which, the number and issuing country / region of the passport of the liquidator or provisional liquidator should be given. If he or she holds neither a Hong Kong Identity Card nor a passport, please state 'Nil' in the boxes provided.



公司註冊處
Companies Registry

開放式基金型公司－
免除清盤人職務證明書
Open-ended Fund Company –
Certificate of Release of Liquidator

表格
Form **OFCW6**

公司編號 Company Number

OF

註 Note

1 公司名稱 Company Name

(清盤在進行中 In Liquidation)*

2 證明書 Certificate

本人／我們 *

I/We *,

(請填報清盤人的姓名 Please state the name(s) of the Liquidator(s))

是上述開放式基金型公司的清盤人，現按照《公司(清盤及雜項條文)條例》(第32章)第226A條述明—

being the Liquidator(s) of the above open-ended fund company, hereby state in accordance with section 226A of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32) that —

(a) 上述開放式基金型公司的事務已完全結束；及
the affairs of the above open-ended fund company have been completely wound up;
and

(b) 本人／我們* 已獲法院根據《公司(清盤及雜項條文)條例》(第32章) 第205條頒發的命令批准免除職務。

I/We * have been granted release by order of the court under section 205 of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32).

法院命令的日期

Date of the Court Order

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日 DD

月 MM

年 YYYY

5 簽署 Signed :

姓名 Name(s) : _____ 日期 Date : _____
清盤人 Liquidator(s) 日 DD / 月 MM / 年 YYYY

*請刪去不適用者 Delete whichever does not apply

3 提交人資料 Presentor's Reference

姓名 Name:

地址 Address:

請勿填寫本欄 For Official Use

電話 Tel:

傳真 Fax:

電郵 Email:

檔號 Reference:

**《公司(清盤及雜項條文)條例》(香港法例第 32 章)
第 226A(1)條規定交付的**

開放式基金型公司 — 免除清盤人職務證明書

填表須知 — 表格 OFCW6

附註

引言

1. 在法院作出清盤的情況下，當開放式基金型公司的事務已完全結束，而清盤人亦獲法院頒發的命令批准免除其職務，清盤人可以本表格向公司註冊處處長(「處長」)交付一份證明書，述明開放式基金型公司已符合上述條件。
2. 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。
3. 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。
4. 你可郵寄本表格到「香港金鐘道 66 號金鐘道政府合署 14 樓公司註冊處」，或親身到上址交付。如以郵寄方式交付表格而處長並沒有收到該表格的話，則該表格不會視作曾為遵從《公司(清盤及雜項條文)條例》中有關條文的規定而交付處長。

簽署

5. 本表格必須由清盤人簽署。如清盤人屬共同清盤人，則本表格須由所有清盤人簽署。公司註冊處不接納未簽妥的表格。

OPEN-ENDED FUND COMPANY – CERTIFICATE OF RELEASE OF LIQUIDATOR

**For the purposes of section 226A(1) of
Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32)**

Notes for Completion of Form OFCW6

Introduction

1. In the case of winding up by the court, after the affairs of the open-ended fund company have been completely wound up and the liquidator has been granted his release by order of the court, the liquidator may deliver to the Registrar of Companies (the Registrar) a Certificate in this form stating that the open-ended fund company has satisfied the above conditions.
2. 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.
3. 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.
4. This form can be delivered by post or in person to "The Companies Registry, 14th floor, Queensway Government Offices, 66 Queensway, Hong Kong". If the form is delivered by post but the Registrar has not received it, the form will not be regarded as having been delivered to the Registrar in satisfaction of the relevant provision of the Companies (Winding Up and Miscellaneous Provisions) Ordinance.

Signature

5. This form must be signed by the liquidator(s). If the liquidators appointed are joint liquidators, this form should be signed by all the liquidators. A form which is not properly signed will be rejected by the Companies Registry.