



公司註冊處  
COMPANIES REGISTRY

STATEMENT OF DISCIPLINARY ACTION

ANTI-MONEY LAUNDERING AND COUNTER-TERRORIST FINANCING ORDINANCE  
(Chapter 615)

Pursuant to section 53Z of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (“AMLO”), disciplinary action set out below has been taken by the Registrar of Companies against the following trust or company service provider licensee:

<b>Licence No.</b>	TC005380
<b>Name of Licensee</b>	香港德仁註冊有限公司 HONG KONG DAIYAN REGISTRATIONS LIMITED
<b>Contravention</b>	<ol style="list-style-type: none"><li>(1) Contravention of Condition 2 of the licence imposed by the Registrar of Companies pursuant to section 53J of the AMLO, namely, the Licensee has failed to put in place adequate and proper anti-money laundering and counter-terrorist financing policies, procedures and controls, as evidenced by policy statement(s) or other written documents.</li><li>(2) Contravention of section 53U(1) of Part 5A of the AMLO, namely, a person has become a director of the Licensee without prior written approval of the Registrar.</li><li>(3) Contravention of section 53W(1) of Part 5A of the AMLO, namely, the Licensee has failed to notify the Registrar of changes in its particulars within 1 month beginning on the date on which the changes take place.</li><li>(4) Contravention of section 9 of Schedule 2 to the AMLO, namely, the Licensee has failed to carry out the special requirements when customer is not physically present for identification purposes.</li><li>(5) Contravention of section 19(1) of Schedule 2 to the AMLO, namely, the Licensee has failed to establish and maintain effective procedures for determining whether a customer or a beneficial owner of a customer is a politically exposed person.</li><li>(6) Contravention of section 19(3) of Schedule 2 to the AMLO, namely, the Licensee has failed to establish and maintain effective procedures not inconsistent with the AMLO for the purpose of carrying out the duties under sections 3, 4, 5, 9, 10 and 15 of Schedule 2.</li><li>(7) Contravention of section 23 of Schedule 2 to the AMLO, namely, the Licensee has failed to take all reasonable measures to ensure that proper safeguards exist to prevent a contravention of any requirement under Part 2 or 3 of Schedule 2; and to mitigate money laundering and terrorist financing risks.</li></ol>
<b>Date of Decision</b>	6 June 2024
<b>Disciplinary Action Taken</b>	Public reprimand, order for remedial action and imposition of a pecuniary penalty of HK\$37,000.