

**APPLICATION BY A COMPANY FOR A MONEY LENDERS LICENCE**

***Supplementary Information Sheet – Fit and Proper Criteria (Form SIS-1A)*** <sup>(Note 1)</sup>

**Section 1 : Company Basic Information**

Name of the company	
MLR Number	
Business Registration Certificate Number <i>(please provide the first 8 digits)</i>	
Contact person <i>(mainly for the information completed on this form)</i>	Name : Telephone No. : Email Address :

**Section 2 : Management**

2.1	<p>Would the company establish effective anti-money laundering and counter-financing of terrorism (“AML/CFT”) systems to ensure compliance with all applicable AML/CFT requirements for licensed money lenders?</p> <p>If “No”, please explain:</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.2	<p>Would the company put in place adequate and effective policies, procedures and controls in relation to recruitment, training and supervision of staff to ensure that persons who are employed by, or associated with, or act for the company in relation to the business of money-lending are and remain fit and proper for the business?</p> <p>If “No”, please explain:</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.3	<p>Would the company provide the necessary infrastructure and internal control systems to manage risk effectively, avoid conflict of interest and provide proper audit trail?</p> <p>If “No”, please explain:</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Section 3 : Ability to carry on money-lending business**

3.1	<p>Are (i) the company, (ii) the persons/corporations who control the company or in accordance with whose directions or instructions the directors of the company are accustomed to act, (iii) the directors, the secretaries and other officers of the company (whether the directors, secretaries and officers are individuals or corporations), and (iv) the persons/corporations responsible for the management of the company’s money-lending business or any part thereof (the persons/corporations under (ii), (iii) and (iv) above are hereinafter collectively referred to as the “<b>Persons</b>”, and individually a “<b>Person</b>”) equipped with the skills, knowledge, experience and professionalism necessary to carry on the money-lending business efficiently and effectively?</p> <p>If “No”, please explain:</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.2	<p>Do the Persons possess the ability to carry out or manage the money-lending business competently, honestly and fairly and, in a manner which is not detrimental, or likely to be detrimental, to the interests of the borrowers or members of the public?</p> <p>If “No”, please explain:</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.3	<p>Is there any event or incident indicating that any Person may be incompetent or negligent, e.g. a Person having been dismissed or requested to resign from any position or office for misconduct, incompetence, negligence or mismanagement?</p> <p>If “Yes”, please provide details:</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Section 4 : Reliability and Integrity**

4.1	<p>Has the company or any Person been found by a court or other competent authority in Hong Kong or elsewhere civilly liable for fraud, dishonesty, misfeasance or other misconduct?</p> <p>If “Yes”, please provide details:</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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4.2	<p>Has the company or any Person, in connection with the formation or management of the company or another business entity, been found by a court or other competent authority in Hong Kong or elsewhere civilly liable for fraud, dishonesty, misfeasance or other misconduct by the company or the Person towards the company or the business entity (as the case may be) or any members thereof?</p> <p>If “Yes”, please provide details:</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.3	<p>Has the company or any Person been disqualified by a court in Hong Kong or elsewhere from being a director?</p> <p>If “Yes”, please provide details:</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Section 5 : Disciplinary Actions**

5.1	<p>Has the company or any Person been 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 authorization is required by law?</p> <p>If “Yes”, please provide details:</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.2	<p>Has the company or any Person been reprimanded, censored, disciplined, publicly criticized or disqualified by any professional or regulatory body in Hong Kong or elsewhere in relation to any trade, business or profession?</p> <p>If “Yes”, please provide details:</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.3	<p>Has the company or any Person been the subject of an investigation and/or disciplinary action or proceeding conducted by any professional body established under any laws, regulatory authority or law enforcement agency in Hong Kong or elsewhere?</p> <p>If “Yes”, please provide details:</p> <hr/> <hr/>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Section 6 : Declaration**

**I hereby declare that 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 authorized by the company <sup>(Note 2)</sup>		Date	

*(day / month / year)*

Note

1. Please use a separate sheet to continue if there is insufficient space provided for your answer.
2. Please produce evidence of authorization.