

财经事务及库务局(库务科)
Financial Services and the Treasury Bureau (The Treasury Branch)

财务顾问公司名册登记申请书
Application Form for Registration of Financial Consultants

请详细填写本申请书及把所需文件电邮至winnienwyip@fstb.gov.hk。
This form should be completed and returned together with the required documents to winnienwyip@fstb.gov.hk.

在收取所需资料并接纳有关登记申请后，本局会于七个工作日内更新已登记财务顾问服务公司的名册。

Upon the receipt of all the required information and acceptance of the registration, the list of registered financial consultants will be updated within 7 working days.

如有查询，请与我们联系（电话：2810 3763；电邮：winnienwyip@fstb.gov.hk）。
For enquiries, please contact us at telephone no. 2810 3763 or email to winnienwyip@fstb.gov.hk.

第一部 - 公司资料

PART I - DETAILS OF THE COMPANY

1. 公司名称 Company Name (English) (*) : (中文) (*) :			
2. 香港商业登记证: 注(1) HK Business Registration: Note (1) (a) 号码 : Certificate No. : (b) 届满日期 : Date of Expiry :		3. 在本港首次登记日期 : Date of First Registration in Hong Kong :	
4. 在海外成立年份 (如适用) : Year of Overseas Establishment (if applicable):			
5. 公司地址 : Office Address :		6. 电话号码 : Tel. No. :	7. 图文传真号码 : Fax No. :
8. 公司网址 : Company Website (*) :			
9. 联络人详情: Particulars of Contact Person :			
姓名 : Name :	职位 : Position :	电话号码 : Tel. No. :	电邮地址 : E-mail address :

(*) 有关资料将会于财经事务及库务局(库务科)的网页中显示。

The information will be disclosed at the webpage of the Financial Services and the Treasury Bureau (The Treasury Branch)

第二部 – 公司组织

PART II – COMPANY ORGANISATION

1. 雇用职员数目 No. of Staff Employed 香港 : Hong Kong :	亚太区 : Asia Pacific Region :	世界各地 : Worldwide :
2. 雇用财务顾问数目 No. of Financial Consultants Employed 香港 : Hong Kong :	亚太区 : Asia Pacific Region :	世界各地 : Worldwide :
3. 公司组织架构及其集团结构 注(2) Company Organizational Structure and its Group Structure Note(2)		

第三部 – 业务范围及顾问工作纪录

PART III – BUSINESS AREAS AND CONSULTANCY RECORDS

1(i). 业务范围 <input type="checkbox"/> 会计 <i>Accounting</i> <input type="checkbox"/> 商业银行 <i>Merchant Banking</i> <input type="checkbox"/> 财务管理 <i>Financial Management</i> Business area(s) <input type="checkbox"/> 精算 <i>Actuarial</i> <input type="checkbox"/> 其他，请注明 <i>Others, please specify:</i> _____		
1(ii). 详情: Particulars:		
2(i). 为香港特别行政区政府进行的顾问研究 注(3) Consultancy Studies with the Government of the Hong Kong Special Administrative Region Note (3)		
年份 <i>Year</i>	局 / 部门 <i>Bureau/Department</i>	顾问研究 <i>Consultancy Studies</i>
2(ii). 为香港的半政府机构和私营机构进行的顾问研究 注(3) Consultancy Studies with Quasi-Government Bodies and Private Sector in Hong Kong Note (3)		
年份 <i>Year</i>	客户 <i>Client</i>	顾问研究 <i>Consultancy Studies</i>

2(iii). 为香港以外地区进行的顾问研究 注(3) Consultancy Studies Outside Hong Kong Note (3)		
年份 Year	客户 / 国家 Client/Country	顾问研究 Consultancy Studies
备注： Remarks :		

第四部 – 同意 PART IV- CONSENT

<p>1. 根据《非应邀电子讯息条例》(香港法例第 593 章)第 5 条，本公司 <input type="checkbox"/>同意[#] / <input type="checkbox"/>不同意[#] 接收发自香港特别行政区政府(“政府”)符合商业电子讯息定义电子讯息。</p> <p>We <input type="checkbox"/>consent[#] / <input type="checkbox"/>do not consent[#] to receive electronic messages falling within the definition of commercial electronic messages from the Government of the Hong Kong Special Administrative Region (“the Government”) under section 5 of the Unsolicited Electronic Messages Ordinance (Cap.593).</p> <p>2. 本公司 <input type="checkbox"/>同意[#] / <input type="checkbox"/>不同意[#] 财经事务及库务局(库务科)可透过其网页提供超连结至上列第一(8)部分所显示的公司网站。</p> <p>We <input type="checkbox"/>consent[#] / <input type="checkbox"/>do not consent[#] that the Financial Services and the Treasury Bureau (The Treasury Branch) may provide through its webpage a hyperlink to the Company’s website stated in Part I(8) above.</p> <p>3. 本公司明白可给予政府明确指示，撤回或变更上述同意(如有)。</p> <p>We understand that we may withdraw or vary the above consent (if any) at any time by expressly advising the Government.</p> <p>[#] 请于适当方格内加上✓号 Please give a tick in the appropriate box</p>
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Note : (1) Please provide a copy of the company’s valid Hong Kong Business Registration Certificate.
 (2) Please provide a copy of the company’s latest annual report and company brochure (if any).
 (3) Please include major consultancy studies completed in the past 3 years. If there is insufficient space, a plain sheet should be used and attached to this form as a continuation sheet.

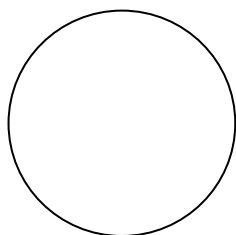
注： (1) 请提交公司有效的香港商业登记证副本。
 (2) 请提交公司最新的年报及介绍公司的小册子(如有)。
 (3) 请列举过往三年完成的主要顾问研究。如栏不敷应用，请用另纸书写，夹附于本表后页。

第五部 – 签署

PART V – SIGNATURE

本人谨代表上述公司，申请列入财经事务及库务局(库务科)财务顾问服务公司名册。

I apply on behalf of the Company for inclusion in the list of registered financial consultants of the Financial Services and the Treasury Bureau (The Treasury Branch).



(公司印鉴)
(Space for company chop)

签署

Signature

:

姓名

Name

:

职位

Position

:

联络电话

Contact Telephone No.

:

日期

Date

:

备注

NOTES FOR GUIDANCE

收集个人资料声明

Personal Information Collection Statement (PICS)

请注意，你向本科提供个人资料属自愿性质。本科在接获你的个案后于处理过程中收集所得的一切个人资料，只会用于与个案直接有关的用途。你所提供的个人资料或会转移予本科因处理有关个案而接触的人士或机构，例如，在一宗投诉个案，有关个人资料或会转移予被投诉者及/或其他有关人士或机构。如适用，你所提供的个人资料也可能会披露予获授权为执法、提出检控或覆检决定而收集资料的机构。另外，请注意上文提及的有关人士或机构未必身处或位于香港境内，你所提供的资料或会跨境转移予香港境外地方作必要处理或审核。

你有权查阅或更改本科所保存关于你的个人资料。如欲查阅或更改资料，请以书面向保障资料主任提出(地址：香港添马添美道2号政府总部24楼)。

Please be advised that it is voluntary for you to supply to us your personal data. All personal data collected by us in the course of our handling of your case presented to this Branch will be used only for the purposes which are directly related to the case. The personal data collected may be transferred to parties who will be contacted by us during the handling of the case, e.g. in a complaint case, the concerned personal data may be transferred to the party being complained against and/or other parties concerned. If applicable, the personal data provided may also be disclosed to agencies who are authorised to receive information relating to law enforcement, prosecution or review of decisions. Please also note that the aforementioned relevant parties may or may not be located within Hong Kong, and your information may be subject to cross-border transfer to places outside Hong Kong for necessary handling or processing.

You have the rights to request access to and correction of your personal data held by us. Request for access or correction should be made in writing to the Data Protection Officer at 24/F, Central Government Offices, 2 Tim Mei Avenue, Tamar, Hong Kong.

重新评审登记为财务顾问服务公司的资格

Review of Registration as Financial Consultants

政府有权因应任何可能影响贵公司资格的新资料，对贵公司作为在本科登记的财务顾问服务公司的资格作出评审。此外，政府可随时从本科的财务顾问服务公司名册（“名册”）删除贵公司，而事前无须作出通知和赔偿。

The Government reserves the right to review your company's status as a registered financial consultant of this Branch in the light of any new information that may affect such status and remove your company from the list of registered financial consultants maintained by this Branch (“the List”) at any time without prior notice and without compensation.

免责声明

Disclaimer

名册只用作通讯用途(如适用)。任何政府政策局/部门就供应服务发出的通知（“通知”）均不会导致任何在名册上的财务顾问服务公司（“顾问服务公司”）一方有任何权利或期望，或导致政府一方负上任何责任。政府不会向顾问服务公司作出任何陈述、申述或保证(明示或隐含)，通知或任何通知会不受干扰、及时提供、安全可靠或不会出错。

在任何情况下，政府均不会因为或就任何顾问服务公司未能或延迟接收任何通知(不论是以电子方式或其他方式传送)，或在任何时间从任何名单删除任何顾问服务公司的名称而引致的任何损失或损害向任何顾问服务公司负上责任，包括但不限于直接、间接、特别、附带或衍生的损失，以及商业利润的损失、业务暂停、商业资料的损失或其他金钱上的损失，即使政府已获悉可能引致有关损失或损害，不论是基于合约、侵权行为，或其他法律或衡平法的理由而引致。

The List is intended for mailing purposes (where applicable) only. None of the notifications of invitation for the provision of services issued by government bureaux/departments (“Notifications”) shall give rise to any right or expectation on the part of the financial consultants on the List (“the Consultants”) or any obligation on the part of the Government. The Government makes no statement, representation or warranty (express or implied) to the Consultants that the Notifications or any of them will be uninterrupted, timely, secure, or error free.

The Government shall not in any event be liable to any Consultants for any loss or damage whatsoever arising out of or in relation to any failure or delay in receiving any Notifications (whether transmitted by electronic means or otherwise) or removal of any Consultants from the List at any point of time, including but not limited to direct, indirect, special, incidental or consequential damages, damages for loss of profits, business interruption, loss of business information, or other pecuniary loss, even if the Government has been advised of the possibility of such loss or damage, whether in contract or tort, or on any other legal or equitable grounds.