

財經事務及庫務局(庫務科)  
Financial Services and the Treasury Bureau (The Treasury Branch)

財務顧問公司名冊登記申請書  
Application Form for Registration of Financial Consultants

請詳細填寫本申請書及把所需文件電郵至winnienwyip@fstb.gov.hk。

This form should be completed and returned together with the required documents to winnienwyip@fstb.gov.hk.

在收取所需資料並接納有關登記申請後，本局會於七個工作天內更新已登記財務顧問服務公司的名冊。

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.

如有查詢，請與我們聯絡（電話：2810 3763；電郵：winnienwyip@fstb.gov.hk）。

For enquiries, please contact us at telephone no. 2810 3763 or email to winnienwyip@fstb.gov.hk.

第一部 - 公司資料

PART I - DETAILS OF THE COMPANY

1. 公司名稱 Company Name (English) (*) :  (中文) (*) :			
2. 香港商業登記證: 註(1) HK Business Registration: Note (1) (a) 號碼 : Certificate No. : (b) 屆滿日期 : Date of Expiry :		3. 在本港首次登記日期 : Date of First Registration in Hong Kong :	4. 在海外成立年份 (如適用) : Year of Overseas Establishment (if applicable):
5. 公司地址 : Office Address :		6. 電話號碼 : Tel. No. :	7. 圖文傳真號碼 : Fax No. :
8. 公司網址 : Company Website (*) :			
9. 聯絡人詳情: Particulars of Contact Person :			
姓名 : Name :	職位 : Position :	電話號碼 : Tel. No. :	電郵地址 : E-mail address :

(\*) 有關資料將會於財經事務及庫務局(庫務科)的網頁中顯示。

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

## 第二部 – 公司組織

### PART II – COMPANY ORGANISATION

<b>1. 僱用職員數目</b> <b>No. of Staff Employed</b> <div style="display: flex; justify-content: space-between; padding: 5px 0;"> <span>香港 : Hong Kong :</span> <span>亞太區 : Asia Pacific Region :</span> <span>世界各地 : Worldwide :</span> </div>		
<b>2. 僱用財務顧問數目</b> <b>No. of Financial Consultants Employed</b> <div style="display: flex; justify-content: space-between; padding: 5px 0;"> <span>香港 : Hong Kong :</span> <span>亞太區 : Asia Pacific Region :</span> <span>世界各地 : Worldwide :</span> </div>		
<b>3. 公司組織架構及其集團結構 註(2)</b> <b>Company Organizational Structure and its Group Structure Note(2)</b>		

## 第三部 – 業務範圍及顧問工作紀錄

### PART III – BUSINESS AREAS AND CONSULTANCY RECORDS

<b>1(i). 業務範圍</b> <input type="checkbox"/> 會計 <i>Accounting</i> <input type="checkbox"/> 商業銀行 <i>Merchant Banking</i> <input type="checkbox"/> 財務管理 <i>Financial Management</i> <b>Business area(s)</b> <input type="checkbox"/> 精算 <i>Actuarial</i> <input type="checkbox"/> 其他，請註明 <i>Others, please specify:</i> _____		
<b>1(ii). 詳情: Particulars:</b>		
<b>2(i). 為香港特別行政區政府進行的顧問研究 註(3)</b> <b>Consultancy Studies with the Government of the Hong Kong Special Administrative Region Note (3)</b>		
年份 Year	局 / 部門 Bureau/Department	顧問研究 Consultancy Studies
<b>2(ii). 為香港的半政府機構和私營機構進行的顧問研究 註(3)</b> <b>Consultancy Studies with Quasi-Government Bodies and Private Sector in Hong Kong Note (3)</b>		
年份 Year	客戶 Client	顧問研究 Consultancy Studies

2(iii). 為香港以外地區進行的顧問研究 註(3)

Consultancy Studies Outside Hong Kong Note (3)

年份 Year	客戶/國家 Client/Country	顧問研究 Consultancy Studies

備註：

Remarks：

第四部 – 同意

PART IV- CONSENT

1. 根據《非應邀電子訊息條例》(香港法例第 593 章)第 5 條，本公司☐同意<sup>#</sup>/☐不同意<sup>#</sup> 接收發自香港特別行政區政府(“政府”)符合商業電子訊息定義的電子訊息。  
We ☐consent<sup>#</sup> / ☐do not consent<sup>#</sup> 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).
  2. 本公司☐同意<sup>#</sup>/☐不同意<sup>#</sup> 財經事務及庫務局(庫務科)可透過其網頁提供超連結至上列第一(8)部分所顯示的公司網站。  
We ☐consent<sup>#</sup> / ☐do not consent<sup>#</sup> 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.
  3. 本公司明白可給予政府明確指示，撤回或變更上述同意(如有)。  
We understand that we may withdraw or vary the above consent (if any) at any time by expressly advising the Government.
- <sup>#</sup> 請於適當方格內加上✓號  
Please give a tick in the appropriate box

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.

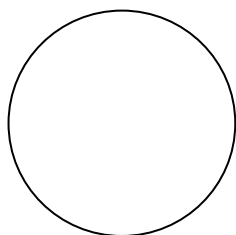
註： (1)請提交公司有效的香港商業登記證副本。  
(2)請提交公司最新的年報及介紹公司的小冊子(如有)。  
(3)請列舉過往三年完成的主要顧問研究。如欄不敷應用，請用另紙書寫，夾附於本表後頁。

## 第五部 – 簽署

### PART V – SIGNATURE

本人謹代表上述公司，申請列入財經事務及庫務局(庫務科)財務顧問服務公司名冊。

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).



(公司印鑑)  
(Space for company chop)

簽署

Signature

:

姓名

Name

:

職位

Position

:

聯絡電話

Contact Telephone No.

:

日期

Date

:

### 備 註

### NOTES FOR GUIDANCE

#### 收集個人資料聲明

#### Personal Information Collection Statement (PICS)

請注意，你向本科提供個人資料屬自願性質。本科在接獲你的個案後於處理過程中收集所得的一切個人資料，只會用於與個案直接有關的用途。你所提供的個人資料或會轉移予本科因處理有關個案而接觸的人士或機構，例如，在一宗投訴個案，有關個人資料或會轉移予被投訴者及／或其他有關人士或機構。如適用，你所提供的個人資料也可能會披露予獲授權為執法、提出檢控或覆檢決定而收集資料的機構。另外，請注意上文提及的有關人士或機構未必身處或位於香港境內，你所提供的資料或會跨境轉移予香港境外地方作必要處理或審核。

你有權查閱或更改本科所保存關於你的個人資料。如欲查閱或更改資料，請以書面向保障資料主任提出(地址：香港添馬添美道2號政府總部24樓)。

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.

### **重新評審登記為財務顧問服務公司的資格**

#### **Review of Registration as Financial Consultants**

政府有權因應任何可能影響貴公司資格的新資料，對貴公司作為在本科登記的財務顧問服務公司的資格作出評審。此外，政府可隨時從本科的財務顧問服務公司名冊（“名冊”）刪除貴公司，而事前無須作出通知和賠償。

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.

### **免責聲明**

#### **Disclaimer**

名冊只用作通訊用途(如適用)。任何政府政策局/部門就供應服務發出的通知（“通知”）均不會導致任何在名冊上的財務顧問服務公司（“顧問服務公司”）一方有任何權利或期望，或導致政府一方負上任何責任。政府不會向顧問服務公司作出任何陳述、申述或保證(明示或隱含)，通知或任何通知會不受干擾、及時提供、安全可靠或不會出錯。

在任何情況下，政府均不會因為或就任何顧問服務公司未能或延遲接收任何通知(不論是以電子方式或其他方式傳送)，或在任何時間從任何名單刪除任何顧問服務公司的名稱而引致的任何損失或損害向任何顧問服務公司負上責任，包括但不限於直接、間接、特別、附帶或衍生的損失，以及商業利潤的損失、業務暫停、商業資料的損失或其他金錢上的損失，即使政府已獲悉可能引致有關損失或損害，不論是基於合約、侵權行為，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.