

**APPLICATION BY AN INDIVIDUAL FOR A MONEY LENDERS LICENCE
FOR A SOLE PROPRIETOR OR FOR A PARTNERSHIP**

Supplementary Information Sheet – Fit and Proper Criteria (Form SIS-2A) ^(Note 1)

Section 1 : Basic Information

Name of the applicant	
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 you / the partnership 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> <p>_____</p> <p>_____</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.2	<p>Would you / the partnership 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 you or the partnership in relation to the business of money-lending are and remain fit and proper for the business?</p> <p>If “No”, please explain:</p> <p>_____</p> <p>_____</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.3	<p>Would you / the partnership 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> <p>_____</p> <p>_____</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Section 3 : Ability to carry on money-lending business

<p>3.1</p>	<p>Are (i) you, (ii) your partners, and (iii) the persons/corporations responsible for the management of your money-lending business, or any part thereof (the persons/corporations under (ii) and (iii) above are hereinafter collectively referred to as the “Persons”, and individually a “Person”) 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> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> Yes</p>	<p><input type="checkbox"/> No</p>
<p>3.2</p>	<p>Do you and 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> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> Yes</p>	<p><input type="checkbox"/> No</p>
<p>3.3</p>	<p>Is there any event or incident indicating that you or 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> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> Yes</p>	<p><input type="checkbox"/> No</p>

Section 4 : Reliability and Integrity

<p>4.1</p>	<p>Have you 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> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> Yes</p>	<p><input type="checkbox"/> No</p>
------------	--	-------------------------------------	------------------------------------

4.2	<p>Have you or any Person, in connection with the formation or management of a 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 you or the Person towards the business entity 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>Have you 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>Have you 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>Have you 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>Have you 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.

Signature	
Name of the Applicant	
Date	

(day / month / year)

Note

1. Please use a separate sheet to continue if there is insufficient space provided for your answer.