

## Completion Instructions

Certificate of compliance with the Banking Ordinance  
of an authorized institution incorporated outside Hong Kong  
Form MA(BS)1F(b)

1. This certificate should be submitted by all authorized institutions incorporated outside Hong Kong for the purpose of certifying their compliance with –
  - Part 4 of the Rules made under section 81A (i.e. the Banking (Exposure Limits) Rules (“BELR”));
  - Part 5 of the BELR;
  - liquidity requirement(s) prescribed in the Rules made under section 97H(1) of the Banking Ordinance that is applicable to the institution; and
  - Rules made under section 60A(1) of the Banking Ordinance.
2. The certificate is to be submitted not later than 14 days after the end of each quarter (that is, 31 March, 30 June, 30 September or 31 December). If the submission deadline falls on a public holiday, it will be deferred to the next working day.

### Cover page item 2(a) and (b)

3. Report in these items whether the reporting institution complied with Parts 4 and 5 of the BELR during the reporting period.

### Cover page item 2(c)

4. Report in this item whether the reporting institution complied with the minimum liquidity requirement(s) applicable to it during the reporting period.
  - If the reporting institution is a category 1 institution, the minimum liquidity requirements are the minimum required level of Liquidity Coverage Ratio (LCR) and Net Stable Funding Ratio (NSFR) set out respectively in rule 4 and rule 8A of the Banking Liquidity Rules (BLR).
  - If the reporting institution is a category 2 institution, the minimum liquidity requirement is the minimum required level of the Liquidity Maintenance Ratio (LMR) set out in rule 7 of the BLR. Further to this, a category 2A institution must also comply with the minimum Core Funding Ratio (CFR) set out in rule 8D of the BLR.

### Cover page item 2(d)

5. For the purposes of indicating compliance with the rules made under section 60A(1) of the Banking Ordinance (that is, the Banking (Disclosure) Rules, or hereafter

referred to the BDR), the reporting institution is required to complete item 2(d). The certification of compliance should be made in relation to the reporting institution's ~~most recent~~ disclosure statement(s) ~~issued prior to the Certificate of Compliance published during the reporting period~~. For instance, if the institution's financial year-end is ~~end~~ 31 December, any contravention of the BDR in respect of its disclosures for the annual reporting period and the quarterly reporting period ending 31 March should be recorded in the Certificate for the period ending 30 June. ~~it should indicate in its Certificate~~ In the Certificate for the period ending 30 September, ~~whether it has contravened the requirements~~ any contravention of the BDR in respect of its disclosures for the interim reporting period should be recorded. ~~Any contraventions of the BDR in respect of its disclosures for the annual reporting period should be recorded in the Certificate for the period ending 30 March.~~ Where the Certificate of Compliance relates to a quarter in which no disclosure statement has been ~~issued~~ published, the reporting institution should give the same answer as on the previous quarter's Certificate of Compliance.

6. The reporting institution should complete item 2(d) by putting a "Y" or "N" in the appropriate column to indicate whether or not the institution has contravened any of the requirements of the BDR. If the answer to item 2(d) is "yes", the institution should specify in the space provided the relevant section(s) of the BDR that it contravened and the disclosure statement to which the contravention relates. If the institution is exempted by the Monetary Authority for disclosures required under the BDR, it should tick the relevant box as provided in the Certificate.

Hong Kong Monetary Authority  
September ~~2019~~ 2023