

Specified particulars of relevant individuals to be submitted to the HKMA and included in the HKMA Register

Those items with an asterisk would be shown on the HKMA Register for public inspection.

1. Name in English *
2. Name in Chinese (if applicable) *
3. Hong Kong Identity Card number or Passport number
4. Nationality
5. Date of birth
6. Effective date and Ending date of temporary engagement period (if applicable)
7. Central Entity Identification number assigned by the SFC (if applicable)

For each type of regulated activity:

8. Capacity *
9. Date on which the relevant individual was first so engaged *
10. Effective date of new regulated activity to be engaged in (if applicable)

Please refer to the notes for completion attached at **Annex 2** for further details of the above particulars.

The HKMA Register will also include the name, business address and central entity identification number assigned by the SFC to every RI and each relevant individual's record of public disciplinary actions (if any) taken by the SFC and the HKMA in Hong Kong (for a period of 5 years from the date when the relevant public disciplinary action takes effect). For temporarily engaged staff, there will be indication that the individual is under temporary engagement.

The HKMA will assign a unique registration number to each relevant individual, which will be attached permanently to the particular individual. For all submissions before the commencement of the BAO 2002 and the SFO, the respective registration number assigned by the HKMA for each individual will be provided to the respective RI on the commencement date of the BAO 2002 and the SFO.

The HKMA Register will contain the same types of particulars for EOs and non-EOs, except that for every EO, there will be indication of the regulated activities for which the individual has been appointed an EO.