

## Proforma Spreadsheet for the HKMA Register

**Important:** All the personal particulars shown on this page are hypothetical and used for illustration purpose only.

Name of AI: ABC Banking Corporation Limited

Business address: 80th Floor, 3 Garden Road, Hong Kong.

\*\*\* This spreadsheet is to be prepared in accordance with the attached notes for completion.

List of "relevant individuals" as of DD/MM/YYYY:

Record no. (for official use only)	Name in English [Note 1]		Name in Chinese [Note 2]	HKID Card number [Note 3]	Passport number [Note 3]	Nationality [Note 4]	Date of birth (dd/mm/yyyy) [Note 4]	Temporary Engagement Period [Note 5]		CE number assigned by the SFC [Note 6]	Type 1 - dealing in securities	
	Surname	Forenames						Effective date (dd/mm/yyyy)	Ending date (dd/mm/yyyy)		Capacity [Note 7]	Date on which the relevant individual was first so engaged (dd/mm/yyyy) [Note 8]
1	CHAN	Tai Man	陳大文	A123456(7)		Chinese	1/1/1980			ABC123	Relationship manager	31/03/2001
2	MUNCH	Edvard			987654321	Norwegian	25/12/1954				Corporate finance consultant	10/5/2002
3	SMITH	Adam		K888888(0)		British	3/10/1967			DEF456		
4	NAKAYAMA	Miho			123456789	Japanese	14/02/1974				Portfolio manager	11/5/1996



Type 6 - advising on corporate finance			Type 7 - providing automated trading activities			Type 9 - asset management		
Capacity [Note 7]	Date on which the relevant individual was first so engaged (dd/mm/yyyy) [Note 8]	Effective date of new regulated activity to be engaged in (dd/mm/yyyy) [Note 9]	Capacity [Note 7]	Date on which the relevant individual was first so engaged (dd/mm/yyyy) [Note 8]	Effective date of new regulated activity to be engaged in (dd/mm/yyyy) [Note 9]	Capacity [Note 7]	Date on which the relevant individual was first so engaged (dd/mm/yyyy) [Note 8]	Effective date of new regulated activity to be engaged in (dd/mm/yyyy) [Note 9]
Corporate finance consultant	10/5/2002							
						Portfolio manager	11/5/1996	