



A.3 **進行指明現金交易的具體情況** (例如預期每年與貴金屬及寶石業務相關的總營業額、收入中牽涉指明現金交易的總額、支出中牽涉指明現金交易的總額、為現金交易所設的上限或限制、對已收取現金的後續安排、如存入銀行、支付供應商等)  
**Overview of specified cash transactions to be carried out** (e.g. expected yearly total revenue of the precious metals and stones business, total amount of cash to be received and delivered related to specified cash transactions, any limit or restriction on cash transactions and follow-up arrangements on cash received, such as depositing in bank and payments for suppliers, etc.)

項目 Item	數額 (港幣\$) Amount (HK\$)
預期每年與貴金屬及寶石業務相關的總營業額: Expected yearly total revenue of the precious metals and stones business:	
收入中牽涉指明現金交易的總額: Total amount of cash to be received related to specified cash transactions:	
支出中牽涉指明現金交易的總額: Total amount of cash to be delivered related to specified cash transactions:	
現金交易所設的上限或限制: Limit or restriction on cash transactions :	
就單一交易而言、曾收取過的最高現金總額: Highest amount of cash ever received in a single transaction:	
對已收取現金的後續安排 Follow-up arrangements on cash received	
存入銀行: Depositing in bank:	
支付供應商: Payments for suppliers:	
其他、請註明: Other, please specify:	

A.4 **所隸屬的本地或海外集團的資料** (例如所隸屬集團的簡介、申請人與該集團的業務關係、該集團是否正受到其他形式的監管、如持有由其他監管機構/主管當局批給的牌照等)  
**Information of the local or overseas group holding company to which the Applicant belongs** (e.g. brief introduction of the group holding company, business relationship between the Applicant and the group holding company, whether the group holding company is currently subject to other type(s) of supervision, such as a licence granted by other regulator/competent authority, etc.)

Blank space for providing information regarding the local or overseas group holding company.

如空位不敷填寫、請詳列於丙部的補充附頁。  
Please use the Supplementary Sheet at Part C if the space provided is not adequate.

(1) 政策、程序及管控措施 Policies, procedures and controls			
B.1	就遵從打擊洗錢及恐怖分子資金籌集規定方面，申請人是否會制訂充分及適當的政策、程序及管控措施，並以政策綱領或其他書面文件作為證明？ Would the Applicant put in place adequate and appropriate policies, procedures and controls to comply with the anti-money laundering and counter-terrorist financing requirements, as evidenced by policy statement(s) or other written documents?	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
B.2	在與客戶建立業務關係之前或在為客戶執行指明現金交易之前，申請人是否會採取客戶盡職審查措施，以識別及核實客戶和客戶的實益擁有人的身分，以及取得關於該客戶與申請人建立業務關係的目的和性質的資料？ Before establishing business relationships or before carrying out specified cash transactions with customers, would the Applicant conduct customer due diligence measures to identify and verify the identity of the customers and their beneficial owners, and to obtain information on the purpose and intended nature of the business relationships with the Applicant?	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
B.3	申請人是否會在可引致洗錢活動及恐怖分子資金籌集高風險的情況下(例如客戶沒有為身分識別的目的而現身或客戶屬政治人物)執行更嚴格客戶盡職審查措施？ Would the Applicant carry out enhanced customer due diligence measures when dealing with situations which present a high risk of money laundering or terrorist financing (e.g. the customers have not been physically present for identification purposes or the customers are politically exposed persons)?	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
B.4	申請人是否會採用風險為本的方法持續監察客戶及其交易，以辨別交易是否符合申請人對該客戶及其狀況的認知(例如某客戶業務活動及交易額的「正常」水平為何，以辨別「不正常」活動)，及偵測可疑交易？ Would the Applicant adopt the risk-based approach to continuously monitor its business relationship with the customers and their transactions, so as to ensure that the business relationship and transactions are consistent with the applicant's knowledge of the customers (e.g. to differentiate the "normal" business activities and transaction size of a particular customer from the "abnormal" ones) and identify suspicious transactions?	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
B.5	申請人是否會訂立機制或程序，藉以根據《有組織及嚴重罪行條例》(第 455 章)、《販毒(追討得益)條例》(第 405 章)及《聯合國(反恐怖主義措施)條例》(第 575 章)的要求向聯合財富情報組提交可疑交易報告？ Would the Applicant put in place a system or procedures to submit suspicious transaction reports to the Joint Financial Intelligence Unit as required under the Organized and Serious Crimes Ordinance (Cap. 455), Drug Trafficking (Recovery of Proceeds) Ordinance (Cap. 405) and United Nations (Anti-Terrorism Measures) Ordinance (Cap. 575)?	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
B.6	申請人是否會就防止及偵察洗錢及恐怖分子資金籌集事宜向職員提供合適的培訓，包括加深他們了解在業務上針對打擊洗錢或恐怖分子資金籌集的措施的培訓？ Would the Applicant provide staff with appropriate training on prevention and detection of money laundering and terrorist financing activities, including training to raise their awareness of business practices against money laundering or terrorist financing?	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
B.7	申請人是否會就客戶盡職審查的執行、識別可疑交易的準則、以及打擊洗錢及恐怖分子資金籌集的措施，提供政策或指引給員工參考？ Would the Applicant provide staff with policies or guidelines in relation to the conduct of customer due diligence, criteria for identifying suspicious transactions, and relevant anti-money laundering and counter-terrorist financing measures for reference?	是 Yes <input type="checkbox"/>	否 No <input type="checkbox"/>
如以上 B.1 至 B.7 項，任何一項的答案為「否」，請於丙部補充附頁解釋原因。 If the answer to any of the items B.1 to B.7 is "No", please explain with reasons at the Supplementary Sheet at Part C.			

B.8	<p>申請人在進行客戶盡職審查的過程中，會如何實施有效的篩查機制，以及知悉客戶是否屬政治人物？若申請人會藉著中介人執行客戶盡職審查措施，請詳述相關安排。</p> <p>How would the Applicant implement an effective screening mechanism and know whether your customers are Politically Exposed Persons during the Customer Due Diligence procedures?</p> <p>If the Applicant would carry out customer due diligence measures by means of intermediaries, please elaborate the arrangements.</p>
B.9	<p>申請人會如何備存交易紀錄及透過客戶盡職審查措施取得的客戶的紀錄？(例如備存方式及地點等)</p> <p>申請人會為交易紀錄及透過客戶盡職審查措施取得的客戶紀錄備存多久？</p> <p>How would the Applicant keep records of transactions and records of customers obtained through customer due diligence measures? (e.g. storage means, locations, etc.)</p> <p>How long would the Applicant keep records of transactions and records of customers obtained through customer due diligence measures?</p>
<p>如空位不敷填寫，請詳列於丙部的補充附頁。</p> <p>Please use the Supplementary Sheet at Part C if the space provided is not adequate.</p>	

(2) 主要人員 Key Personnel	
B.10	高級管理監督人員的詳情 Particulars of personnel responsible for senior management oversight
英文姓名 (*先生/太太/小姐/女士) Name in English (*Mr/Mrs/Miss/Ms)	(先寫姓氏後寫名字 Surname first then other names)
中文姓名 (如適用) Name in Chinese (if applicable)	
在公司擔任的職位 Position in Company	<input type="checkbox"/> 獨資經營者/小販持牌人 Sole Proprietor/Licensed Hawker <input type="checkbox"/> 合夥人 Partner <input type="checkbox"/> 董事 Director <input type="checkbox"/> 經董事局授權的高級管理人員 Senior management authorized by the board of directors 職位 Position _____
聯絡電郵 Contact Email	聯絡電話號碼 Contact Telephone No.
聯絡地址 Contact Address	
B.11	申請人委任的合規主任的詳情 Particulars of the Compliance Officer (CO) appointed by the Applicant
英文姓名 (*先生/太太/小姐/女士) Name in English (*Mr/Mrs/Miss/Ms)	(先寫姓氏後寫名字 Surname first then other names)
中文姓名 (如適用) Name in Chinese (if applicable)	
在公司擔任的職位 Position in Company	
聯絡電郵 Contact Email	聯絡電話號碼 Contact Telephone No.
聯絡地址 Contact Address	
備註: 如有超過一名合規主任, 請影印本頁, 以填寫其他合規主任的詳情。 Remarks: If you have more than one CO, please make a photocopy of this page for filling in the particulars of the other CO.	
B.12	申請人委任的洗錢報告主任的詳情 Particulars of the Money Laundering Reporting Officer (MLRO) appointed by the Applicant
請述明申請人所委任的合規主任是否同時獲委任為洗錢報告主任: Please indicate whether the CO appointed by the Applicant is also appointed as the MLRO: <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No (如「否」請提供洗錢報告主任的詳情) (If 'No', please provide MLRO's particulars)	
英文姓名 (*先生/太太/小姐/女士) Name in English (*Mr/Mrs/Miss/Ms)	(先寫姓氏後寫名字 Surname first then other names)
中文姓名 (如適用) Name in Chinese (if applicable)	
在公司擔任的職位 Position in Company	
聯絡電郵 Contact Email	聯絡電話號碼 Contact Telephone No.
聯絡地址 Contact Address	

就\_\_\_\_\_項提交的補充資料：  
Supplementary information for item \_\_\_\_\_：

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\*申請人/獲授權的合夥人/獲授權的董事或人士簽署  
及公司印章

\*Signature of the Applicant/authorized partner of the  
partnership/authorized director or person of the  
corporation and company chop

姓名(正楷)  
Name in block letters

日期  
Date