

香港海關

重要通知

- (一) 每一位獨資經營者/合夥人/董事/最終擁有人/持牌小販 (相關人士)，須各自填寫一份獨立的表格3A及其附錄 I 和 II，並向香港海關遞交相關正本。
- (二) 任何相關人士在填寫表格3A時，作出在要項上屬虛假或具誤導性的陳述或在某項陳述中遺漏任何要項，即屬犯罪，一經定罪，可被判罰款港幣50,000元及監禁6個月。
- (三) 如需要海關人員作為表格3A附錄 I 的見證人，相關人士必須親身出席申請會面，並出示身分證明文件正本。海關人員核實其身分後，相關人士須在海關人員面前簽署，再由海關人員以見證人身分加簽作實。
- (四) 任何非在海關人員面前簽署的表格3A附錄 I，海關人員將不會為其以見證人身分加簽。

CONFIDENTIAL 機密 附錄 I

授權書

根據香港法例第615章《打擊洗錢及恐怖分子資金籌集條例》本人 _____，現就下述申請人/B類註冊人的貴金屬及寶石交易商註冊有關申請：

申請人/B類註冊人業務/注冊名稱： _____

商業登記/小販牌照號碼： _____

授權警務處處長，或其代表，向海關關長及獲其授權的任何公職人員發放任何及全部有關本人的刑事判罪 (所有刑事判罪紀錄包括法例第297章《罪証自新條例》已失時效的判罪，如有的話)的所有資料。如有需要，本人亦同意香港警務處就此項申請索取本人的授權資料，以核證本人的刑事紀錄。本人的個人資料如下：

姓名 (英文)	
姓名 (中文)	
出生日期 (日/月/年)	
出生地點	
*香港身份證號碼/ 護照號碼及簽發地點 (<u>紙供非持有香港身份證人士</u>)	
中文商業電碼	(按照香港身份證上的記錄，如適用)

簽署: _____ (必須在見證人面前簽署)

日期: _____

聲明:
本人已將本授權書所載的個人資料與上述人士的身分證明文件的正本互相核對，現證明上述的個人資料真實無誤，本人亦證明上述人士在本人面前簽署本授權書。

見證人簽署: _____ *職銜/職稱: _____
見證人姓名: _____ 職級: _____
海關委任證編號或 其他身分證明文件號碼/簽發地點 (<u>例如香港身份證或護照</u>): _____
見證人是:
(1) *香港海關的人員；或
(2) *執業專業人士(例如事務律師、會計師、核數師)、公證人或太平紳士。

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如需海關人員作見證人
此欄不得預先簽署

CUSTOMS AND EXCISE DEPARTMENT

Important Notice

- (1) Each individual sole proprietor/partner/director/ultimate owner/licensed hawkler has to complete his/her own Form 3A together with its respective Appendices I and II and submit the originals to the Customs and Excise Department (C&ED).
- (2) Any sole proprietor/partner/director/ultimate owner/licensed hawkler who makes a statement that is false or misleading in a material particular or omits a material particular from a statement in Form 3A commits an offence and is liable on conviction to a fine of \$50,000 and to imprisonment for 6 months.
- (3) If an individual sole proprietor/partner/director/ultimate owner/licensed hawkler who wishes to request for an official of C&ED to conduct certification on his/her Appendix I of Form 3A as the witness, he/she shall attend the application interview in person with his/her original identity document for verification by the official of C&ED and sign in the presence of the official of C&ED.
- (4) An official of C&ED shall not sign as the witness on any Appendix I of Form 3A that is not signed in the presence of the official of C&ED.

CONFIDENTIAL 機密		Appendix I
Authorization		
I, _____, for the application related to the Dealers in Precious Metals and Stones registration of the below applicant/Category B registrant.		
Name of the applicant/Category B registrant: _____		
Business Registration/Hawker Licence No.: _____		
I hereby authorize the Commissioner of Police, or his representative, to release full particulars of any and all criminal convictions (all criminal convictions include the spent convictions under the Rehabilitation of Offenders Ordinance, Cap 297, Laws of Hong Kong, if any) recorded against me to the Commissioner of Customs and Excise ("CCE") and any public officer delegated by the CCE for the purpose of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap.615). I also agree to my fingerprint impressions being taken by the Hong Kong Police in connection with this application, if required for the purpose of verifying my criminal record(s). My personal particulars are as follows:		
Name in English	_____	
Name in Chinese	_____	
Date of Birth (dd/mm/yyyy)	_____	
Place of Birth	_____	
*HK Identity Card No./ Passport No. and Place of Issue (For non-Hong Kong Identity Card Holder)	_____	
Chinese Commercial Code No.	_____	(as recorded on the applicant's HK Identity Card, where applicable)
Signature: _____ (must sign in the presence of the witness)		
Date: _____		
Certification: I have checked the personal particulars as stated in this Authorization against the original identity document(s) of the above-mentioned person. I now certify that the personal particulars stated above are true and correct. I also certify that this Authorization is signed by the above-mentioned person in my presence.		
Signed by Witness: _____	*Designation/Profession: _____	
Name of Witness: _____	Rank: _____	
C&ED Warrant Card No.:	_____	
Other Identity Document No.:	_____	
Place of Issue (e.g. HKID/Passport):	_____	
The witness is:		
(1) *an official of the Customs and Excise Department; or		
(2) *a practicing professional (e.g. solicitor, accountant, auditor), a notary public or a Justice of the Peace.		
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**Never sign in advance
if you would request an
official of C&ED to be
your witness of
Appendix I**



香港海關
CUSTOMS AND EXCISE DEPARTMENT

表格 3A
適當人選聲明表格

(適用於個人的獨資經營者/合夥人/董事/最終擁有人/持牌小販，
並須與附錄I及附錄II一併遞交)

Form 3A
Fit and Proper Person Declaration Form

(For sole proprietor/partner/director/ultimate owner/licensed hawker who is an individual and
to be submitted with Appendices I & II)

香港法例第615章《打擊洗錢及恐怖分子資金籌集條例》
Anti-Money Laundering and Counter-Terrorist Financing Ordinance, Chapter 615, Laws of Hong Kong

請以正楷及黑色筆填寫本申報表。填寫本表格前，請先閱讀填表須知。

Please complete this form in BLOCK LETTERS and black ink. Please read the Guidance Notes before completing this form.

第一部 Part I 與本聲明表格有關連的申請人/B類註冊人的一般資料
General Information of the Applicant/Category B registrant connected to this Declaration Form

*申請人/B類註冊人的業務/法團名稱/持牌小販 *Name of the Applicant's/Category B registrant's Business/Corporation/ Licensed Hawker	
*商業登記號碼/小販牌照號碼 *Business Registration No./Hawker Licence No.	

第二部 Part II 獨資經營者/合夥人/董事/最終擁有人/持牌小販的詳情或
要求批准擔任B類註冊人的合夥人/董事/最終擁有人的詳情
**Particulars of the Sole Proprietor/Partner/Director/Ultimate Owner/Licensed Hawker or
Particulars of the Individual proposing to become a Category B Registrant's Partner/Director/Ultimate Owner**

<input type="checkbox"/> 獨資經營者 Sole proprietor	<input type="checkbox"/> 合夥人 Partner	<input type="checkbox"/> 董事 Director	<input type="checkbox"/> 最終擁有人 Ultimate owner	<input type="checkbox"/> 持牌小販 Licensed hawker
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英文姓名 (*先生/太太/小姐/女士) Name in English (*Mr/Mrs/Miss/Ms)	先填寫姓氏再寫名字 Surname first then other names
中文姓名 (如適用) Name in Chinese (if applicable)	
*香港身份證號碼/旅遊證件類別及號碼 *Hong Kong Identity Card No./ Travel Document Type and No.	

注意： 任何獨資經營者/合夥人/董事/最終擁有人/持牌小販在以下第三部作出在要項上屬虛假或具誤導性的陳述或在某項陳述中遺漏任何要項，即屬犯罪，一經定罪，可被判罰款港幣50,000元及監禁6個月。

Attention: Any sole proprietor/partner/director/ultimate owner/licensed hawkler who makes a statement that is false or misleading in a material particular or omits a material particular from a statement in the following Part III commits an offence and is liable on conviction to a fine of \$50,000 and to imprisonment for 6 months.

1.	<p>你有否在<u>香港</u>或<u>香港以外任何地方</u>就<u>任何罪行</u>被定罪？ Have you ever been convicted of any offence in Hong Kong or any place outside Hong Kong?</p>	<p><input type="checkbox"/> 有 Yes</p> <p><input type="checkbox"/> 沒有 No</p> <p><input type="checkbox"/> 其他 Others</p>
2.	<p>你有否被裁定不遵從根據香港法例第615章《打擊洗錢及恐怖分子資金籌集條例》(下稱「打擊洗錢條例」) 所施加的要求，或海關關長根據打擊洗錢條例第53ZVS條所訂立的任何規例？ Have you ever been found to have failed to comply with any requirement imposed under the Anti- Money Laundering and Counter-Terrorist Financing Ordinance, Chapter 615, Laws of Hong Kong (hereinafter referred as “AMLO”) or any regulation made by the Commissioner of Customs and Excise under section 53ZVS of the AMLO?</p>	<p><input type="checkbox"/> 有 Yes</p> <p><input type="checkbox"/> 沒有 No</p> <p><input type="checkbox"/> 其他 Others</p>
3.	<p>你有否被判決為破產人及仍未解除破產人身份？ Have you ever been adjudged bankrupt and not yet been discharged?</p>	<p><input type="checkbox"/> 有 Yes</p> <p><input type="checkbox"/> 沒有 No</p> <p><input type="checkbox"/> 其他 Others</p>
4.	<p>你是否正進行香港法例第6章《破產條例》下的任何破產程序？ Have you ever been the subject of any bankruptcy proceedings under the Bankruptcy Ordinance, Chapter 6, Laws of Hong Kong?</p>	<p><input type="checkbox"/> 有 Yes</p> <p><input type="checkbox"/> 沒有 No</p> <p><input type="checkbox"/> 其他 Others</p>

如問題1的答案是「有」，請提供以下資料 (有需要時可用另紙填寫)：

If the answer to 1 is 'Yes', please give the following details (Use additional sheets when necessary):

- (i) 所犯罪行：
The offence: _____
- (ii) 曾施加的刑罰(如有的話)：
Penalty imposed (if any): _____
- (iii) 定罪日期：
Date of conviction: _____
- (iv) 定罪地方：
Place of conviction: _____
- (v) 審訊該罪行的法院名稱：
Name of the court which tried the offence: _____

如問題2的答案是「有」，請提供以下資料：

If the answer to 2 is 'Yes', please give the following details:

被裁定不遵守要求/規例的日期：
Date(s) of failing to comply with the requirements / regulations: _____

如問題3的答案是「有」，請提供以下資料：

If the answer to 3 is 'Yes', please give the following details:

- (i) 判決日期：
Date of the adjudication: _____
- (ii) 破產地方：
Place of bankruptcy: _____
- (iii) 作出判決的法院名稱：
Name of the court which made the adjudication: _____

如問題4的答案是「是」，請提供以下資料：

If the answer to 4 is 'Yes', please give the following details:

- (i) 呈請書送達日期：
Date of service of the petition: _____
- (ii) 呈請書提交地方：
Place where the petition was presented: _____
- (iii) 呈請書所提交的法院名稱：
Name of the court in which the petition was presented: _____

如任何答案是「其他」，請提供詳情：

If any answer is 'Others', please provide details:

就問題 _____ 填寫「其他」的詳情：
The details for filling "Other" to question _____:

備註：如所提供的空位不敷應用，請影印該頁，以填寫所需資料。

Remarks: If the space provided is not enough, please make a photocopy of this page for filling in all the required information.

本人謹此聲明：

I declare that:

- (a) 在本聲明表格內提供的所有資料全屬完整、真實及正確無誤；
The information given in this Declaration Form is complete, true and correct;
- (b) 本人已閱讀香港法例第615章《打擊洗錢及恐怖分子資金籌集條例》(下稱「打擊洗錢條例」)。本人明白打擊洗錢條例第53ZVT條訂明任何人(1)作出在要項上屬虛假或具誤導性的陳述；並知道該項陳述在要項上屬虛假或具誤導性，或罔顧該項陳述是否在要項上屬虛假或具誤導性；或(2)在某項陳述中遺漏任何要項，以致該項陳述成為虛假或具誤導性的陳述；及知道該項陳述遺漏該要項，或罔顧該項陳述是否遺漏該要項，即屬犯罪，一經定罪，可被判罰款港幣50,000元及監禁6個月；
I have read the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (hereinafter referred to as “the AMLO”), Chapter 615, Laws of Hong Kong. I understand that section 53ZVT of the AMLO provides that any person who (1) makes a statement that is false or misleading in a material particular; and knows that, or is reckless as to whether, the statement is false or misleading in a material particular; or (2) omits a material particular from a statement with the result that the statement is rendered false or misleading; and knows that, or is reckless as to whether, the material particular is omitted from the statement, commits an offence and is liable on conviction to a fine of \$50,000 and to imprisonment for 6 months;
- (c) 本人已閱讀有關申請貴金屬及寶石交易商註冊的適當人選聲明表格3A的填表須知第C部所載的收集個人資料聲明，並明白當中內容。
I have read the Personal Information Collection Statement stated in Part C of the Guidance Notes on Form 3A Fit and Proper Person Declaration Form for the registration of the Dealers in Precious Metals and Stones and understand the contents stated therein.

(簽署)
(Signature)

(日期)
(Date)

(姓名(正楷))
(Name in block letters)

(*香港身份證/旅遊證件號碼)
(*HKID/Travel Document No.)

註： 香港法例第297章《罪犯自新條例》第2條的規定，不會以該條例第4條為理由而適用於與任何人是否適宜獲得註冊或續予註冊的問題有關的法律程序。任何判罪均不會視為「已失時效」，故所有判罪的詳細資料必須包括在內。

Note: The provisions in section 2 of the Rehabilitation of Offenders Ordinance, Chapter 297, Laws of Hong Kong do not by reason of Section 4 of that Ordinance apply to proceedings related to a person’s suitability to be registered, or continue to be registered. No conviction will be regarded as ‘spent’ and details of all convictions must therefore be included.

授權書

根據香港法例第615章《打擊洗錢及恐怖分子資金籌集條例》本人 _____，現就下述申請人/B類註冊人的貴金屬及寶石交易商註冊有關申請：

申請人/B類註冊人業務/法團名稱： _____

商業登記/小販牌照號碼： _____

授權警務處處長，或其代表，向海關關長及獲其授權的任何公職人員發放任何及全部有關本人的刑事判罪(所有刑事判罪紀錄包括法例第297章《罪犯自新條例》已失時效的判罪，如有的話)的所有資料。如有需要，本人亦同意香港警務處就此項申請套取本人的指模資料，以核證本人的刑事紀錄。本人的個人資料如下：

姓名(英文)	
姓名(中文)	
出生日期(日/月/年)	
出生地點	
*香港身份證號碼/ 護照號碼及簽發地點 [祇供非持有香港身份證人士]	
中文商業電碼	
	(按照香港身份證上的記錄，如適用)

簽署：_____ (必須在見證人面前簽署)

日期：_____

證明：

本人已將本授權書所載的個人資料與上述人士的身分證明文件的正本互相核對，現證明上述的個人資料真實無誤。本人亦證明上述人士在本人面前簽署本授權書。

見證人簽署：_____	*職銜/職業：_____
見證人姓名：_____	職級：_____
海關委任證編號或 其他身分證明文件號碼/簽發地點 (例如香港身份證或護照)：_____	
見證人是：	
(1) *香港海關的人員；或	
(2) *執業專業人士(例如事務律師、會計師、核數師)，公證人或太平紳士。	

Authorization

I, _____, for the application related to the Dealers in Precious Metals and Stones registration of the below applicant/Category B registrant,

Name of the applicant/Category B registrant : _____

Business Registration/Hawker Licence No. : _____

hereby authorize the Commissioner of Police, or his representative, to release full particulars of any and all criminal convictions (all criminal convictions include the spent convictions under the Rehabilitation of Offenders Ordinance, Cap.297, Laws of Hong Kong, if any) recorded against me to the Commissioner of Customs and Excise (“CCE”) and any public officer delegated by the CCE for the purpose of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap.615). I also agree to my fingerprint impressions being taken by the Hong Kong Police in connection with this application, if required for the purpose of verifying my criminal record(s). My personal particulars are as follows:

Name in English	
Name in Chinese	
Date of Birth (dd/mm/yyyy)	
Place of Birth	
*HK Identity Card No./ Passport No. and Place of Issue [For non-Hong Kong Identity Card Holder]	
Chinese Commercial Code No.	<i>(as recorded on the applicant’s HK Identity Card, where applicable)</i>

Signature: _____

(must sign in the presence of the witness)

Date: _____

Certification:

I have checked the personal particulars as stated in this Authorization against the original identity document(s) of the above-mentioned person. I now certify that the personal particulars stated above are true and correct. I also certify that this Authorization is signed by the above-mentioned person in my presence.

Signed by Witness: _____	*Designation/Profession: _____
Name of Witness: _____	Rank: _____
C&ED Warrant Card No.:	
Other Identity Document No./	
Place of Issue (e.g. HKID/Passport): _____	
The witness is:	
(1) *an official of the Customs and Excise Department; or	
(2) *a practicing professional (e.g. solicitor, accountant, auditor), a notary public or a Justice of the Peace.	

授權書

本人_____，現授權海關關長及獲其授權的任何公職人員，就下述申請人/B類註冊人的貴金屬及寶石交易商註冊有關申請：

申請人/B類註冊人業務/
法團名稱：

商業登記/小販牌照號碼：

向破產管理署提供本人的個人資料(包括本文件中的個人資料)，以作查核有關本人的破產紀錄之用。

姓名 (英文)

:

姓名 (中文)

:

*香港身份證號碼或
旅遊證件/身分證明文件
號碼及類別/
簽發地點 (如適用)

:

簽署：_____

日期：_____

CONFIDENTIAL 機密**Authorization**

I, _____, for the application related to the Dealers in Precious Metals and Stones registration of the below applicant/Category B registrant,

Name of the applicant/Category

B registrant : _____

Business Registration/Hawker

Licence No. : _____

hereby authorize the Commissioner of Customs and Excise (“CCE”) and any public officer delegated by the CCE to release my personal data (including my personal data in this document) to the Official Receiver’s Office with a view to conducting a search of bankruptcy record against me.

Name in English

:

Name in Chinese

:

***HK Identity Card No. or
Travel / Identity Document
Type and No. / Place of Issue
(if applicable)**

:

Signature: _____

Date: _____

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