

PARTICULARS REQUIRED IN RESPECT OF INDIVIDUALS  
WHO ARE DIRECTORS OR CONTROLLERS

Name of Insurer \* .....

The following are particulars of-

§(a) † .....

§(b) ‡ ....., of which † .....

..... is a partner who became

§ Director / Controller / Chief Executive / Managing Director on .....

..... (date).

1. Family name

Other names

.....

Any other name(s) by which he has been known or is known

.....

2. Private address.

3. Date of birth.

Place of birth (including town or city).

4. Nationality, including a statement as to whether it was acquired by birth or naturalization.

5. Qualifications and experience, including those relating to insurance and allied matters.

6. Present occupation or employment and occupations and employment during the last 10 years, including the name of the employer, the nature of the business, the position held and relevant dates.

7. Has he at any time been convicted of any criminal offence (other than an offence committed when he was of or under the age of 16 years unless the same was committed within the last 10 years) by any court, including a military tribunal, in Hong Kong or elsewhere? If so, give full particulars of the court by which he was convicted, the offence and the penalty imposed and the date of the conviction.

8. Has he in the last 10 years, in Hong Kong or elsewhere, been censured, disciplined or publicly criticized by any professional body to which he belongs or belonged or been dismissed from any office or employment or refused entry to any profession or occupation? If so, give full particulars.

9. Has he at any time been adjudicated bankrupt by a court in Hong Kong or elsewhere? If so, give full particulars.

10. Has he at any time in the last 10 years failed to satisfy any debt adjudged due and payable by him as a judgment-debtor under an order of a court in Hong Kong or elsewhere? If so, give full particulars.

11. Has he, in connection with the formation or management of any body corporate or insurer, been adjudged by a court in Hong Kong or elsewhere civilly liable for any fraud, misfeasance or other misconduct by him towards such a body or insurer or towards any members thereof? If so, give full particulars.
12. Has any body corporate or insurer with which he was associated as director or controller in the last 10 years, in Hong Kong or elsewhere, been compulsorily wound up or made any compromise or arrangement with its creditors or ceased trading in circumstances where its creditors did not receive or have not yet received full settlement of their claims, either whilst he was associated with it or within one year after he ceased to be associated with it? If so, give full particulars.  
(Note: In relation to a body corporate which is not an insurer, "controller" is to be construed as a reference to a person who would, if he were a company, be a holding company of that body in accordance with section 2(7) of the Companies Ordinance (Cap. 32)).
13. Of what bodies corporate or insurers-  
(a) is he now a director or controller?  
(b) has he been a director or controller at any time during the last 10 years?
14. Has he any other occupation other than that disclosed at items 6 and 13 above? If so, give full details.
15. Give particulars of the circumstances (by reference to section 9(1) of the Insurance Companies Ordinance) by virtue of which he became controller.
16. In carrying out his duties will he be acting on the directions or instructions of any other person? If so, give full particulars.

I certify that the above information is complete and correct to the best of my knowledge and belief.

Date .....

Signed.....  
(Individual named in paragraph 1 above.)

I certify that †.....  
has supplied the above information and that in respect of \*.....  
..... he is-

- (a) § Director / Controller / Chief Executive / Managing Director  
(b) A partner in ‡ ..... which  
is § Director / Controller / Chief Executive / Managing Director

Date .....

Signed .....  
(Director / Secretary§ of the Insurer.)

- \* Insert name of Insurer.  
† Insert name of individual to whom particulars relate.  
‡ Insert name of partnership.  
§ Delete as necessary.

PARTICULARS REQUIRED IN RESPECT OF  
BODIES CORPORATE WHICH ARE  
DIRECTORS OR CONTROLLERS

Name of Insurer \* .....

The following are particulars of a body corporate which became director, controller, chief executive or managing director, or which is a partner in a partnership which became director, controller, chief executive or managing director of the above-named Insurer on ..... (date).

1. Name and address of body corporate and address of registered office (where different).
2. Principal business activity.
3. Address of principal place of business established in Hong Kong.
4. Date and place of incorporation.
5. Registered number (if any).
6. Full name and residential address of every director and every controller.  
(Note: In relation to a body corporate which is not an insurer, "controller" is to be construed as a reference to a person who would, if he were a company, be a holding company of that body in accordance with section 2(7) of the Companies Ordinance).
7. Name and address of main bank.
8. Accounts for the last 3 completed financial years and particulars of any reports, resolutions and other circulars issued to shareholders during the last 4 years.
9. Name, place of incorporation and principal business activities of all subsidiary companies and of any holding company or ultimate holding company.  
(Note: Shares held by a nominee are to be treated as shares held by his principal).
- † 10. In the case of a company to which Part XI of the Companies Ordinance applies-
  - (a) name(s) and address(es) of person(s) residing in Hong Kong authorized to accept on behalf of the company service of process and any notices;
  - (b) date of registration under Part XI of the Companies Ordinance.
- † 11. Particulars of circumstances (by reference to section 9(1) of the Insurance Companies Ordinance) by virtue of which the above-named body corporate became a controller.

12. Has any body corporate or insurer with which the above-named body corporate was associated as director or controller in the last 10 years, in Hong Kong or elsewhere, been compulsorily wound up or made any compromise or arrangement with its creditors or ceased trading in circumstances where its creditors did not receive or have not yet received full settlement of their claims, either whilst the above-named body corporate was associated with it or within one year after the above-named body corporate ceased to be associated with it? If so, give full particulars.

(Note: In relation to a body corporate which is not an insurer, "controller" is to be construed as a reference to a person who would, if he were a company, be a holding company of that body in accordance with section 2(7) of the Companies Ordinance).

I certify that the above information is complete and correct to the best of my knowledge and belief and I certify that this notice is served with the knowledge and consent of the above-named body corporate.

Date .....

Signed .....  
(Director / Secretary† of body corporate.)

† I certify that the above particulars have been supplied by the above-named body corporate and that in respect of \*.....  
.....-

†(a) the above-named body corporate is Director / Controller / Chief Executive / Managing Director

†(b) ‡ ..... of which the above-named body corporate is a partner is Controller

Date .....

Signed .....  
(Director / Secretary† of the Insurer.)

\* Insert name of Insurer.

† Delete as necessary.

‡ Insert name of partnership.

PARTICULARS REQUIRED UNDER SECTION 14(2) IN RESPECT OF PERSON BECOMING CONTROLLER WITHIN THE MEANING OF SECTION 13A(1) OR 13B(1), OR CEASING TO BE DIRECTOR OR CONTROLLER

- 1. Name of insurer of which person has-
†(a) become a controller within the meaning of section †13A(1) / 13B(1) of this Ordinance;
†(b) ceased to be †director / controller.
2. Name of person.\*
3. Date on which person-
†(a) became a controller within the meaning of section †13A(1) / 13B(1) of this Ordinance;
†(b) ceased to be †director / controller.
†4. Confirmation that person has become, or, after becoming, is, a controller within the meaning of section †13A(1) / 13B(1) of this Ordinance in accordance with that section and that there has been no change in any information furnished under that section in respect of that person.
†5. Reason for ceasing to be †director / controller.

Date.....

Signed .....
(Director / Secretary† of the Insurer)

† Delete as necessary.
\* Insert name of individual, body corporate or partnership.



12. Has any body corporate or insurer with which he was associated as director or controller (within the meaning of section 9 of this Ordinance) in the last 10 years, in Hong Kong or elsewhere, been compulsorily wound up or made any compromise or arrangement with its creditors or ceased trading in circumstances where its creditors did not receive or have not yet received full settlement of their claims, either whilst he was associated with it or within one year after he ceased to be associated with it? If so, give full particulars.

(Note: In relation to a body corporate which is not an insurer, "controller" is to be construed as a reference to a person who would, if he were a company, be a holding company of that body in accordance with section 2(7) of the Companies Ordinance (Cap. 32)).

13. Of what bodies corporate or insurers-

- (a) is he now a director or controller (within the meaning of section 9 of this Ordinance)?
- (b) has he been a director or controller (within the meaning of section 9 of this Ordinance)?

14. Has he any other occupation other than that disclosed at items 6 and 13 above. If so, give full details.

15. In carrying out his duties will he be acting on the directions or instructions of any other person? If so, give full particulars.

I certify that the above information is complete and correct to the best of my knowledge and belief.

Date .....

Signed .....  
(individual named in paragraph 1 above.)

I certify that +.....  
has supplied the above information and that in respect of\* .....  
..... he is-

- #(a) proposed to be appointed as a controller within the meaning of section 13A(1) of this Ordinance;
- #(b) a partner in ++ .....  
which is proposed to be appointed as a controller within the meaning of section 13A(1) of this Ordinance;
- #(c) proposed to be appointed as an authorized representative of Lloyd's under section 50B of this Ordinance.

Date .....

Signed.....  
(Director/ Secretary# of the Insurer) /  
(Chairman of Lloyd's)#

- \* Insert name of Insurer or Lloyd's.
- + Insert name of individual to whom particulars relate.
- ++ Insert name of partnership.
- # Delete as necessary.

PARTICULARS REQUIRED IN RESPECT OF BODIES CORPORATE  
WHICH ARE PROPOSED TO BE APPOINTED AS CONTROLLERS  
WITHIN THE MEANING OF SECTION 13A(1)

Name of Insurer\* .....

The following are particulars of a body corporate which is proposed to be appointed as a controller within the meaning of section 13A(1) of this Ordinance, or which is a partner in a partnership which is proposed to be appointed as such a controller, of the above-named Insurer.

1. Name and address of body corporate and address of registered office (where different).
2. Principal business activity.
3. Address of principal place of business established in Hong Kong.
4. Date and place of incorporation.
5. Registered number (if any).
6. Full name and residential address of every director and every controller within the meaning of section 9 of this Ordinance.  
(Note: In relation to a body corporate which is not an insurer, "controller" is to be construed as a reference to a person who would, if he were a company, be a holding company of that body in accordance with section 2(7) of the Companies Ordinance (Cap. 32)).
7. Name and address of main bank.
8. Accounts for the last 3 completed financial years and particulars of any reports, resolutions and other circulars issued to shareholders during the last 4 years.
9. Name, place of incorporation and principal activities of all subsidiary companies and of any holding company or ultimate holding company.  
(Note: Shares held by a nominee are to be treated as shares held by his principal).
- † 10. In the case of a company to which Part XI of the Companies Ordinance (Cap. 32) applies-
  - (a) name(s) and address(es) of person(s) residing in Hong Kong authorized to accept on behalf of the company service of process and any notices;
  - (b) date of registration under Part XI of the Companies Ordinance (Cap. 32).

11. Has any body corporate or insurer with which the above-named body corporate was associated as director or controller (within the meaning of section 9 of this Ordinance) in the last 10 years, in Hong Kong or elsewhere, been compulsorily wound up or made any compromise or arrangement with its creditors or ceased trading in circumstances where its creditors did not receive or have not yet received full settlement of their claims, either whilst the above-named body corporate was associated with it or within one year after the above-named body corporate ceased to be associated with it? If so, give full particulars.

(Note: In relation to a body corporate which is not an insurer, "controller" is to be construed as a reference to a person who would, if he were a company, be a holding company of that body in accordance with section 2(7) of the Companies Ordinance (Cap. 32)).

I certify that the above information is complete and correct to the best of my knowledge and belief and I certify that this notice is served with the knowledge and consent of the above-named body corporate.

Date .....

Signed .....  
(Director / Secretary † of body corporate.)

†I certify that the above particulars have been supplied by the above-named body corporate and that in respect of\* .....  
.....-

†(a) the above-named body corporate is proposed to be appointed as a controller within the meaning of section 13A(1) of this Ordinance.

†(b) # ..... of which the above-named body corporate is a partner is proposed to be appointed as a controller within the meaning of section 13A(1) of this Ordinance.

Date .....

Signed.....  
(Director / Secretary † of body corporate.)

\* Insert name of Insurer.

† Delete as necessary.

# Insert name of partnership.

(Fourth Schedule added 44 of 1990 s. 10)