Form

(Made for the purposes of compliance with the requirements of section 156(1)(a) of the Securities and Futures Ordinance (Cap.571) as amplified in section 3(1) of the Securities and Futures (Accounts and Audit) Rules (Cap.571P)).

Account Disclosure Document for Licensed Corporation

I. Profit and Loss Information

	Current year	Last year
1. Turnover		
(a) total value of transactions arising from dealing in securities		
(i) for own account, director's account and the accounts of companies within the group in which the licensed corporation is a member		
(1) on recognized stock market		
(2) on markets outside Hong Kong		
(3) on others		
(ii) for clients-		
(1) on		

	Current year	Last year
less: provision for bad and doubtful debts		

	Current year	Last year
(i) net assets/liabilities of that foreign currency included in the balance sheet		
(ii) net commitment to buy/sell that foreign currency not included in the balance sheet		

2. Contingency liabilities and commitments

Contingent liabilities and commitments as at balance sheet date

(a) underwriting and sub-underwriting commitments		
(b) uncalled amounts on securities		
(c) other contingent liabilities		

	Current year	Last year
4. Guarantee		
Value of any guarantee provided by the licensed corporation		
(a) as security for the licensed corporation's banking facility		
(b) as security in a securities borrowing		