



(For internal use only)

Application no.: \_\_\_\_\_

Date of receipt: \_\_\_\_\_

**Mainland and Hong Kong Closer Economic Partnership Arrangement (CEPA)**  
**Application Form for Amendment / Replacement / Certified True Copy (CTC) /**  
**Cancellation of Certificate of Hong Kong Investor (HKI)**  
**[Form TID 118]**

Please read Notices to Investors issued by the Trade and Industry Department (TID) of the Hong Kong Special Administrative Region (HKSAR) from time to time and Notes to this application before completing this application form.

**Section A – General Information of the Applicant**

- I. Name of applicant <sup>(see Note 1)</sup> : \_\_\_\_\_  
 \_\_\_\_\_ (in Chinese)  
 \_\_\_\_\_ (in English)
- II. Certificate of HKI No(s). (Date of Issue) : \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- III. Business address: \_\_\_\_\_  
 \_\_\_\_\_
- IV. Tel no.: \_\_\_\_\_ Fax no.: \_\_\_\_\_ Email\*\* : \_\_\_\_\_
- V. Name of contact person: \_\_\_\_\_
- VI. Business Registration no. (the first 11 digits): \_\_\_\_\_ Expiry date (dd/mm/yy): \_\_\_\_\_
- VII. Company number on the Certificate of Incorporation (if applicable): \_\_\_\_\_
- VIII. Application for #:
- Amendment** of Certificate of HKI – Please complete **Part I** of Section B
- Replacement** of Certificate of HKI – Please complete **Part II** of Section B
- Certified True Copy (CTC)** of Certificate of HKI – Please complete **Part III** of Section B
- Cancellation** of Certificate of HKI – Please complete **Part IV** of Section B

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\*\* TID will use this email address for all future correspondences with the applicant on matters relating to the HKI Certification Scheme. Please notify Hong Kong Service Supplier and Hong Kong Investor Certification Section of any changes to the email address.

**Section B – Information and Documents in Support of Application**

**I. Amendment**

Supporting Documents #:

- A fresh Statutory Declaration <sup>(see Note 2)</sup>, which contains **the new name of investor** and made pursuant to the procedures and requirements of the Oaths and Declarations Ordinance (Cap. 11 of the laws of the HKSAR) by the authorized person of the applicant <sup>(see Note 5)</sup>
- Original copy of the Certificate(s) of HKI mentioned in Item II of Section A of this application form
- A copy of valid Business Registration Certificate bearing the new name of the applicant, certified by the Business Registration Office of the Inland Revenue Department of the HKSAR or a Designated Professional <sup>(see Note 3)</sup>
- (Applicable to companies formed and registered under the Companies Ordinance (Cap 622) or a former Companies Ordinance of the HKSAR) A copy of the relevant Certificate(s) of Change of Name, certified by the Companies Registry of the HKSAR or a Designated Professional <sup>(see Note 3)</sup>

**II. Replacement**

(a) Reason for Application:

**Loss / Theft / Destruction / Damage \***

(b) Supporting Documents #:

- Original copy of the Certificate(s) of HKI mentioned in Item II of Section A of this application form (in case of damage)
- Photocopy of Certificate(s) of HKI mentioned in Item II of Section A of this application form (in case of loss, theft or destruction)
- A letter from the responsible party certifying **the loss / theft / destruction \*** of the Certificate(s) of HKI mentioned in Item II of Section A of this application form
- Police memo indicating that the Certificate(s) of HKI mentioned in Item II of Section A of this application form is/are lost, stolen or destroyed [if the Certificate(s) of HKI is/are lost within HKSAR]
- Others <sup>(see Note 4)</sup> (please specify: \_\_\_\_\_ )  
\_\_\_\_\_ )

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**III. Certified True Copy (CTC)**

(a) No. of CTC(s) required for each Certificate mentioned in Item II of Section A of this application:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(b) Reason(s) for Application #:  To facilitate concurrent applications to different Mainland's examining authorities for the investment in the Mainland (please specify the name(s) of the Mainland's examining authority(ies) to which application is to be submitted:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_)

Others (please specify: \_\_\_\_\_  
\_\_\_\_\_)

(c) Supporting Documents #:

Photocopy of the Certificate(s) of HKI mentioned in Item II of Section A of this application form

Others (see Note 4) (please specify: \_\_\_\_\_  
\_\_\_\_\_)

**IV. Cancellation**

(a) Reason(s) for Application #:  Applicant no longer fulfills the eligibility criteria of HKI as stipulated in the Investment Agreement due to the following change(s):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Others (please specify: \_\_\_\_\_  
\_\_\_\_\_)

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- (b) Supporting Documents #:
- Original copy of the Certificate(s) of HKI mentioned in Item II of Section A of this application form
  
  - Document(s) in support of the non-fulfillment of the Hong Kong investor eligibility criteria (please specify:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_) )
  
  - Others (see Note 4) (please specify: \_\_\_\_\_  
\_\_\_\_\_ )

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**Section C – Declaration**

On behalf of the applicant as specified in Section A of this application form, I declare that I have read and fully understood the Notices to Investors issued by TID from time to time and the notes set out in this application form. I declare that the information provided by me in this application form as well as the accompanying supporting documents are complete and true to the best of my knowledge.

[This paragraph is applicable to all applications made in this application form except applications for cancellation of Certificate(s) of Hong Kong Investor (HKI).] On behalf of the applicant as specified in Section A of this application form, I declare that there has been no change in the particulars of the applicant which makes the applicant no longer eligible as an HKI under the Investment Agreement since the issuance of the Certificate(s) of HKI as provided in Section A of this application form. I ensure that the applicant may, if considered necessary <sup>(see Note 6)</sup>, notify TID in writing of the change, and at the same time apply for cancellation of this application, or any amendment(s), replacement(s) or certified true copy(ies) (CTC) of the Certificate(s) of HKI issued as a result of this application, if there is any change in the particulars of the applicant which makes the applicant no longer eligible as an HKI under the Investment Agreement.

[This paragraph is only applicable to the case of replacement application with original Certificate(s) of HKI not enclosed in this application form.] I undertake to return immediately to TID the original Certificate(s) of HKI as provided in Item II of Section A of this application form should it/they be recovered at a later date.

I am aware that TID will rely on the information and supporting documents provided by me to process this application. I authorize TID to handle the personal data/information provided in this application form and its accompanying supporting documents in accordance with the Notices to Investors issued by TID from time to time. I also understand that if it is found that the applicant has obtained its amendment(s) / replacement(s) / CTC(s) of Certificate(s) of HKI / acknowledgement(s) of cancellation of Certificate(s) of HKI by means of any omission/misrepresentation of information or any other fraudulent means, TID reserves at all times the absolute right to cancel this application or to revoke any Certificate(s) of HKI issued to the applicant [including amendment(s) / replacement(s) / CTC(s) / cancellation acknowledgement(s) of Certificate(s) of HKI concerned]. I understand that any omission/misrepresentation of information on my part, or on the part of any person acting on my behalf, with intent to obtaining benefits by deception is an offence and is liable to legal proceedings.

Hong Kong Identity Card no./ Passport no. (please specify nationality _____) *	Name in Chinese (if applicable)	Name in English (if applicable)	Position
Authorized Signature <sup>(see Note 5)</sup> with Applicant's Official Stamp		Date (dd/mm/yy)	

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## Notes

Note 1: Please provide the revised name in Item I of Section A of this application form.

Note 2: The Statutory Declaration (Form HKI 001) must be completed in Chinese. Non-Chinese speakers requiring interpretation of the content of the declaration should use Form HKI 002 (also in Chinese).

The latest versions of the above Forms can be downloaded from TID's webpage –  
<http://www.tid.gov.hk/english/aboutus/form/publicform/cepa/cepa.html>

Note 3: Designated Professionals include:

- (i). certified public accountants (practising) of Hong Kong (auditors) i.e. certified public accountants registered under the Professional Accountants Ordinance (Cap. 50) of the HKSAR and holding a practising certificate. A list of the certified public accountants is available for perusal by the public at the office of the Hong Kong Institute of Certified Public Accountants at Membership Counter, 27/F, Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong. The register is also available at the Society's website (<http://www.hkicpa.org.hk>); and
- (ii). practising lawyers in Hong Kong registered under the Legal Practitioners Ordinance (Cap. 159) of the HKSAR. The relevant list is available at the Hong Kong Law Society's website (<http://www.hklawsoc.org.hk>).

Attesting Designated Professionals should on the relevant documents/reports (a) state the certification result, certification date, full name of the attesting authority/person; and (b) affix the signature of the attesting authority/person. The attested documents/reports should be stamped with the chop of the authority, if possible.

Note 4: For additional supporting documents that applicant should submit, please refer to the Notices to Investors issued by TID from time to time ([http://www.tid.gov.hk/english/aboutus/tradecircular/nti/i\\_maincontent.html](http://www.tid.gov.hk/english/aboutus/tradecircular/nti/i_maincontent.html)). TID reserves at all times the absolute right to require the applicants to provide other supporting documents that are verified by any independent professional personnel/institutions.

Note 5: The authorized person of a "Hong Kong investor" should be the sole-proprietor (in the case of sole-proprietorship), one of the partners (in the case of partnership), or a director/responsible officer authorized by the Board of Directors (in the case of a limited company) of the applicant.

Note 6: During the validity of the HKI certificates, if more than 50% of the equity interest of the holders of the HKI certificates has been owned by way of merger or acquisition by investors not from the Mainland or Hong Kong, the investments that have already been made by the holders in the Mainland in the non-services sectors with preferential access to Hong Kong may continue to operate without applying for a new HKI certificate. However, the holders are not allowed to use the HKI certificates previously issued to cover new investments in those non-services sectors. The concerned Hong Kong investors may make a fresh application for an HKI certificate one year after 50% of its shares being acquired by investors not from the Mainland or Hong Kong for covering new investments in those non-services sectors.

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