

CONFIDENTIAL

DECLARATION OF INVESTMENTS BY CIVIL SERVANTS (Annual Declaration/Biennial Declaration/Declaration on Appointment to Tier I/II post*)

To : _____
*SCS/Permanent Secretary/Head of Department **

PART A

Personal Particulars	
Holder of Tier I/II* Post	
Name	_____ (English) _____ (Chinese) <i>(First name) (Last name)</i>
HKID No.	_____
Appointed to Tier I/II* post on	_____
Present # post and date of posting	_____
Present # bureau/department*	_____
Name of spouse	_____ (English) _____ (Chinese) <i>(First name) (Last name)</i>
HKID No. of spouse	_____
Occupation of spouse	_____
Employer of spouse	_____
Declaration	
In accordance with CSR 464(a), I report my investments held as at _____ (date) as detailed in Part B of this form (GF 389(I) (Rev. 6/2008)).	
I hereby declare that the particulars entered in the attached form(s) are accurate and complete.	
Signature	_____ Date _____
NB Please see notes	
* Delete as appropriate	
# For an officer on final leave, please put down the post and bureau/department you last worked in	

***Points to note when completing [GF 389(I) (Rev. 6/2008)] on
Declaration of Investments (annual/biennial/on appointment to Tier I/II post)***

General

- (1) The information provided in this declaration form (GF 389(I) (Rev. 6/2008)) will be used by SCS/Permanent Secretary/Head of Department or his designated officer(s) as appropriate to assess whether there is any conflict of interest between the private investments (in and/or outside Hong Kong) declared by the officer and his official duties or any non-compliance with relevant Civil Service rules and regulations and/or whether any action, including disciplinary proceedings, should be taken as appropriate.
- (2) By virtue of CSR 464(a), an officer may be required during a posting to declare his investments under CSR 463(1)(a) and (b) and other investments to be specified from a current date and thereafter on a regular basis.
- (3) Under CSR 466, an officer who fails to observe any of the regulations on investments renders himself liable to disciplinary proceedings, and may in addition be required to divest himself of any or some of the investments, refrain from acquiring or disposing of the investments or place the investments in a blind trust.
- (4) Before completing the declaration form, all officers are advised to study carefully CSRs 461-466 and CSB Circular No. 8/2006 on "Declaration of Investments by Civil Servants", additional declaration rules and investment restrictions prescribed by his bureau/department, if any, and CSB Circular No. 2/2004 on "Conflict of Interest".
- (5) The officer making the declaration will have a right to request access to and correction of the information provided herewith. Such requests can be made in writing to SCS/Permanent Secretary/Head of Department [Attn: (name and title of responsible officer) at (officer's address) if possible] as appropriate.
- (6) For reporting of occupation of spouse, the field/area of work should be specified where appropriate, e.g. Manager (Human Resource), Consultant (Investment), etc.

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PART B

Details of Investments and Interests Held

Serial No.	(a) Particulars of Investments/ Interests (see notes)	(b) Date of Acquisition (dd/mm/yy)	(c) Quantity/ Units Acquired	(d) Price of Acquisition [HK \$ as at (b)]	(e) Use of Investment at (a) (Please ✓ as appropriate)	
(I) <u>Land or buildings owned in Hong Kong and/or places outside Hong Kong</u>						
					Self-use	Leased

Serial No.	Particulars of Investments/ Interests (see notes)	(a) Date of Acquisition (dd/mm/yy)	(b) Quantity/ Units Acquired	(c) Price of Acquisition [HK \$ as at (a)]
(II) <u>Shareholdings of the issued share capital in any company</u>				
(i) Listed Public Company				

Serial No.	Particulars of Investments/ Interests (see notes)	(a) Date of Acquisition (dd/mm/yy)	(b) Quantity/ Units Acquired	(c) Price of Acquisition [HK \$ as at (a)]
(ii) Unlisted Public Company				
(iii) Private Company				
(III) Others				

Name : _____ Signature : _____

Post # : _____ Date : _____

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NB # For an officer on final leave, please put down the post you last worked in
GF 389(I) (Rev. 6/2008)

Notes for Part B of GF 389(I) (Rev. 6/2008)

- (1) Under CSR 463(1), the “investments” for declaration and reporting -
- (a) include any investment, shareholding or direct or indirect interest in any company or undertaking (including company directorship), and any interest in land or buildings (including self-occupied property) in Hong Kong and/or in places outside Hong Kong;
 - (b) include but are not limited to -
 - (i) securities listed on the Stock Exchange of Hong Kong;
 - (ii) futures and options contracts and other products traded on the Hong Kong Futures Exchange;
 - (iii) Tracker Fund of Hong Kong;
 - (iv) The Link Real Estate Investment Trust; and
 - (v) any investment listed above which belongs to an officer but is held in the name of his/her spouse or of any other person or agent or company acting on his/her behalf,
 - (c) but, subject to CSR 464(a), **exclude** -
 - (i) unit trusts, mutual funds¹ and life insurance policies;
 - (ii) bank deposits (irrespective of currencies) and currency transactions;
 - (iii) government bills and notes and multilateral agency debt instruments; and
 - (iv) any investment held by an officer as a trustee or for charitable purposes where the officer has no beneficiary interest.
- (2) By virtue of CSR 464(a), an officer may be required during a posting to declare his investments under CSR 463(1)(a) and (b) and other investments to be specified from a current date and thereafter on a regular basis. For investments not specified above, an officer should consult his/her Permanent Secretary/Head of Department on whether such investments should be declared.
- (3) For reporting of land or buildings owned in or outside Hong Kong, detailed address is required. Whether the land or buildings owned in Hong Kong or elsewhere is for residential or commercial use should be specified.
- (4) For reporting of the use of land or buildings, “self-use” includes self-occupied, occupied by family and relatives, vacant or any other purposes for which no income is derived.
- (5) With reference to the relevant definitions under the Companies Ordinance (Cap. 32) and Securities and Futures Ordinance (Cap. 571), the meaning of “private”, “unlisted public” and “listed public” companies for the purpose of this form are as follows -
- (i) *private company* – those with an upper limit of 50 members (excluding staff) and are prohibited from inviting the public to subscribe to their shares;
 - (ii) *unlisted public company* – those not falling under the definition under (i) above and are not listed on a recognised stock market (local or overseas); and
 - (iii) *listed public company* – those not falling under the definition under (i) above and its shares are listed on a recognised stock market (local or overseas).

¹ The unit trusts and mutual funds to be excluded refer to those where the fund managers make active investment decisions completely independent of beneficial ownership, thus rendering the chance of potential conflict of interest between such investment and official duties minimal.

- (6) If interests in a private company are included, a brief indication of the following should be given -
- (a) the nature of its business;
 - (b) whether the company has active business activities; if it is solely for holding land or properties, please provide details of the land and properties;
 - (c) whether the officer has actively participated in the business(es) of the company; and
 - (d) the officer's shareholding and names of other shareholders which are known.