

## **Completion Instructions**

### **Certificate of compliance with the Banking Ordinance of an authorized institution incorporated outside Hong Kong Form MA(BS)1F(b)**

This certificate should be submitted by all authorized institutions incorporated outside Hong Kong for the purpose of certifying their compliance with sections 80, 85, and 102 **and Rules made under section 60A(1) of the Banking Ordinance**. The certificate is to be submitted not later than 14 days after the end of each quarter ending 31 March, 30 June, 30 September and 31 December. If the submission deadline falls on a public holiday, it will be deferred to the next working day.

#### **Cover page item 2(d)**

**2. For the purposes of indicating compliance with the rules made under section 60A(1) of the Banking Ordinance (hereafter referred to “the Rules”), the reporting institution is required to complete item 2(d). The certification of compliance should be made in relation to the reporting institution’s most recent disclosure statement issued prior to the Certificate of Compliance. For instance, if the institution’s financial year-end is end-December, it should indicate in its Certificate for the period ending 30 September whether it has contravened the requirements of the Rules in respect of its disclosures for the interim reporting period. Any contraventions of the Rules in respect of its disclosures for the annual reporting period should be recorded in the Certificate for the period ending 30 March. Where the Certificate of Compliance relates to a quarter in which no disclosure statement has been issued, the reporting institution should give the same answer as on the previous quarter’s Certificate of Compliance.**

**3. The reporting institution should complete item 2(d) by putting a “Y” or “N” in the appropriate column to indicate whether or not the institution has contravened any of the requirements of the Rules. If the answer to item 2(d) is “yes”, the institution should specify in the space provided relevant section(s) of the Rules that it contravened. If the institution is exempted by the Monetary Authority for disclosures required under the Rules, it should tick the relevant box as provided in the Certificate.**

**4. As the Rules will only apply to institutions which have a financial year commencing on a date other than 1 January from the start of their 2007-08 financial years, these institutions should leave the space blank rather than putting a “Y” or “N” in the appropriate column of the Certificate until a time when they need to make a report concerning their compliance with the Rules.**