**示例1:** 個人股東和實益擁有人

**公司:**

EXAMPLE ONE LIMITED

公司編號: 9000001

單一類別的股份，每股具有一個投票權。

**場景:**

John Doe 持有 800 股

Peter Park 持有150 股

Connie Chan 持有50 股

**分析:**

已發行股份總數為1,000股。

John Doe 持有 80% 的已發行股份和 80% 的投票權。他是實益擁有人。

Peter Park 持有15% 的已發行股份和15% 的投票權。他是實益擁有人。

Connie Chan 持有5% 的已發行股份和5% 的投票權。她不是實益擁有人。

**說明（書面形式）：**

ROMBO Confirmation Form for EXAMPLE ONE LIMITED:

* 勾選 A : 表示公司沒有被豁免股東名冊及實益擁有權資料

ROMBO Data Form – 須填寫部分:

|  |  |  |  |
| --- | --- | --- | --- |
| **Section** | **John Doe** | **Peter Park** | **Connie Chan** |
| A-1. Basic Information - Individual | Yes | Yes | Yes |
| A-2. Basic Information - Legal Entity (“LE”) | - | - | - |
| A-2a. Exempted Owner | - | - | - |
| B. Address | Yes | Yes | Yes |
| C. Shareholding | Yes | Yes | Yes |
| C-1. Mortgage and Charge | - | - | - |
| C-2. Nominator | - | - | - |
| C-3. Joint Shareholding | - | - | - |
| D. Ownership and Control | Yes | Yes | - |

**說明（數據檔案形式）：**

ROMBO Exemption:

* 不須要填寫. EXAMPLE ONE LIMITED 沒有被豁免

ROMBO Data:

|  |  |  |  |
| --- | --- | --- | --- |
| **Columns (Section)** | **John Doe** | **Peter Park** | **Connie Chan** |
| A (Row Reference) | - | - | - |
| B (BC Number) | Yes | Yes | Yes |
| C to N (Individual) | Yes | Yes | Yes |
| O to S (Legal Entity) | - | - | - |
| T to Y (Address) | Yes | Yes | Yes |
| Z to AF (Member) | Yes | Yes | Yes |
| AG to AK (Mortgage/Charge) | - | - | - |
| AL to AO (Nominee/Nominator) | - | - | - |
| AP to AQ (Joint Holding) | - | - | - |
| AR to BE (Ownership/Control) | Yes | Yes | - |
| BF to BP (Exempted Owner) | - | - | - |

**示例2:** 法人股東(非BVI 設立的法人)

**公司：**

EXAMPLE TWO LIMITED

公司編號: 9000002

單一類別的股份，每股具有一個投票權。

**場景：**

SAMPLE HOLDINGS LIMITED (非BVI 設立的法人) 持有1,000 股

John Doe 持有95% SAMPLE HOLDINGS LIMITED的股份

Peter Park 持有5% SAMPLE HOLDINGS LIMITED的股份

**分析：**

已發行股份總數為1,000股。

John Doe 間接持有95% 的已發行股份和95% 的投票權。他是實益擁有人。

Peter Park間接持有5% 的已發行股份和5% 的投票權。他不是實益擁有人。

**說明（書面形式）：**

ROMBO Confirmation Form for EXAMPLE TWO LIMITED:

* 勾選 A : 表示公司沒有被豁免股東名冊及實益擁有權資料

ROMBO Data Form – 須填寫部分:

|  |  |  |  |
| --- | --- | --- | --- |
| **Section** | **SAMPLE HOLDINGS LIMITED** | **John Doe** | **Peter Park** |
| A-1. Basic Information - Individual | - | Yes | Not required |
| A-2. Basic Information - Legal Entity (“LE”) | Yes | - |
| A-2a. Exempted Owner | - | - |
| B. Address | Yes | Yes |
| C. Shareholding | Yes | - |
| C-1. Mortgage and Charge | - | - |
| C-2. Nominator | - | - |
| C-3. Joint Shareholding | - | - |
| D. Ownership and Control | - | Yes |

**說明（數據檔案形式）：**

ROMBO Exemption:

* 不須要填寫. EXAMPLE TWO LIMITED 沒有被豁免

ROMBO Data:

|  |  |  |  |
| --- | --- | --- | --- |
| **Columns (Section)** | **SAMPLE HOLDINGS LIMITED** | **John Doe** | **Peter Park** |
| A (Row Reference) | - | - | Not required |
| B (BC Number) | Yes | Yes |
| C to N (Individual) | - | Yes |
| O to S (Legal Entity) | Yes | - |
| T to Y (Address) | Yes | Yes |
| Z to AF (Member) | Yes | - |
| AG to AK (Mortgage/Charge) | - | - |
| AL to AO (Nominee/Nominator) | - | - |
| AP to AQ (Joint Holding) | - | - |
| AR to BE (Ownership/Control) | - | Yes |
| BF to BP (Exempted Owner) | - | - |

**示例3:** 代名股東

**公司：**

EXAMPLE THREE LIMITED

公司編號: 9000003

單一類別的股份，每股具有一個投票權。

**場景：**

NOMINEE SHAREHOLDER LIMITED 持有 1,000 股

股份是代John Doe持有. John Doe 是提名人及實益擁有人.

**分析：**

已發行股份總數為1,000股。

NOMINEE SHAREHOLDER LIMITED 是代名人(nominee).

John Doe 是提名人( nominator) 及實益擁有人.

**說明（書面形式）：**

ROMBO Confirmation Form for EXAMPLE THREE LIMITED:

* 勾選 A : 表示公司沒有被豁免股東名冊及實益擁有權資料

ROMBO Data Form – 須填寫部分:

|  |  |  |
| --- | --- | --- |
| **Section** | **NOMINEE SHAREHOLDER LIMITED** | **John Doe** |
| A-1. Basic Information - Individual | - | Yes |
| A-2. Basic Information - Legal Entity (“LE”) | Yes | - |
| A-2a. Exempted Owner | - | - |
| B. Address | Yes | Yes |
| C. Shareholding | Yes (tick Acting as Nominee) | - |
| C-1. Mortgage and Charge | - | - |
| C-2. Nominator | - | Yes (enter NOMINEE SHAREHOLDER LIMITED as Nominee) |
| C-3. Joint Shareholding | - | - |
| D. Ownership and Control | - | Yes |

**說明（數據檔案形式）：**

ROMBO Exemption:

* 不須要填寫. EXAMPLE THREE LIMITED 沒有被豁免

ROMBO Data:

|  |  |  |
| --- | --- | --- |
| **Columns (Section)** | **NOMINEE SHAREHOLDER LIMITED** | **John Doe** |
| A (Row Reference) | - | - |
| B (BC Number) | Yes | Yes |
| C to N (Individual) | - | Yes |
| O to S (Legal Entity) | Yes | - |
| T to Y (Address) | Yes | Yes |
| Z to AF (Member) | Yes | - |
| AG to AK (Mortgage/Charge) | - | - |
| AL to AO (Nominee/Nominator) | Yes (勾 AL 欄) | Yes (AM欄, 選“9000003: NOMINEE SHAREHOLDER LIMITED”) |
| AP to AQ (Joint Holding) | - | - |
| AR to BE (Ownership/Control) | - | Yes |
| BF to BP (Exempted Owner) | - | - |

**示例 4:** Joint Shareholders

**公司：**

EXAMPLE FOUR LIMITED

公司編號: 9000004

單一類別的股份，每股具有一個投票權。

**場景：**

Joe Doe 和Peter Park聯名持有 1,000 股. 形式是聯權共有.

**分析：**

已發行股份總數為1,000股。

Joe Doe 和Peter Park 都是共同持有100% 已發行股份和100% 的投票權. 兩人都是實益擁有人.

Joe Doe, 是股東名冊中聯名持股的第一個人名, 是primary holder.

**說明（書面形式）：**

ROMBO Confirmation Form for EXAMPLE FOUR LIMITED:

* 勾選 A : 表示公司沒有被豁免股東名冊及實益擁有權資料

ROMBO Data Form – 須填寫部分:

|  |  |  |
| --- | --- | --- |
| **Section** | **John Doe** | **Peter Park** |
| A-1. Basic Information - Individual | Yes | Yes |
| A-2. Basic Information - Legal Entity (“LE”) | - | - |
| A-2a. Exempted Owner | - | - |
| B. Address | Yes | Yes |
| C. Shareholding | Yes | - |
| C-1. Mortgage and Charge | - | - |
| C-2. Nominator | - | - |
| C-3. Joint Shareholding | Yes (select Joint Ownership, and enter Peter Park as Joint Shareholder) | Yes (select Joint Ownership, and enter John Doe as Joint Shareholder) |
| D. Ownership and Control | Yes | - |

**說明（數據檔案形式）：**

ROMBO Exemption:

* 不須要填寫. EXAMPLE FOUR LIMITED 沒有被豁免

ROMBO Data:

|  |  |  |
| --- | --- | --- |
| **Columns (Section)** | **John Doe** | **Peter Park** |
| A (Row Reference) | - | - |
| B (BC Number) | Yes | Yes |
| C to N (Individual) | Yes | Yes |
| O to S (Legal Entity) | - | - |
| T to Y (Address) | Yes | Yes |
| Z to AF (Member) | Yes | - |
| AG to AK (Mortgage/Charge) | - | - |
| AL to AO (Nominee/Nominator) | - | - |
| AP to AQ (Joint Holding) | Yes (select “Joint Ownership” in column AP) | Yes (select “9000004: Doe John” in column AQ) |
| AR to BE (Ownership/Control) | Yes | - |
| BF to BP (Exempted Owner) | - | - |

**Example 5:** 不同的股份類別

**公司：**

EXAMPLE FIVE LIMITED

公司編號: 9000005

公司可以發行兩個股份類別, Ordinary 股每股一個有投票權, Preference 股沒有投票權.

**場景：**

Joe Doe 持有 10 Ordinary 股.

Peter Park 持有 900 Preference 股.

Connie Chan 持有 90 Preference 股.

**分析：**

已發行股份總數為1,000股。

Joe Doe 持有 1% 的已發行股份和100% 的投票權. 他是實益擁有人.

Peter Park 持有 90% 的已發行股份和0% 的投票權. 他是實益擁有人.

Connie Chan 持有 9% 的已發行股份和0% 的投票權. 她不是實益擁有人.

**說明（書面形式）：**

ROMBO Confirmation Form for EXAMPLE FIVE LIMITED:

* 勾選 A : 表示公司沒有被豁免股東名冊及實益擁有權資料

ROMBO Data Form – 須填寫部分:

|  |  |  |  |
| --- | --- | --- | --- |
| **Section** | **John Doe** | **Peter Park** | **Connie Chan** |
| A-1. Basic Information - Individual | Yes | Yes | Yes |
| A-2. Basic Information - Legal Entity (“LE”) | - | - | - |
| A-2a. Exempted Owner | - | - | - |
| B. Address | Yes | Yes | Yes |
| C. Shareholding | Yes | Yes | Yes |
| C-1. Mortgage and Charge | - | - | - |
| C-2. Nominator | - | - | - |
| C-3. Joint Shareholding | - | - | - |
| D. Ownership and Control | Yes | Yes | - |

**說明（數據檔案形式）：**

ROMBO Exemption:

* 不須要填寫. EXAMPLE FIVE LIMITED 沒有被豁免

ROMBO Data:

|  |  |  |  |
| --- | --- | --- | --- |
| **Columns (Section)** | **John Doe** | **Peter Park** | **Connie Chan** |
| A (Row Reference) | - | - | - |
| B (BC Number) | Yes | Yes | Yes |
| C to N (Individual) | Yes | Yes | Yes |
| O to S (Legal Entity) | - | - | - |
| T to Y (Address) | Yes | Yes | Yes |
| Z to AF (Member) | Yes | Yes | Yes |
| AG to AK (Mortgage/Charge) | - | - | - |
| AL to AO (Nominee/Nominator) | - | - | - |
| AP to AQ (Joint Holding) | - | - | - |
| AR to BE (Ownership/Control) | Yes (100% Voting Rights) | Yes (90% Share Holding) | - |
| BF to BP (Exempted Owner) | - | - | - |

**Example 6:** 沒有任何個人直接或間接持有10%或以上股份

**公司：**

EXAMPLE SIX LIMITED

公司編號: 9000006

單一類別的股份，每股具有一個投票權。

**場景：**

總共11位股東, 每人持有 100 股.

John Doe 是公司董事, 但沒有持股.

**分析：**

已發行股份總數為1,100股。

沒有任何個人直接或間接持有10%或以上股份或投票權

John Doe 是公司的高級管理人員(Senior Management Official)

**說明（書面形式）：**

ROMBO Confirmation Form for EXAMPLE SIX LIMITED:

* 勾選 A : 表示公司沒有被豁免股東名冊及實益擁有權資料

ROMBO Data Form – 須填寫部分:

|  |  |  |
| --- | --- | --- |
| **Section** | **Each of 11 Shareholders** | **John Doe** |
| A-1. Basic Information - Individual | Yes | Yes |
| A-2. Basic Information - Legal Entity (“LE”) | - | - |
| A-2a. Exempted Owner | - | - |
| B. Address | Yes | Yes |
| C. Shareholding | Yes | - |
| C-1. Mortgage and Charge | - | - |
| C-2. Nominator | - | - |
| C-3. Joint Shareholding | - | - |
| D. Ownership and Control | - | Yes (tick Senior Management Official) |

**說明（數據檔案形式）：**

ROMBO Exemption:

* 不須要填寫. EXAMPLE SIX LIMITED 沒有被豁免

ROMBO Data:

|  |  |  |
| --- | --- | --- |
| **Columns (Section)** | **Each of 11 Shareholders** | **John Doe** |
| A (Row Reference) | - | - |
| B (BC Number) | Yes | Yes |
| C to N (Individual) | Yes | Yes |
| O to S (Legal Entity) | - | - |
| T to Y (Address) | Yes | Yes |
| Z to AF (Member) | Yes | - |
| AG to AK (Mortgage/Charge) | - | - |
| AL to AO (Nominee/Nominator) | - | - |
| AP to AQ (Joint Holding) | - | - |
| AR to BE (Ownership/Control) | - | Yes (tick Senior Management Official) |
| BF to BP (Exempted Owner) | - | - |

**Example 7:** 信託 (非BVI)

**公司：**

EXAMPLE SEVEN LIMITED

公司編號: 9000007

單一類別的股份，每股具有一個投票權。

**場景：**

John Doe 是信託的受託人(Trustee), 持有 1,000 股.

Peter Park 是信託的委託人(Settlor)

Connie Chan是信託的受益人 (Beneficiary)

Bill Banner 是信託的保護人(Protector)

**分析：**

已發行股份總數為1,000股。

John Doe, Peter Park, Connie Chan 及Bill Banner都是實益擁有人

**說明（書面形式）：**

ROMBO Confirmation Form for EXAMPLE SEVEN LIMITED:

* 勾選 A : 表示公司沒有被豁免股東名冊及實益擁有權資料

ROMBO Data Form – 須填寫部分:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Section** | **John Doe** | **Peter Park** | **Connie Chan** | **Bill Banner** |
| A-1. Basic Information – Individual | Yes | Yes | Yes | Yes |
| A-2. Basic Information – Legal Entity (“LE”) | - | - | - | - |
| A-2a. Exempted Owner | - | - | - | - |
| B. Address | Yes | Yes | Yes | Yes |
| C. Shareholding | Yes | - | - | - |
| C-1. Mortgage and Charge | - | - | - | - |
| C-2. Nominator | - | - | - | - |
| C-3. Joint Shareholding | - | - | - | - |
| D. Ownership and Control | Yes, 100% 股, 100% voting rights, Trustee | Yes, Settlor of Trust | Yes, Beneficiary of Trust | Yes, Protector of Trust |

**說明（數據檔案形式）：**

ROMBO Exemption:

* 不須要填寫. EXAMPLE SEVEN LIMITED 沒有被豁免

ROMBO Data:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Columns (Section)** | **John Doe** | **Peter Park** | **Connie Chan** | **Bill Banner** |
| A (Row Reference) | - | - | - | - |
| B (BC Number) | Yes | Yes | Yes | Yes |
| C to N (Individual) | Yes | Yes | Yes | Yes |
| O to S (Legal Entity) | - | - | - | - |
| T to Y (Address) | Yes | Yes | Yes | Yes |
| Z to AF (Member) | Yes | - | - | - |
| AG to AK (Mortgage/Charge) | - | - | - | - |
| AL to AO (Nominee/Nominator) | - | - | - | - |
| AP to AQ (Joint Holding) | - | - | - | - |
| AR to BE (Ownership/Control) | Yes, 100% 股, 100% voting rights, Trustee | Yes, Settlor of Trust | Yes, Beneficiary of Trust | Yes, Protector of Trust |
| BF to BP (Exempted Owner) | - | - | - | - |

**Example 8:** 豁免實益擁有人資料歸檔 – 所有股份由BVI銀行和信託公司法(BTCA)持牌受託人持有

**公司：**

EXAMPLE EIGHT LIMITED

公司編號: 9000008

單一類別的股份，每股具有一個投票權。

**場景：**

SAMPLE BVI TRUST LIMITED 是BVI銀行和信託公司法(BTCA)持牌受託人, 持有 1,000 股.

Peter Park 是信託的委託人(Settlor), Connie Chan 是信託的受益人 (Beneficiary), Bill Banner 是信託的保護人(Protector)

**分析：**

已發行股份總數為1,000股。

所有股份由BVI銀行和信託公司法(BTCA)持牌受託人持有. 公司獲豁免歸檔實益擁有人資料. 但公司依然要歸檔股東名冊.

**說明（書面形式）：**

ROMBO Confirmation Form for EXAMPLE EIGHT LIMITED:

* 勾選B2, 填寫BTCA 受託人名稱. 公司獲豁免歸檔實益擁有人資料. 但公司依然要歸檔股東名冊.

ROMBO Data Form – 須填寫部分:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Section** | **SAMPLE BVI TRUST LIMITED** | **Peter Park** | **Connie Chan** | **Bill Banner** |
| A-1. Basic Information - Individual | - | 不須要 | 不須要 | 不須要 |
| A-2. Basic Information - Legal Entity (“LE”) | Yes |
| A-2a. Exempted Owner | - |
| B. Address | Yes |
| C. Shareholding | Yes |
| C-1. Mortgage and Charge | - |
| C-2. Nominator | - |
| C-3. Joint Shareholding | - |
| D. Ownership and Control | - |

**說明（數據檔案形式）：**

ROMBO Exemption:

* EXAMPLE EIGHT LIMITED 公司獲豁免歸檔實益擁有人資料. 填寫A, B, R (BTCA Trustee) 欄

ROMBO Data:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Columns (Section)** | **SAMPLE BVI TRUST LIMITED** | **Peter Park** | **Connie Chan** | **Bill Banner** |
| A (Row Reference) | - | 不須要 | 不須要 | 不須要 |
| B (BC Number) | Yes |
| C to N (Individual) | - |
| O to S (Legal Entity) | Yes |
| T to Y (Address) | Yes |
| Z to AF (Member) | Yes |
| AG to AK (Mortgage/Charge) | - |
| AL to AO (Nominee/Nominator) | - |
| AP to AQ (Joint Holding) | - |
| AR to BE (Ownership/Control) | Yes |
| BF to BP (Exempted Owner) | Yes |

**Example 9:** 豁免擁有人– 上市公司持有的股份

**公司：**

EXAMPLE NINE LIMITED

公司編號: 9000009

單一類別的股份，每股具有一個投票權。

**場景：**

SAMPLE LISTED COMPANY LIMITED, 是一家在認可的證券交易所的上市的公司, 持有 1,000 股.

**分析：**

已發行股份總數為1,000股。

SAMPLE LISTED COMPANY LIMITED 是豁免擁有人

**說明（書面形式）：**

ROMBO Confirmation Form for EXAMPLE NINE LIMITED:

* 勾選 A : 表示公司沒有被豁免股東名冊及實益擁有權資料

ROMBO Data Form – 須填寫部分:

|  |  |
| --- | --- |
| **Section** | **SAMPLE LISTED COMPANY LIMITED** |
| A-1. Basic Information - Individual | - |
| A-2. Basic Information - Legal Entity (“LE”) | Yes |
| A-2a. Exempted Owner | Yes |
| B. Address | Yes |
| C. Shareholding | Yes |
| C-1. Mortgage and Charge | - |
| C-2. Nominator | - |
| C-3. Joint Shareholding | - |
| D. Ownership and Control | Yes (100% Shares, 100% Voting Rights) |

**說明（數據檔案形式）：**

ROMBO Exemption:

* 不須要填寫. EXAMPLE NINE LIMITED 沒有被豁免

ROMBO Data:

|  |  |
| --- | --- |
| **Columns (Section)** | **SAMPLE LISTED COMPANY LIMITED** |
| A (Row Reference) | - |
| B (BC Number) | Yes |
| C to N (Individual) | - |
| O to S (Legal Entity) | Yes |
| T to Y (Address) | Yes |
| Z to AF (Member) | Yes |
| AG to AK (Mortgage/Charge) | - |
| AL to AO (Nominee/Nominator) | - |
| AP to AQ (Joint Holding) | - |
| AR to BE (Ownership/Control) | Yes (100% Shares, 100% Voting Rights) |
| BF to BP (Exempted Owner) | Yes (填寫上市公司資料) |

**Example 10:** 豁免實益擁有人資料歸檔 – BVI母公司的子公司

**公司：**

EXAMPLE TEN LIMITED

公司編號: 9000010

單一類別的股份，每股具有一個投票權。

**場景：**

SAMPLE BVI PARENT LIMITED, 為一家BVI設立的公司, 持有 850 股.

John Doe 持有 150 股

**分析：**

已發行股份總數為1,000股。

公司是BVI母公司的子公司. 公司獲豁免歸檔實益擁有人資料. 但公司依然要歸檔股東名冊.

**說明（書面形式）：**

ROMBO Confirmation Form for EXAMPLE TEN LIMITED:

* 勾選B1 , 公司獲豁免歸檔實益擁有人資料. 但公司依然要歸檔股東名冊.

ROMBO Data Form – 須填寫部分:

|  |  |  |
| --- | --- | --- |
| **Section** | **SAMPLE BVI PARENT LIMITED** | **John Doe** |
| A-1. Basic Information - Individual | - | Yes |
| A-2. Basic Information - Legal Entity (“LE”) | Yes | - |
| A-2a. Exempted Owner | - | - |
| B. Address | Yes | Yes |
| C. Shareholding | Yes | Yes |
| C-1. Mortgage and Charge | - | - |
| C-2. Nominator | - | - |
| C-3. Joint Shareholding | - | - |
| D. Ownership and Control | - | - |

**說明（數據檔案形式）：**

ROMBO Exemption:

* EXAMPLE TEN LIMITED 公司獲豁免歸檔實益擁有人資料. 填寫A, B, O to Q (子公司) 欄

ROMBO Data:

|  |  |  |
| --- | --- | --- |
| **Columns (Section)** | **SAMPLE BVI PARENT LIMITED** | **John Doe** |
| A (Row Reference) | - | - |
| B (BC Number) | Yes | Yes |
| C to N (Individual) | - | Yes |
| O to S (Legal Entity) | Yes | - |
| T to Y (Address) | Yes | Yes |
| Z to AF (Member) | Yes | Yes |
| AG to AK (Mortgage/Charge) | - | - |
| AL to AO (Nominee/Nominator) | - | - |
| AP to AQ (Joint Holding) | - | - |
| AR to BE (Ownership/Control) | - | - |
| BF to BP (Exempted Owner) | - | - |

**Example 11:** 豁免實益擁有人資料及股東名冊歸檔 – BVI公司為認可的證券交易所的上市公司

**公司：**

EXAMPLE ELEVEN LIMITED

公司編號: 9000011

單一類別的股份，每股具有一個投票權。

**場景：**

EXAMPLE ELEVEN LIMITED 的股份在認可的證券交易所的上市公司

**分析：**

公司被豁免實益擁有人資料及股東名冊歸檔.

**說明（書面形式）：**

ROMBO Confirmation Form for EXAMPLE ELEVEN LIMITED:

* 勾選C1, 公司被豁免實益擁有人資料及股東名冊歸檔

ROMBO Data Form: 不須要

**說明（數據檔案形式）：**

ROMBO Exemption:

* EXAMPLE ELEVEN LIMITED 公司被豁免實益擁有人資料及股東名冊歸檔. 填寫A, B, J to N (上市公司) 欄

ROMBO Data: 不須要