

With effect from 14 May 2018, all applicants submitting applications online are only required to file a hard copy of the following pages of the application pack to the SFC:

- cover page;
- declaration page(s) duly signed; and
- vetting authorisation form (if necessary) duly signed.

Below shows the steps of the streamlined flow:

The screenshot displays the SFC online portal interface. The top navigation bar includes links for 'Change Password', 'Security Tips', 'Contact Us', and 'Logout'. The main header shows the SFC logo and the user's name 'CHAN TAI MAN' with a last login time of '28/03/2018 11:37'. The user is logged in as 'CHAN TAI MAN (Application)'. The 'Message Box (3)' tab is active, showing a list of messages. A message titled 'Profit Limited: Confirmation: Form Submission' is highlighted with a red box. The message details are as follows:

Subject	Type	Date (dd/mm/yyyy)	Time
Profit Limited: Confirmation: Form Submission	Licensing	28/03/2018	16:34
CHAN TAI MAN: Confirmation: Form Submission	Licensing	28/03/2018	16:34

The interface also includes a sidebar with links for 'New Online Forms', 'User Delegation', 'User Guide', 'Online Demo', 'FAQs', and 'Forms'. The footer contains 'Important Legal Information' and 'Copyright © 2018 Securities and Futures Commission. All rights reserved.'

If you have successfully submitted your application, you will receive an acknowledgment in your Message Box. Please follow the instructions to complete the application process. If you need to make any changes, please send an email to PortalSubmission@sfc.hk specifying the changes you would like to make.

SECURITIES AND FUTURES COMMISSION
證券及期貨事務監察委員會

Change Password | Security Tips | Contact Us | 中文 | Logout

SFC
證券及期貨委員會

Message Box (2) | Licensing | Supervision | Investment Products | Payment

Home > Message Box

Welcome, CHAN TAI MAN | Last Login : 28/03/2018 11:37

You are operating the account of: CHAN TAI MAN (Application)

New Online Forms

User Delegation
Change in Contact Information

User Guide

Online Demo

FAQs

Forms

Subject: Profit Limited: Confirmation: Form Submission

From: Licensing

Date (dd/mm/yyyy): 28/03/2018

Time: 16:34

This message is to confirm that "Linkage Form" (Form ID: A0000021427) of Profit Limited has been submitted along with "Application / Supplement - Individual (RO/LR)" form (Form ID: A0000021426) of CHAN TAI MAN on 28/03/2018. The submission reference numbers are AP2018032834507 and AP2018032834495 respectively.

We are pleased to advise that the submitted form(s) has/have passed the system validation test. To view the form(s) in pdf format, please click [here](#) to go to "Form(s) being processed by SFC".

The person who submitted the form(s) should arrange for the persons as indicated in the pdf version to sign on the form(s) after they have carefully reviewed the contents of the form(s), including the declaration section. Signed declaration page(s), together with the cover page of the pdf version of the form(s), should be sent to us at the Securities and Futures Commission, 35/F Cheung Kong Center, 2 Queen's Road Central, Hong Kong.

* The individual (applicant) should also sign on the Vetting Authorization Form included in the pdf version, if any.

Back

Please click the link in the message to go to the "Form(s) being processed by SFC" page.

Change Password | Security Tips | Contact Us | 中文 **Logout**

SECURITIES AND FUTURES COMMISSION
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SFC
證監會

Message Box (3) **Licensing** Supervision Investment Products Payment

Home Welcome, CHAN TAI MAN Last Login : 28/03/2018 16:11

You are operating the account of: **CHAN TAI MAN (Application)**

New Online Forms

Individual

Corporation

User Delegation

Change in Contact Information

User Guide


Online Demo

FAQs

Forms

Form(s)

Draft Form(s) **Form(s) being processed by SFC** Form History

The following forms are being processed by SFC. If you intend to withdraw the form(s), please click the checkbox(es) below and provide reason for withdrawal by clicking the "Withdraw" button. If you would like to view the submitted form(s), please click on . Please note that soft copies of the submitted form(s) will be removed from the portal after 14 days of the submission date.

			Form Type	Name of Applicant	Submission Date (dd/mm/yyyy)	Status
-	-	-	Linkage Form	Profit Limited	28/03/2018	Submitted
-	-	<input checked="" type="checkbox"/>	Application/Supplement - Individual	CHAN TAI MAN	28/03/2018	Submitted

Then, click the pdf icon to view the PDF version of the completed portal form.

**SECURITIES AND FUTURES COMMISSION**

證券及期貨事務監察委員會

35/F, Cheung Kong Center, 2 Queen's Road Central, Hong Kong
香港皇后大道中二號長江集團中心三十五樓

Form Number:	A0000021426
Form Type:	Application/Supplement - Individual
Application Submission Reference Number:	AP2018032834495 v.1
Submission Date and Time:	28/03/2018 at 16:29
Name of Entity/Applicant:	CHAN TAI MAN
Accredited Principal/Relevant Corporation:	1. Profit Limited
Submitted By:	Chan Tai Man

Contact Person Information:

Contact Person e-mail Address:	tmchan@work.com
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Reminder Message:

Please note that any submitted application/Supplement will be subject to a screening process. If it is found to be incomplete in respect of information and/or supporting documents supplied, it could be returned to the applicant.

Our acceptance of the application/Supplement may also be contingent upon payment of appropriate fee(s) and/or submission of related application(s).

If we accept your application/Supplement, you will receive a portal message with notification e-mail. The required application fee(s), if any, will be shown in your payment basket. Please settle such fee(s) as soon as possible.

Please arrange the persons as indicated in the pdf version to sign on the form(s), after they have carefully reviewed the contents of the form(s).



Reference Number: AP2018032834495
 Submission Date and Time: 28/03/2018 16:29:19

Declaration

If you are an individual applying to be or continue to be a substantial shareholder of a licensed corporation, please complete Part A only.

Part A: Applicant's/Individual's Declaration

I: _____

Name of applicant/individual

- **confirm** that this is the pdf form generated by the validation system of the SFC Online Portal.
- **declare** that all the information provided in this application / Supplement and any associated documentation is complete, true and correct.
- **confirm** that I have read and understood the Personal Information Collection Statement.
- **consent** to the SFC using any personal information I have provided in this application / Supplement, or any associated documentation, and any personal information I may provide in the future, for the purposes described in the Personal Information Collection Statement.
- **understand** that providing false or misleading information in support of an application for a licence / this Supplement or its relating application or notification is an offence under section 383 and/or 384 of the Securities and Futures Ordinance.
- **understand** that the SFC may take criminal and/or disciplinary action against a person who has made a false or misleading representation in, or in support of, an application for a licence / this Supplement.
- **understand** that if any information contained in this application / Supplement, or any associated documentation changes prior to the SFC making a decision in respect of this application or any relating application, I must notify the SFC in writing immediately of the changes.
- **understand** that the SFC may make such enquiries and seek such further information as it thinks appropriate.

For responsible officer applicant:

- **declare** that the Board of Directors has passed a board resolution appointing me as the corporation's:
 - director and responsible officer to supervise the regulated activities for which I will be responsible (where the applicant is a director).
 - responsible officer and granting me sufficient authority to supervise the regulated activities for which I will be responsible (where the applicant is not a director).

For proposed Principal:

- **declare** that the Board of Directors of the firm has passed a board resolution appointing me as a Principal.

I confirm the above declaration.



Reference Number: AP2018032834495
 Submission Date and Time: 28/03/2018 16:29:19

Part B: Licensed Corporation's Declaration (to be completed by the applicant's primary principal)

We:

- **have reviewed:**
 - the information provided in this application / notification (including all associated documentation).
 - the documents evidencing the individual's academic, professional and industry qualifications in this application / notification (including all associated documentation).
- **confirm** that the other principal(s) and/or proposed principal(s) of the individual has/have also agreed to the information (where such information relates to such principal(s)) stated in the corresponding application / notification and any associated documentation.

For Responsible Officer/Licensed Representative application(s):

- **believe** that the applicant is a fit and proper person to be licensed as our representative and/or responsible officer, and endorse this application.

For appointment of Principal(s):

- **are satisfied** that this individual is qualified as a Principal for the purpose of the Sponsor Guidelines, endorse this Supplement and its associated documentation, and their accuracy.
- **confirm** that the Principal nominated in this Supplement will discharge his/her role in supervising the transaction team handling initial public offerings in a full-time capacity.
- **confirm** that the firm has/will have at least one individual who is eligible to act as a Principal pursuant to Option 1 of paragraph 1.4.1 of the Sponsor Guidelines.

For and on behalf of:

Name of primary principal

*Name of director/responsible officer/executive officer/chief executive/person authorized by the board of directors**

Signature

Date

You are only required to submit (i) the signed declaration page(s), (ii) the cover page of the pdf version of the form(s), and (iii) the signed vetting authorization form (if necessary) to the SFC.

Payment should be made as soon as practicable, in order to avoid delay. If the portal form fails to pass the system validation test, you will receive message notifying you of the failure and reasons. View [Clip 7](#) for steps to correct the errors and submit the form again.