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Frequently Asked Questions

I. General

1. What are the online resources to learn more about the SFC Online Portal?

In addition to these FAQs, Portal users are provided with [User Guide](#) and [online demonstrations](#) (click links to view) as self-learning materials.

2. What can I do with the SFC Online Portal and how can I gain access to it?

Features of the SFC Online Portal

The SFC Online Portal provides an online platform allowing its users to, among others, submit licensing applications (for example, application for licence, change in regulated activities, etc.), annual returns and notifications, as well as arrange for payment of annual fees and application fees.

Access to the SFC Online Portal

If you do not currently have a Portal account, you may wish to open a Self-registered Account to begin with. For details, please click [here](#) and refer to section 1 of the User Guide.

3. I would like to upload an electronic copy of a document through the SFC Online Portal. Can I cancel the upload during the uploading process and can I delete the uploaded document afterwards?

During document upload, you can click the “Cancel” button in the relevant window to stop and cancel the uploading process. However, you will NOT be able to delete the uploaded documents once the process has been completed. If you would like to replace the uploaded document with another one, you may proceed by clicking the relevant “Replace” button.

4. I understand that certain fees associated with notification submitted through the Portal are waived. May I have the details?

If a licensed corporation or a registered institution notifies the SFC of the change in its name through the SFC Online Portal, the fee which is payable on an application for the grant of a licence or a certificate of registration will be waived.

II. Portal Account Types and Delegation

5. What are “Self-registered Account” and “Authorised Account”?

Please click [here](#) and refer to section 1.3 of the User Guide for details of the various Portal account types.

6. What is a delegation relationship?

Please click [here](#) and refer to section 7 of the User Guide. You may also click [here](#) to view the relevant online demonstrations.

7. Can an Authorised Account user delegate another person to submit notifications and/or annual returns through the SFC Online Portal?

No, Authorised Account users cannot delegate another Portal user to submit their notifications/ annual returns. A delegated user is only allowed to (i) complete notification and annual return for the relevant licensee or registrant and (ii) arrange for fee payment online.

Notifications and annual returns can only be submitted by the corresponding Authorised Account users as shown in the table below:

Documents	Can only be submitted by Authorised Account users below
Notifications/annual returns of an individual licensee	The individual licensee
Notifications/annual returns of a Licensed Corporation	Its Responsible Officers
Notifications of a Registered Institution	Its Executive Officers
Notifications of an Associated Entity	Its Executive Officers

III. Applications, Notifications and Annual Returns

8. What are Information Folder/Profile and Application Folder?

Please click [here](#) and refer to sections 1.5 and 3 of the User Guide.

9. How can I make an online licensing application?

Please click [here](#) and refer to sections 1.5.1 and 2 of the User Guide. You may also click [here](#) to view the relevant online demonstrations.

10. What is a Form Key and how do I use it?

Please click [here](#) and refer to section 2.3 of the User Guide. You may also click [here](#) to view the relevant online demonstrations.

11. I have lost my Form Key and/or the accompanying Passcode. What should I do?

The Form Key and the accompanying Passcode are displayed in the “Form Key Creation” box under the “Main Page” tab.

12. To whom shall I pass my Form Key and Passcode? What should they do after inputting the Form Key and Passcode in the Linkage Form?


You can pass the Form Key and Passcode to your principal or proposed principal. The licensed corporation, compliance staff or any other appointed person shall input the Form Key and Passcode in the Linkage Form through their authorized account or self-registered account and submit the form to the SFC. Within an hour, the person who submits the form will receive a message from the SFC Online Portal notifying about the outcome of the system validation test. If the form has successfully passed the system validation test, a pdf version of the completed portal form(s) will be generated. 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 forms(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 54/F, One Island East, 18 Westlands Road, Quarry Bay, Hong Kong. If the portal form fails to pass the system validation test, the person who submits the form will receive a portal message notifying of the failure. He/She shall open the “draft form”, read the error messages at the top and correct those errors before submission of the form.

13. Can my compliance officer amend the content of my portal form?

No. A 'Print' function is available for you to open the portal form in PDF format for saving on your own computer. You may pass the Form Key and Passcode together with this PDF portal form to the licensed corporation, compliance staff or any other appointed person for review before adding them to the Linkage Form.

14. How can I submit supporting documents in relation to an application or a notification to the SFC?

You can submit supporting documents as follows:

- a. Upload electronic copy through the SFC Online Portal –
 - i. You can upload supporting documents in relation to a certain section of a Portal form by clicking “” in that particular section.
 - ii. In general, you can upload any other supporting documents under the “Main Page”/ “Supporting Document(s)” section of a Portal application form.
- b. By post/hand –

Please quote the relevant Central Entity (CE) number and submission reference number, and send the supporting documents to:

Licensing, Intermediaries
Securities and Futures Commission
54/F, One Island East
18 Westlands Road
Quarry Bay
Hong Kong

15. How may I know the status of my applications and the amount of application fees to be paid?

The SFC will send e-mails and Portal messages to inform you of the application status. Details of the payable application fees are shown in your payment basket under the “Payment” tab. Please refer to Question 21 for details of payment methods.

Your applications will be displayed under the “Form(s)” tab.

Under “Form(s)” tab:

- a. *Draft Form(s)*: Form(s) not yet submitted to the SFC.

- b. *Form(s) being processed by SFC:* Form(s) already submitted to the SFC. Once the SFC has accepted a certain application, its status will change from “Submitted” to “Pending for Payment by Applicant(s)”.
- c. *Form History:* Form(s) which has/have already been processed by the SFC.

16. Can I still make changes to my application if I have already submitted my application to the SFC through the SFC Online Portal?

No. If you need to make any changes, please send an email to PortalSubmission@sfc.hk specifying the changes you would like to make.

17. Can I withdraw a submitted application through the SFC Online Portal?

Yes, please click [here](#) and refer to section 2.6 of the User Guide for details.

18. Can I withdraw a submitted notification or annual return through the SFC Online Portal?

No.

19. For how long will my submission history in respect of notifications and annual returns remain accessible online?

3 years.

20. How could a Common Anniversary Date (CAD) group submit annual returns through the SFC Online Portal?

Each member of the CAD group should submit annual return through the SFC Online Portal separately.

Please click [here](#) to view the relevant online demonstrations.

IV. Payment

21. What fees can be paid and/or processed via the SFC Online Portal and what payment methods are available?

You can arrange for payment of annual fees, surcharges and application fees through the SFC Online Portal.

Upon generation of an invoice online, payment can be made by the following means:

- a. PPS (Online Instant Payment) (upper limit HK\$100,000);
- b. Bill payment via online banking (default upper limit HK\$100,000);
- c. PPS by Internet/phone (upper limit HK\$100,000);
- d. Telegraphic Transfer (by RTGS/CHATS only);
- e. Funds deposit at designated Citibank branches; or
- f. Cheque.

Please click [here](#) to view the relevant online demonstrations.

22. What is a Payment Key and who are assigned the key?

A Payment Key is a 6-digit alpha-numeric passcode for users to access the Portal payment function in relation to a corporation. Each Licensed Corporation/Registered Institution/Associated Entity should have received a Payment Key by post.

23. Who may have access to the Portal payment function in relation to a corporation?

Each Licensed Corporation (LC)/Registered Institution (RI)/Associated Entity (AE) is assigned with a Payment Key, allowing access to the Portal payment function as follows:

- a. All Responsible Officers with the LC's Payment Key may have access to the LC's payment function. Self-registered Account users who have delegation relationship with the LC and have the LC's Payment Key may also gain access to the LC's payment function.
- b. All Executive Officers with the RI's Payment Key may have access to the RI's payment function. Self-registered Account users who have delegation relationship with the RI and have the RI's Payment Key may also gain access to the RI's payment function.
- c. All Executive Officers with the AE's Payment Key may have access to the AE's payment function. Self-registered Account users who have delegation relationship with the AE and have the AE's Payment Key may also gain access to the AE's payment function.

Using the Payment Key, (i) Responsible Officers (for LC) or Executive Officers (for RI and AE) and (ii) their delegated users who have been granted access to the corporation's Information Folder

would be entitled to access and operate the Portal payment function for the corporation. In view of this, necessary measures should be taken to safe-keep the Payment Key, which should be distributed only to the appropriate personnel on a need basis.

24. Can I make payment for a group of companies/licensees and how?

Yes, you can do so by creating a "Payment Group".

A payment group is a two-tier grouping of licensees and/or registrants where there is one group payer (which must be a corporation) and a number of group members (which can be corporations or individuals).

All fee items of the group payer and the group members are displayed in the group payer's Portal payment basket and are available for payment by the group payer. Group payers can remove any fee items of the group members where the group payer sees fit.

Only a corporation (as the group payer) can invite other corporations to join its payment group as corporate group members.

The group payer's individual licensees (none for Registered Institutions) will automatically become individual group members. The same applies to corporate group members.

Please click [here](#) to view the online demonstrations on how to create, maintain, and terminate a payment group and how to accept a payment group invitation.

25. What payment records are available online and are there any invoices/receipts?

"Invoice Status" page shows all invoices and receipts (no printed receipts will be issued by post to licensees and registrants having access to the SFC Online Portal).

"Charge Status" page shows detailed record of each processed fee item.

Please click [here](#) to view the relevant online demonstrations.

26. What should I do if my corporation only wants a few people (instead of all its Responsible Officers/Executive Officers) to receive notification e-mails in relation to fees and payments?

Please proceed to the "Payment E-mail Address" page and enter the e-mail addresses of staff who are assigned to receive notification e-mails for payment-related messages (for example, staff of finance and compliance departments).

27. Can I use a credit card to make payment online?

Yes, you can do so through the Internet banking/payment services offered by your bank. The Billing A/C No. is set out on the first page of an invoice generated through the SFC Online Portal.

28. How can I use PPS (Online Instant Payment) to make online payment?

Upon confirmation to perform online payment using PPS (Online Instant Payment), a configuration checking function is enabled to ensure that different properties of your web browser has fulfilled the PPS (Online Instant Payment) server requirement. Once you have ACCEPTED the certificate, you may continue to proceed to the PPS (Online Instant Payment) for payment settlement.



Please click [here](#) to view the relevant online demonstrations.

V. Technical Issues

29. What should I do if I have forgotten my username and/or password?

You can retrieve your username and reset your password online. Please click [here](#) to view the relevant online demonstration. For Self-registered Account users, you can reset your password online only if you can provide your username. If you have forgotten both of your username and password, your access to the SFC Online Portal will be permanently lost.

30. What should the corporation do to request for a regeneration of its payment key (e.g. because of disclosure to unintended third parties)?

Please click [here](#) to download the relevant form and follow the instructions thereon.

31. Why can't I log in to the SFC Online Portal with my username and password?

Some possible reasons are as follows:

- a. The relevant licence/registration has been revoked or the relevant company has ceased to be an Associated Entity.
- b. You have attempted to log in to the SFC Online Portal for 5 times with incorrect password(s) such that your account is locked. In this case, please follow the instructions on the login page to reset your account and password.
- c. You have attempted to input incorrect Form Keys or Passcode consecutively 10 times such that your account is locked. For Self-registered Accounts users, if you repeatedly enter wrong Form Keys and/or Passcodes, your username and password will become invalid. Such cancellation of Self-registered Account is permanent and irreversible. For other Portal users, your account will not be locked and/or cancelled in this situation.
- d. You did not activate your Portal account within 90 days from the date of your username and password letters, such that the username and password stated thereon have been invalid.
- e. Self-registered Accounts which do not hold any outstanding submissions (i.e. applications, notifications, etc) for over 180 days will become invalid.

32. Why does the SFC Online Portal occasionally show a page which is blank or contains a "500 Internal Server Error"?

These situations are usually caused by heavy Internet traffic. Please try again.

33. Why are some Chinese characters not displayed correctly on my computer screen?

Your computer needs to support the Hong Kong Supplementary Character Set (HKSCS) in order

to properly display the special Chinese characters commonly used in Hong Kong, such as the character '埗' as in '深水埗', and the character '鯪' as in '鯪魚涌'.

For further information, please proceed to

<http://www.ogcio.gov.hk/ccli/eng/hkscs/introduction.html>.

34. What are the computer setup requirements to access the SFC Online Portal?

- a. Connection to the Internet
- b. Internet Explorer 7.0 or above, or Firefox 3.0 or above
- c. Cookies and JavaScript must be enabled on browser
- d. Acrobat Reader 6.0 or above
- e. Optimum screen resolution is 1024 x 768
- f. Pentium IV 2.0 GHz CPU or above
- g. 100MB free hard disk space or above
- h. 512MB RAM or above (minimum 1GB RAM for Microsoft Vista or later version)

35. What are the computer setup requirements to perform payment via PPS (Online Instant Payment)?

Please proceed to http://www.ppschk.com/hkt/revamp2/English/sys_req_sysConfig.html for computer set up requirements.

36. How secure is the transmission of information through the SFC Online Portal?

All information transmitted through the Internet to the SFC Online Portal is fully protected by strong end-to-end encryption.