

User Guide of the SFC Online Portal

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1. Introduction

Thank you very much for your interest in the SFC Online Portal.

Through the Portal, you can:

1. submit licensing applications, notifications and annual returns;
2. arrange for payment of annual fees and application fees;
3. view information previously provided to the SFC;
4. view messages from the SFC; and
5. use the SFC Online Portal functions as being invited by the Commission.

如希望參閱本用戶指南的中文版本，請到







<https://portal.sfc.hk/sfcportal/userguide/zh/UserGuide.pdf>。









Please proceed to <http://portal.sfc.hk/sfcportal/onlinedemo/en/OnlineDemo.html> to view online demonstrations of the various Portal functions.

1.1 Abbreviations

Abbreviation	Description
D(C)	Corporate Director
D(I)	Individual Director
EO	Executive Officer
LC	Licensed Corporation
LR	Licensed Representative
RI	Registered Institution
RO	Responsible Officer
SFC	Securities and Futures Commission
SP	Sponsor Principal
SSH(C)	Corporate Substantial Shareholder
SSH(I)	Individual Substantial Shareholder

1.2 Icons

Icon	Description
	Addition
	Change/Amend
	Cancel/Delete
	Attachment upload
	Document download (in ZIP format)
	Document download (in CSV format)

Icon	Description
	Document download (in PDF format)
	Refresh
	Show details
	Edit supplemental form
	Collapse list
	Expand list
	Print
	Alert message

1.3 Types of Portal accounts

Portal Account Type	Description
Self-registered Account	<p>Any person who does not have a portal account (e.g. law firm employees, compliance officers and secretaries) but would like to (i) complete and submit online licensing application forms and/or (ii) become a delegate of an SFC licensee to fill out Notifications and/or Annual Returns and/or (iii) use the SFC Online Portal functions as being invited by Commission or appointed by those invitees may open a Self-registered Account.</p> <p>Please click here to view online demonstration on Self-registered Account creation and activation.</p>
Authorised Account (held by individual licensees and Executive Officers)	<p>Upon SFC's approval of application(s), Authorised Accounts would be granted to the relevant entities. Username and password letters would be separately issued by post. Such account users may:</p> <ol style="list-style-type: none"> 1. view profile information; 2. complete and submit annual returns and notifications; 3. complete and submit online applications; 4. arrange for online payment of annual fees and application fees; and 5. act as delegated users for licensees/registrants to (a) complete annual returns and/or notifications (but such forms can only be submitted to the SFC by such other Authorised Account users after their own verification and confirmation) and (b) arrange for annual fee payment. <p>Please click here to view online demonstration on initial login and account activation.</p>

1.4 Layout of the Portal login page at https://portal.sfc.hk

The screenshot shows the SFC Online Portal login page. At the top left is the SFC logo and the text 'SECURITIES AND FUTURES COMMISSION' and '證券及期貨事務監察委員會'. At the top right is a navigation menu with links: 'User Guide', 'Online Demo', 'FAQs', 'Security Tips', 'Contact Us', and '中文'. The main heading is 'SFC Online Portal'. Below it is a 'Login' section with the instruction 'Please input your username and password to login.' There are two input fields: 'Username:' and 'Password:'. Below the fields are two buttons: 'Login' and 'Clear'. To the right of the 'Login' button is a box labeled 'Online help' with an arrow pointing to the 'User Guide' link in the navigation menu. Below the input fields is a box labeled 'Useful links' with an arrow pointing to the 'Creation of Self-registered Portal Account' link. The 'Useful links' box also contains the text 'You may create an account if you do not have one.' Below the login section is a red note: 'Note: If you already have a set of username and password to log in to this portal, you can proceed to use your existing account without the need to open a self-registered account.' This is followed by the heading 'Opening a Self-registered Account on the SFC Online Portal' and the sub-heading 'Who should open a Self-registered Account?'. The text explains that anyone without a portal account but who wants to complete and submit online licensing application forms, become a delegate of an SFC licensee, or use the SFC Online Portal functions as being invited by the Commission or appointed by those invitees may open a Self-registered Account. An 'Important Note' follows, stating that the username and password must remain in the user's own possession and control, and be used solely by the user to login to the SFC Online Portal. At the bottom left is the text 'Important Legal Information' and at the bottom right is 'Copyright © 2016 Securities and Futures Commission. All rights reserved.'

1.5 Accessing the major Portal functions

1.5.1 Online application functions

(Figure below shows the screen capture of an **Application Folder**)

The screenshot displays the SFC portal interface. At the top, there are navigation tabs: Message Box (3), **Licensing**, Supervision, Investment Products, and Payment. The user is logged in as CHAN Tai Man (ARQ104). The main content area is titled 'Form(s)' and includes a 'Draft Form(s)' button and a table of application forms.

Indicates that this is an Application Folder

Form Type	Name of Applicant	Last Updated Date (dd/mm/yyyy)	Status	Form
Application/Supplement - Individual	CHAN Tai Man	01/11/2016	Draft	A000

Click to open new online application forms

1.5.2 Profile, Notification, Annual Return and Payment functions

(Figure below shows the screen capture of an **Information Folder**)

The screenshot displays the SFC portal interface. At the top, there are navigation tabs: Message Box, Licensing, Supervision, Investment Products, and **Payment**. The user is logged in as Profit Limited (ACA551). The main content area is titled 'Message(s) from the SFC:' and includes a table of messages.

Click to access Portal functions

2. Application

2.1 List of online application forms

Type of entity	Form name
Individual	Application/Supplement – Individual
	Change of Licensing Condition
Licensed Corporation	Application for Licence – Corporations
	Linkage Form
	Change in Business Scope
	Change of Licensing Condition
	Issuance of Duplicate Printed Licence
	Premises to be Used for Record Keeping Purpose
	Change of Financial Year End
	Adoption of Period Exceeding 12 Months as Financial Year
	Extension of Deadline for Submission of Audited Financial Statements
Registered Institution	Application for Registration – Authorized Institution
	Linkage Form
	Change in Business Scope
	Change of Registration Condition
	Issuance of Duplicate Certificate of Registration
Corporate Substantial Shareholder	Application/Supplement – Corporate Substantial Shareholder
Corporate Director	Supplement – Corporate Director
Associated Entity	Supplement – Associated Entity
	Change of Financial Year End
	Adoption of Period Exceeding 12 Months as Financial Year
	Extension of Deadline for Submission of Audited Financial Statements

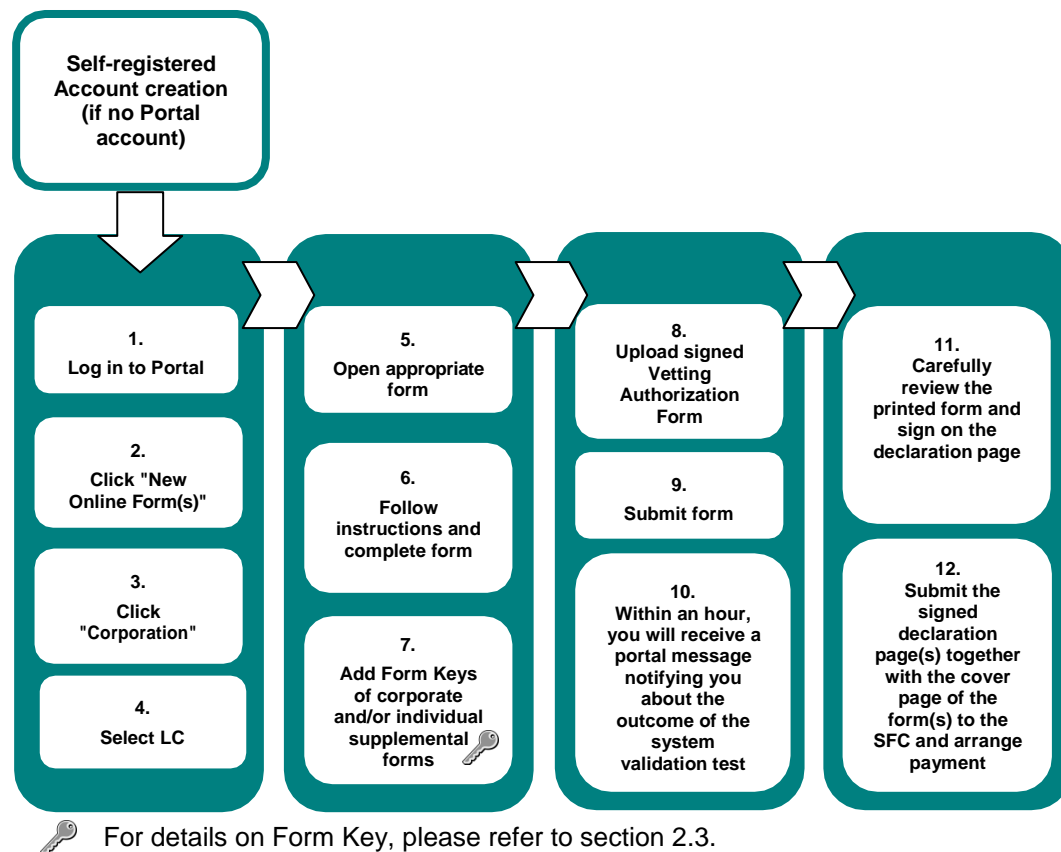
2.2 Five examples of applications

2.2.1 Application to be a licensed corporation

2.2.1.1 Forms required to be completed

Type of Entity	Form Name
Corporation	Application for Licence – Corporation
Individuals (such as D(I), SSH(I), RO and SP)	Application/Supplement – Individual
SSH(C)	Application/Supplement – Corporate Substantial Shareholder
D(C)	Supplement – Corporate Director

2.2.1.2 Submission process for the corporate form



2.2.1.3 Relevant online demonstration clips

Online demonstration for Form Key generation and use is available at

<https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip7.html>.

Online demonstration for completing an application form for individual is available at

<https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip8.html>.

Online demonstration for completing an application form for corporation is available at

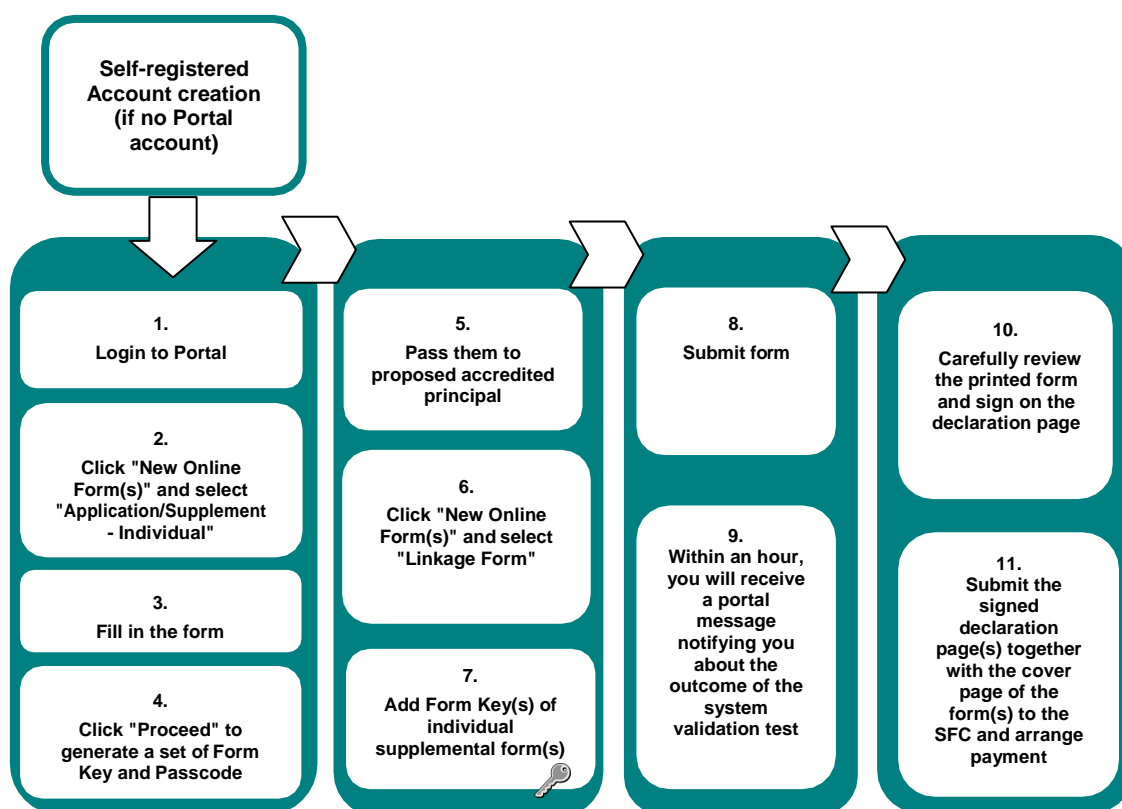
<https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip10.html>.


2.2.2 Application to be a licensed representative

2.2.2.1 Forms required to be completed

Type of entity	Form name
Individual(s)	Application/Supplement – Individual
LC	Linkage Form

2.2.2.2 Submission process for the Individual Form



 For details on Form Key, please refer to section 2.3.

2.2.2.3 Relevant online demonstration clips

Online demonstration on Form Key generation and use is available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip7.html>.

Online demonstration on completing an application form for individual is available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip8.html>.

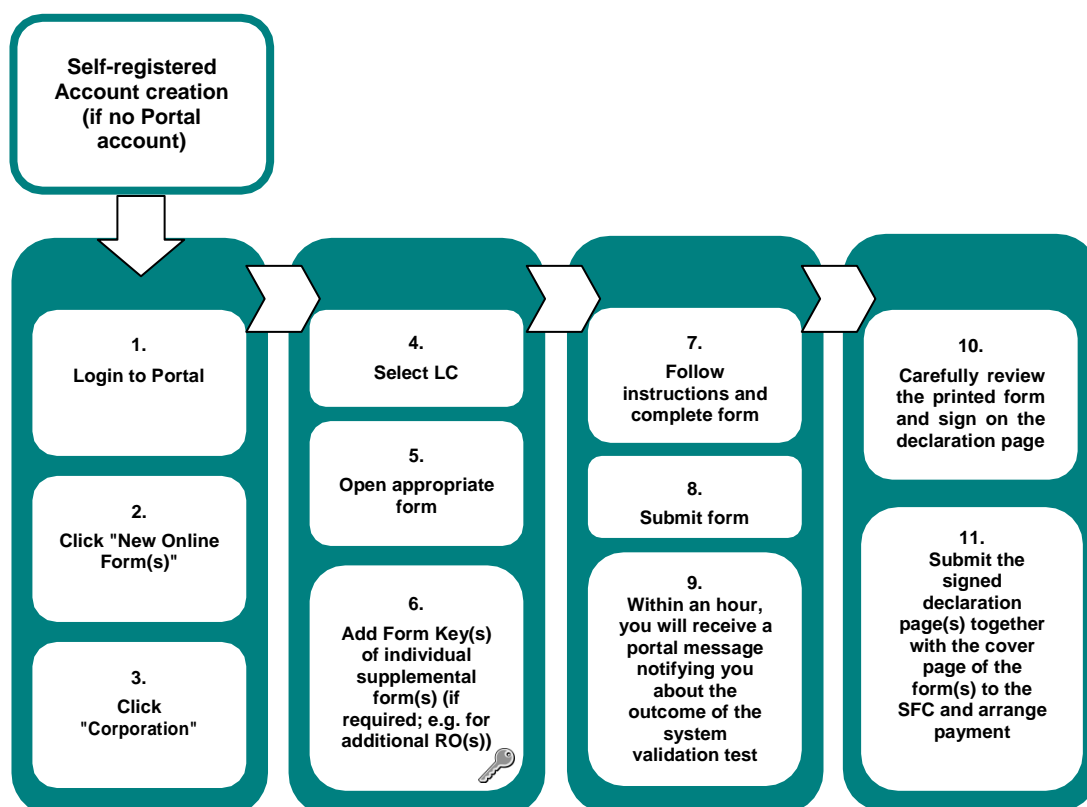
Online demonstration on applying for transfer of accreditation to an existing licensed corporation is available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip9.html>.


2.2.3 Corporate application for addition of regulated activity

2.2.3.1 Form required to be completed

Type of entity	Form name
LC	Change in Business Scope
Individual(s)	Application/Supplement – Individual

2.2.3.2 Submission process



 For details on Form Key, please refer to section 2.3.

2.2.3.3 Relevant online demonstration clips

Online demonstration for Form Key generation and use is available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip7.html>.

Online demonstration for completing an application form for individual is available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip8.html>.

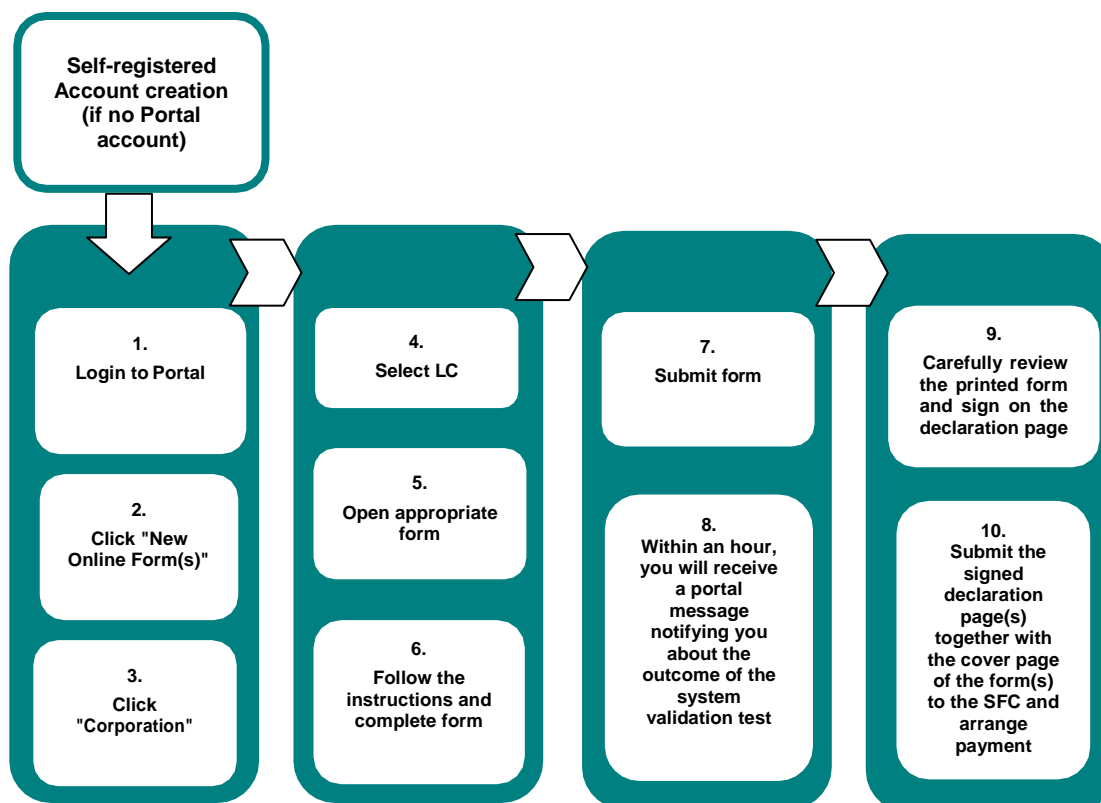
Online demonstration for completing an application form for corporation is available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip10.html>.

2.2.4 Application for change of financial year end

2.2.4.1 Form required to be completed

Type of entity	Form name
LC	Change of Financial Year End

2.2.4.2 Submission process



2.2.4.3 Relevant online demonstration clips

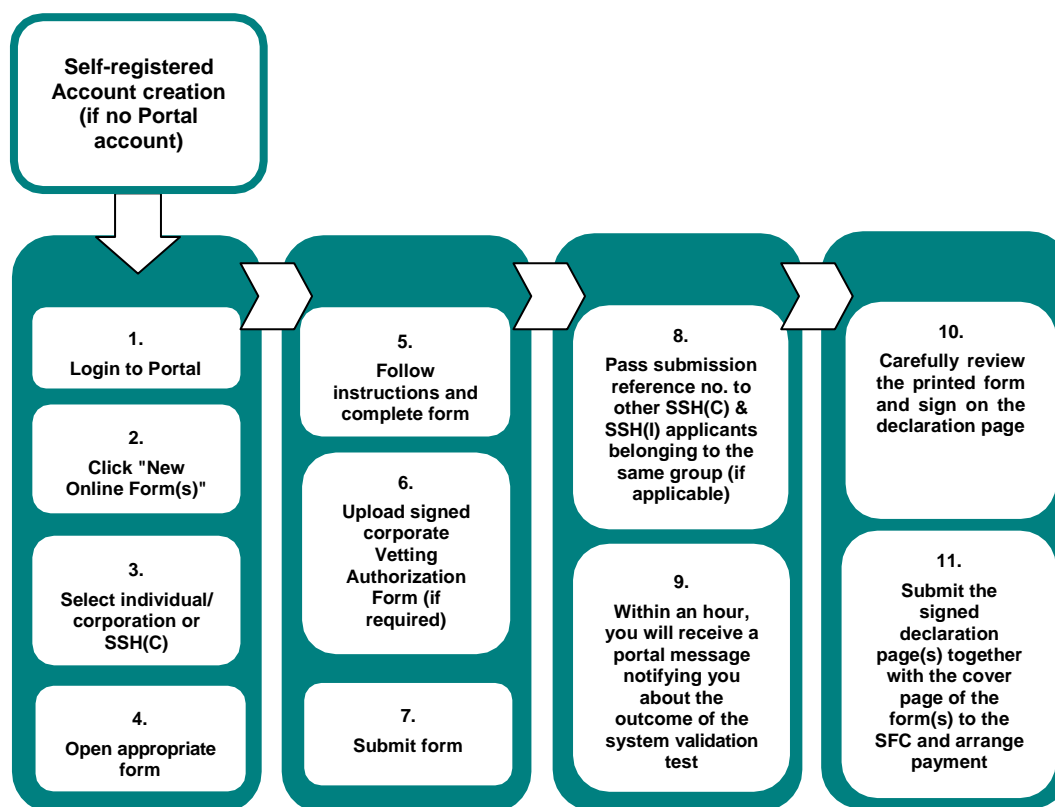
Online demonstration for completing an application form for corporation is available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip10.html>.

2.2.5 Application for approval as substantial shareholder of a licensed corporation

2.2.5.1 Forms required to be completed

Entity	Form name
SSH (I)	Application/Supplement – Individual
SSH (C)	Application/Supplement – Corporate Substantial Shareholder

2.2.5.2 Submission process for the main applicant



2.2.5.3 Relevant online demonstration clip

Online demonstration for completing an application/supplement form for individual is available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip8.html>.

Online demonstration for submitting a group of applications for approval as substantial shareholders is available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip11.html>.

2.3 Form Key

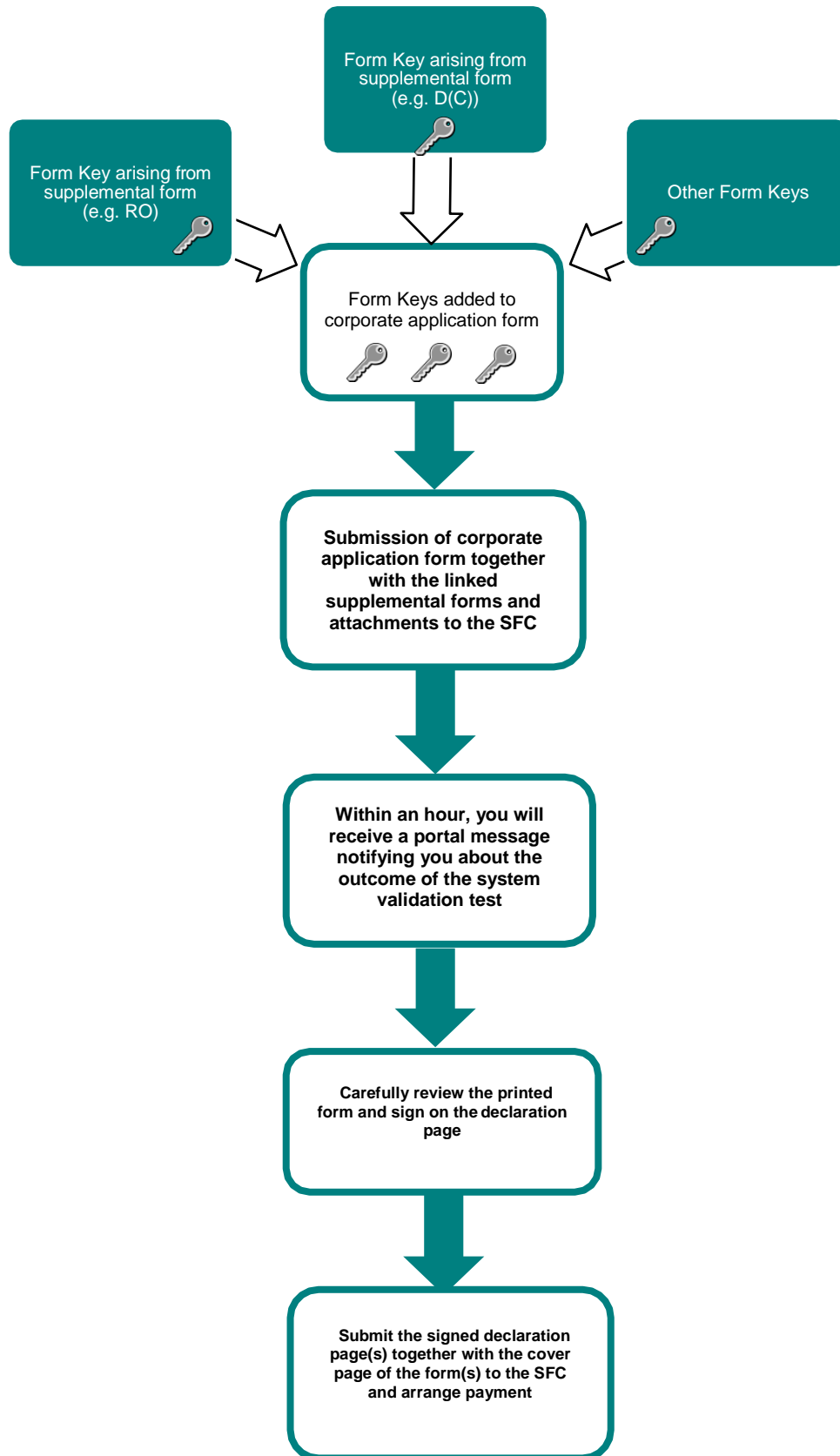
2.3.1 Generation and use of Form Key

In essence, "Form Key" provides the means to create two-tier linkages between (i) a main portal form (for a corporation) and (ii) one or multiple supplemental portal forms so that the whole set of electronic forms can be bundled together for online submission.

As an example, a corporation applying for a licence would have to submit a set of forms relating to the corporation itself, its proposed responsible officers, its substantial shareholders, its directors, etc. Such forms would be grouped together by means of Form Keys before submission.

Online demonstration for Form Key generation and use is available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip7.html>.

Example:



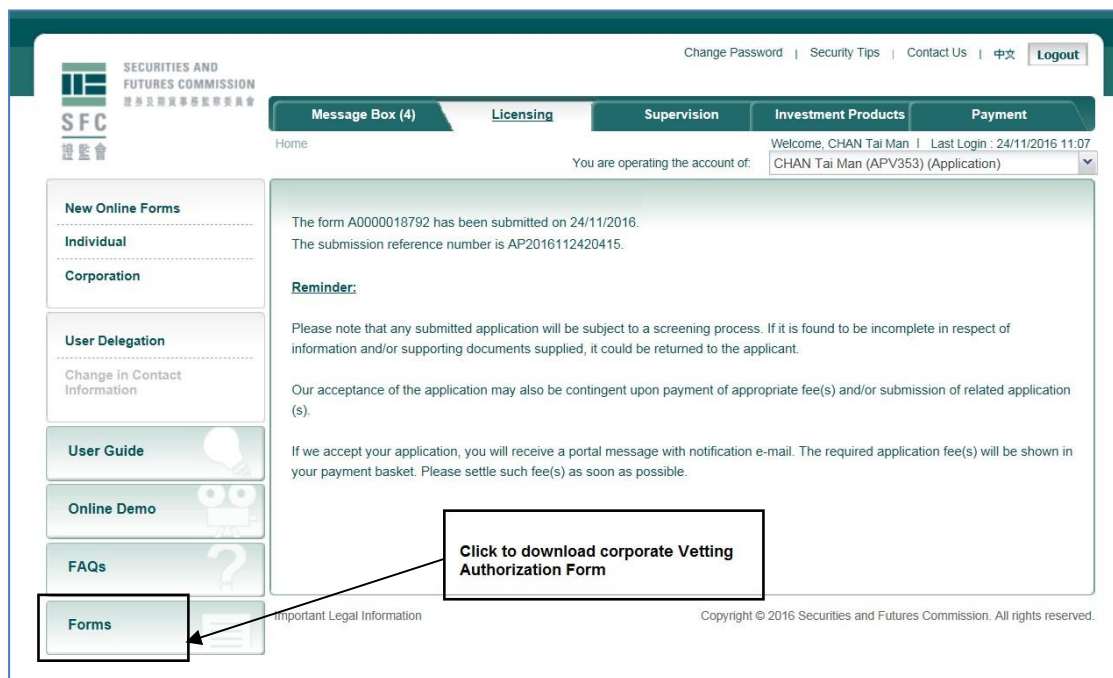
2.4 Forms required to be signed and returned after online submission

You may be required to submit Vetting Authorization Form along with your signed declaration pages(s) and the cover page of the form(s) to the SFC. In this regard, please follow instructions on screen and/or Portal messages.

2.4.1 Where to download Corporate Vetting Authorization Form?

You can download Vetting Authorization Form as follows:

1. before form submission, download the Vetting Authorization form in the “Fitness & Properness” section of the Portal form; or
2. after form submission, proceed to <http://www.sfc.hk/web/EN/forms/intermediaries/licensing-others/vetting-authorization-form.html> or click “Forms” on the left menu bar to proceed (see figure below).



Please submit the signed declaration page(s), the cover page of the form(s) and Vetting Authorization Form together with payment by post or by hand to:

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

2.5 Application Changes

If you need to make any changes, please send an email to PortalSubmission@sfc.hk specifying the changes you would like to make.

2.6 Withdrawal of form

To withdraw your forms, please take the following steps:

Form withdrawal:

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

Message Box (4) | Licensing | Supervision | Investment Products | Payment

Home

Welcome, CHAN Tai Man | Last Login : 11/11/2016 16:31
You are operating the account of: CHAN Tai Man (ARV959) (Application)

1. Click these tabs

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 7 days of the submission date.

Applicant	Submission Date (dd/mm/yyyy)	Status	Copy as draft	Withdraw	Form ID
rxrtxex xsxa Lxmrbxd	08/11/2016	Submitted	<input type="button" value="Proceed"/>	<input checked="" type="checkbox"/>	A0000018645
l Axexaxdx	08/11/2016	Submitted	<input type="button" value="Proceed"/>	<input type="checkbox"/>	A0000018644
xuxixis Cxmxy	02/11/2016	Accepted	<input type="button" value="Proceed"/>	<input type="checkbox"/>	A0000018541
r Account	02/11/2016	Pending for Payment by Applicant(s)	<input type="button" value="Proceed"/>	<input type="checkbox"/>	A0000018540

Records 1 - 4 of 4

2. Select checkbox(es) and click "Withdraw"

1. Information Profile




If you are (i) an Authorised Account user or (ii) a Self-registered Account user having established delegation relationships with certain licensees/registrants, you would be granted access to the Information Folder of yourself and/or other licensees/registrants. The relevant Information Profiles can be accessed as follows:

The screenshot displays the SFC portal interface. The top navigation bar includes 'Change Password', 'Security Tips', 'Contact Us', and 'Logout'. The main content area shows the 'Profile' page for 'Profit Limited (Ax25x5)'. A note states: 'Note: Not all items below can be modified by submitting a notification online. You may be required to complete an application form and/or Supplement in the Application Folder for such purpose. Please change the operating account to "Profit Limited (Application)" to access the Application Folder.' The 'Profile of Profit Limited (Ax25x5)' section includes a table with the following information:

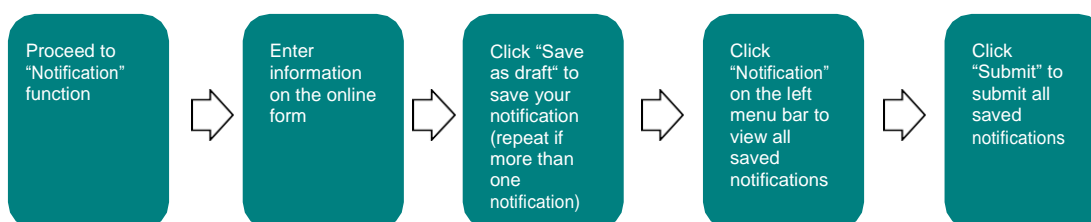
General	Licence Information	Controller	Share Capital & Bank Account	Associated Entity
Basic Information				
Name of Corporation	Profit Limited	Change in Name		
CE Number	Ax25x5			
Type of Entity	Licensed Corporation			
Date of Licence/Registration	19/11/2004			
Place of Incorporation	Nil			
Date of Incorporation (dd/mm/yyyy)	Nil			
Financial Year End (dd/mm)	31/12	Application for Change of Financial Year End		
Auditor	Professional Auditor	Cessation of Auditor		

2. Notification

You can create a notification by either:

1. clicking on "Notification" on the left menu bar; or
2. clicking on the buttons (, , or ) next to the information that you would like to change while viewing the Information Profile (see section 3).

Procedure for submitting notification:



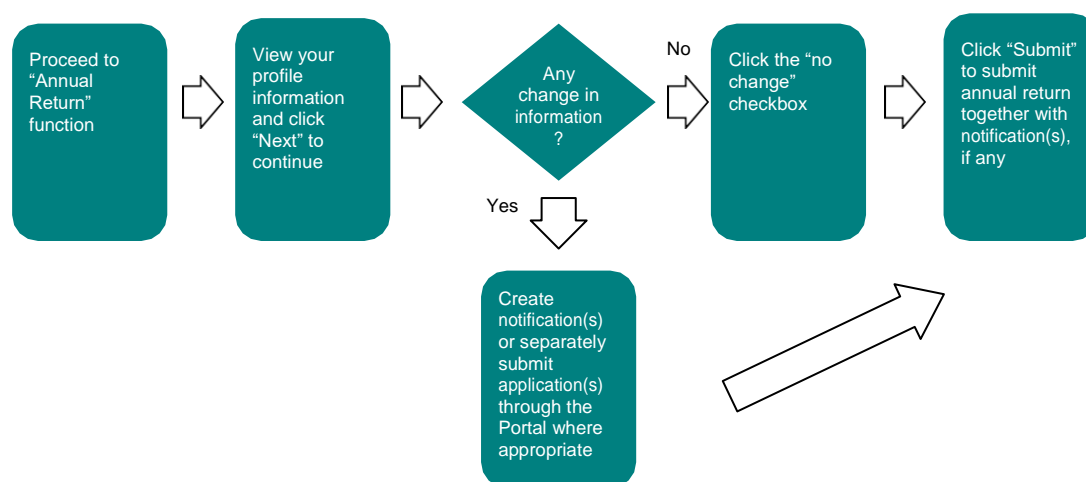
Relevant online demonstrations are available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip14.html> and <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip15.html>.

3. Annual Return

An e-mail will be sent to you by the SFC when it is time to submit annual return.

Upon receiving the e-mail, please login to the Portal and follow the instructions set out in the relevant message in the message box. Alternatively, you may click on “Annual Return” on the left menu bar to proceed.

Procedure for submitting annual return:



Relevant online demonstration is available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip16.html>.

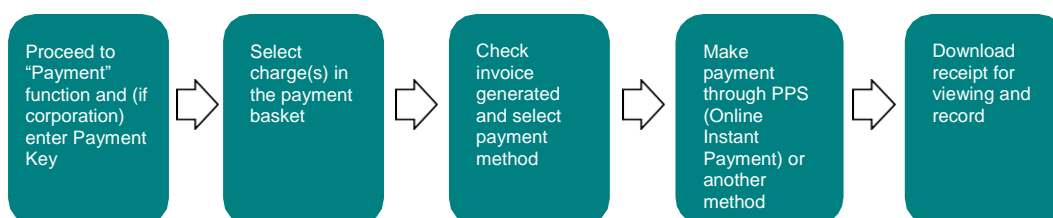
You may also refer to the online demonstration for submitting annual return on behalf of the primary licensed corporation of a Common Anniversary Date (CAD) group, which is available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip17.html>.

4. Fee Payment

An e-mail will be sent to you by the SFC when it is time to pay annual fee, application fee(s) and/or other relevant charges.

Upon receiving the e-mail, please login to the Portal and follow the instructions set out in the relevant message in the message box. Alternatively, you may click on “Payment” on the top menu bar to proceed.

Procedure for fee payment:



Relevant online demonstrations are available at <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip18.html>, <https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip19.html>,

<https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip20.html> and
<https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip21.html>.

5. Delegation

A delegation relationship is created when a portal user (operating a Self-registered Account or an Authorised Account) accepts an Authorised Account user's delegation (by means of a Delegation Key) in respect of a certain Information Folder (e.g. in the case of a responsible officer, he/she may delegate (i) his/her own Information Folder and (ii) his/her licensed corporation's Information Folder separately to different portal users). Such delegation relationship would entitle the delegated user to:

1. view the Information Profile in the delegated Information Folder;
2. complete and submit* notification and annual return¹ for the relevant licensee/registrant; and
3. arrange for fee payment (requires "payment key" in case of a corporation).

To submit the notification and/or annual return, the Authorised Account user or Delegated User (who has been granted the submission right) concerned is required to login and check the contents carefully before submission.

Relevant online demonstrations are available at
<https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip4.html> and
<https://portal.sfc.hk/sfcportal/onlinedemo/en/Clip5.html>.

* Since 26 November 2018, (i) directors of licensed corporations or registered institutions and (ii) persons authorised by their boards of directors are able to submit corporate notifications and annual returns via the SFC Online Portal. A user guide is available for help with the new function: https://portal.sfc.hk/sfcportal/sfc_online_portal/en/Delegation_UserGuide.pdf

6. Further Information

To know more about the SFC Online Portal, you may refer to:

- Online demonstrations at <https://portal.sfc.hk/sfcportal/onlinedemo/en/OnlineDemo.html>.
- Frequently asked questions at https://portal.sfc.hk/sfcportal/faq/FAQ_en.html.

¹ Registered institutions are not required to submit annual returns under the Securities and Futures Ordinance.