



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

Rule 22 Dealing Disclosure Online Submission

User Guide

April 2023

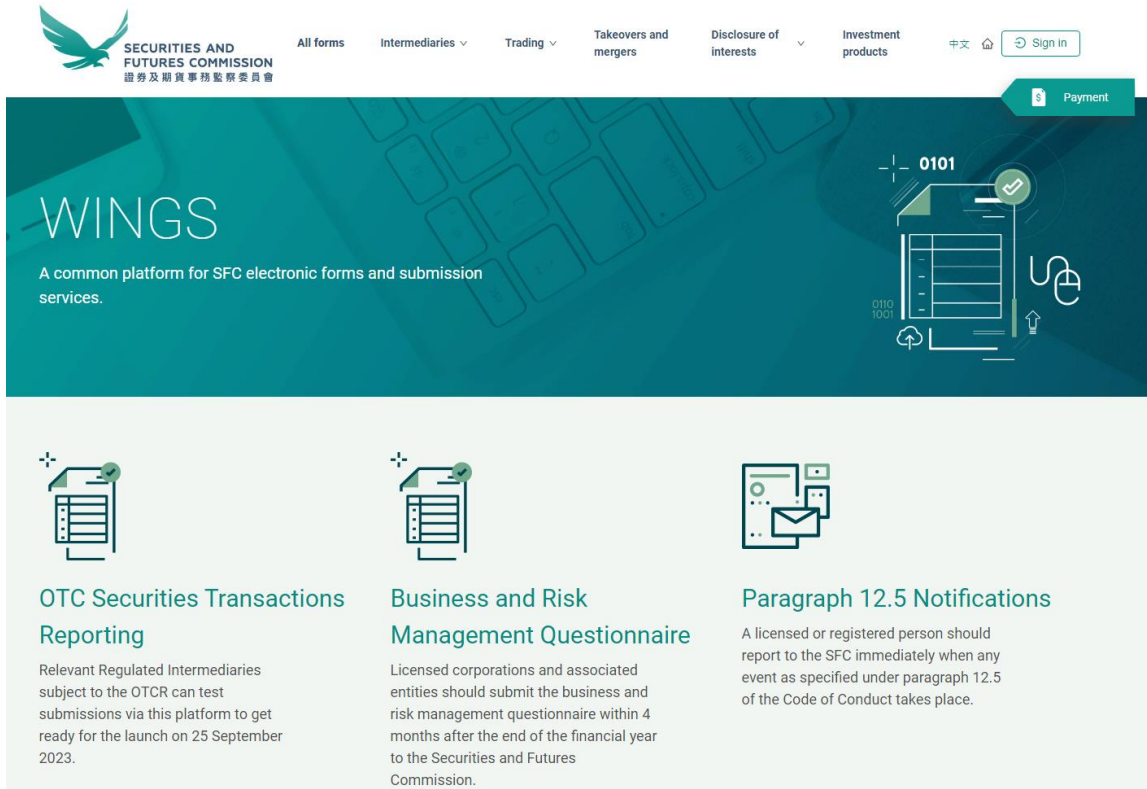


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I. Accessing the Rule 22 Dealing Disclosure Online Submission Homepage

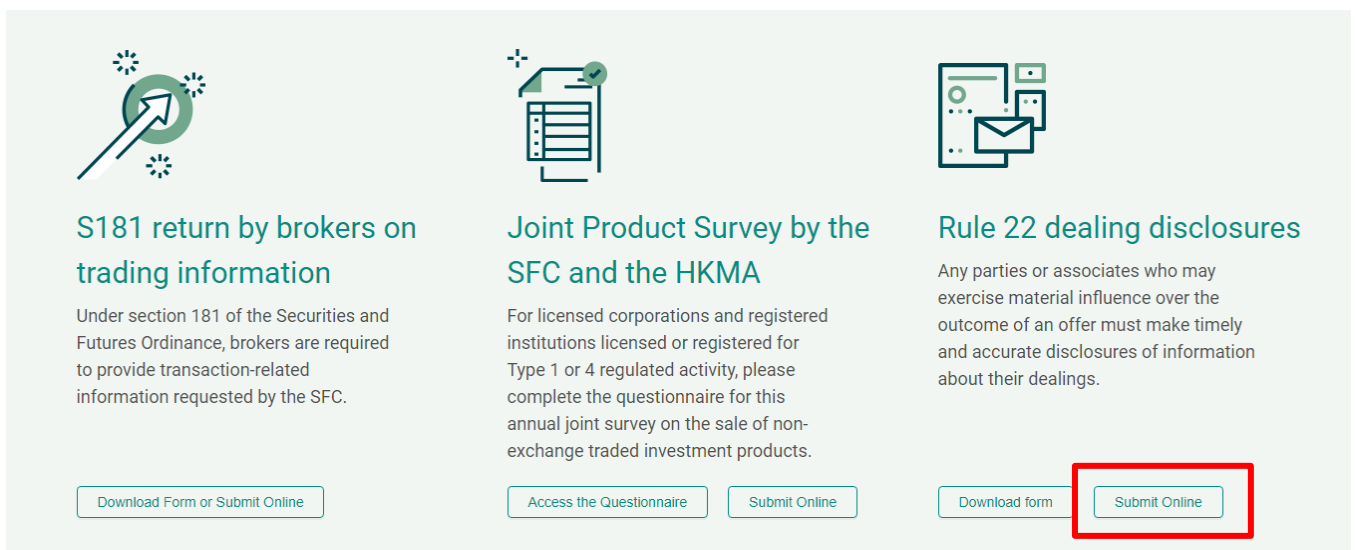
1. Visit the WINGS Submission portal. (<https://wings.sfc.hk/>).



The screenshot shows the WINGS Submission portal homepage. At the top, there is a navigation menu with links for "All forms", "Intermediaries", "Trading", "Takeovers and mergers", "Disclosure of interests", and "Investment products". A "Sign in" button is located in the top right corner. The main header features the WINGS logo and the text "A common platform for SFC electronic forms and submission services." Below the header, there are three main service tiles:

- OTC Securities Transactions Reporting**: Relevant Regulated Intermediaries subject to the OTCR can test submissions via this platform to get ready for the launch on 25 September 2023.
- Business and Risk Management Questionnaire**: Licensed corporations and associated entities should submit the business and risk management questionnaire within 4 months after the end of the financial year to the Securities and Futures Commission.
- Paragraph 12.5 Notifications**: A licensed or registered person should report to the SFC immediately when any event as specified under paragraph 12.5 of the Code of Conduct takes place.

2. Scroll to "Rule 22 dealing disclosures" and click "Submit Online".

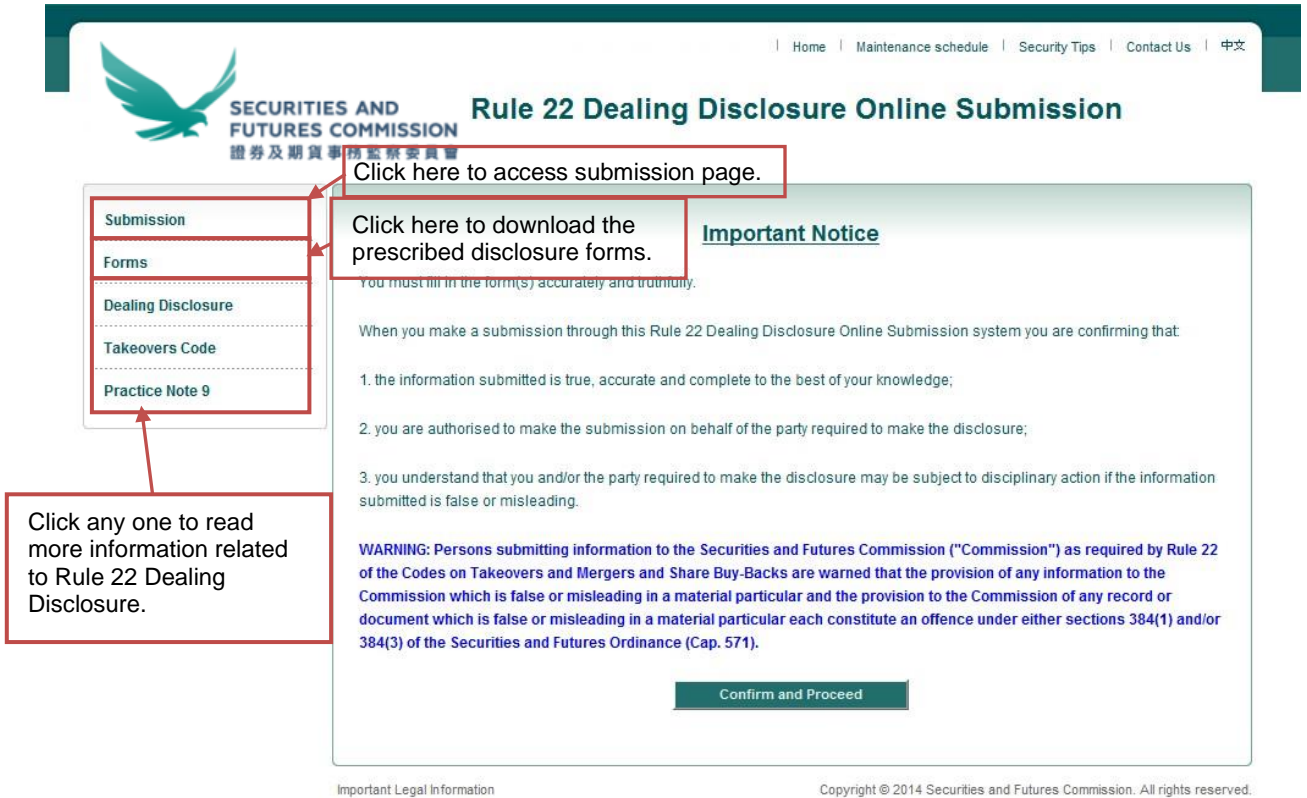


The screenshot shows the "Rule 22 dealing disclosures" section on the WINGS portal. It features three main tiles:

- S181 return by brokers on trading information**: Under section 181 of the Securities and Futures Ordinance, brokers are required to provide transaction-related information requested by the SFC. A button labeled "Download Form or Submit Online" is located below this tile.
- Joint Product Survey by the SFC and the HKMA**: For licensed corporations and registered institutions licensed or registered for Type 1 or 4 regulated activity, please complete the questionnaire for this annual joint survey on the sale of non-exchange traded investment products. Two buttons labeled "Access the Questionnaire" and "Submit Online" are located below this tile.
- Rule 22 dealing disclosures**: Any parties or associates who may exercise material influence over the outcome of an offer must make timely and accurate disclosures of information about their dealings. A button labeled "Submit Online" is located below this tile and is highlighted with a red border.

3. Online Submission Homepage

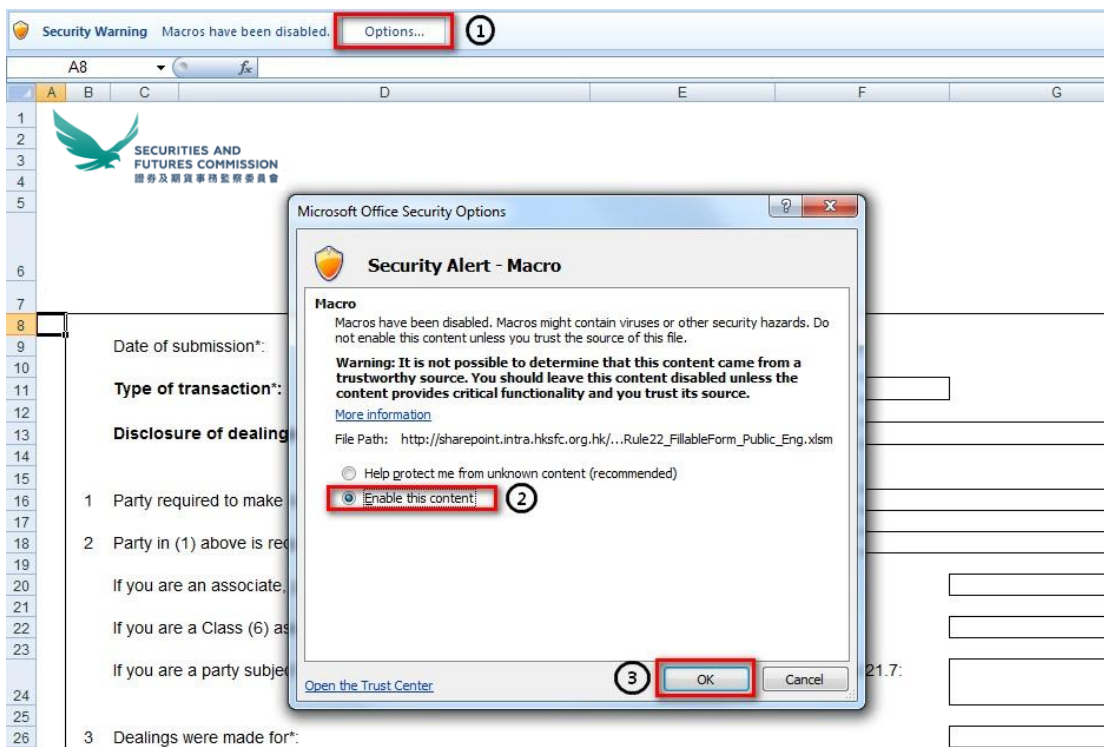
Please read all related information before making a submission.



The screenshot shows the 'Rule 22 Dealing Disclosure Online Submission' page. At the top, there is a navigation bar with links for Home, Maintenance schedule, Security Tips, Contact Us, and 中文. The SFC logo and name are on the left. The main heading is 'Rule 22 Dealing Disclosure Online Submission'. Below this is a navigation menu with links for Submission, Forms, Dealing Disclosure, Takeovers Code, and Practice Note 9. A red box highlights the 'Submission' link with the annotation 'Click here to access submission page.' Another red box highlights the 'Forms' link with the annotation 'Click here to download the prescribed disclosure forms.' A third red box highlights the entire navigation menu with the annotation 'Click any one to read more information related to Rule 22 Dealing Disclosure.' To the right of the navigation menu is an 'Important Notice' section. It contains a warning: 'You must fill in the form(s) accurately and truthfully.' and a list of three conditions for submission. Below the list is a 'WARNING' section in blue text. At the bottom of the main content area is a 'Confirm and Proceed' button. At the very bottom of the page, there is a footer with 'Important Legal Information' on the left and 'Copyright © 2014 Securities and Futures Commission. All rights reserved.' on the right.

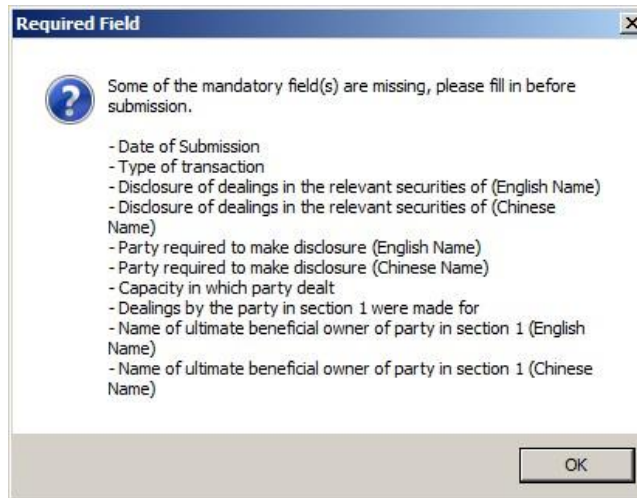
II. Filling in the Disclosure Forms - Public or Private Disclosure

1. You can access the forms by clicking “Forms” on the left navigation bar on Online Submission Homepage or from the Forms webpage (<http://www.sfc.hk/web/EN/forms/listings-and-takeovers/>)
2. Choose the appropriate public or private disclosure form.
3. Open the form. Enable Macro setting to support data validation (Options > Enable this content > OK).



The screenshot shows a Microsoft Office Security Alert dialog box. The dialog box has a title bar that reads "Microsoft Office Security Options" and a subtitle "Security Alert - Macro". The main text area contains a warning: "Warning: It is not possible to determine that this content came from a trustworthy source. You should leave this content disabled unless the content provides critical functionality and you trust its source." Below the warning, there are two radio buttons: "Help protect me from unknown content (recommended)" and "Enable this content:". The "Enable this content:" option is selected and circled with a "2". At the bottom of the dialog box, there are "OK" and "Cancel" buttons, with the "OK" button circled with a "3". In the background, a worksheet is visible with a "Security Warning" bar at the top that says "Macros have been disabled." and an "Options..." button circled with a "1".

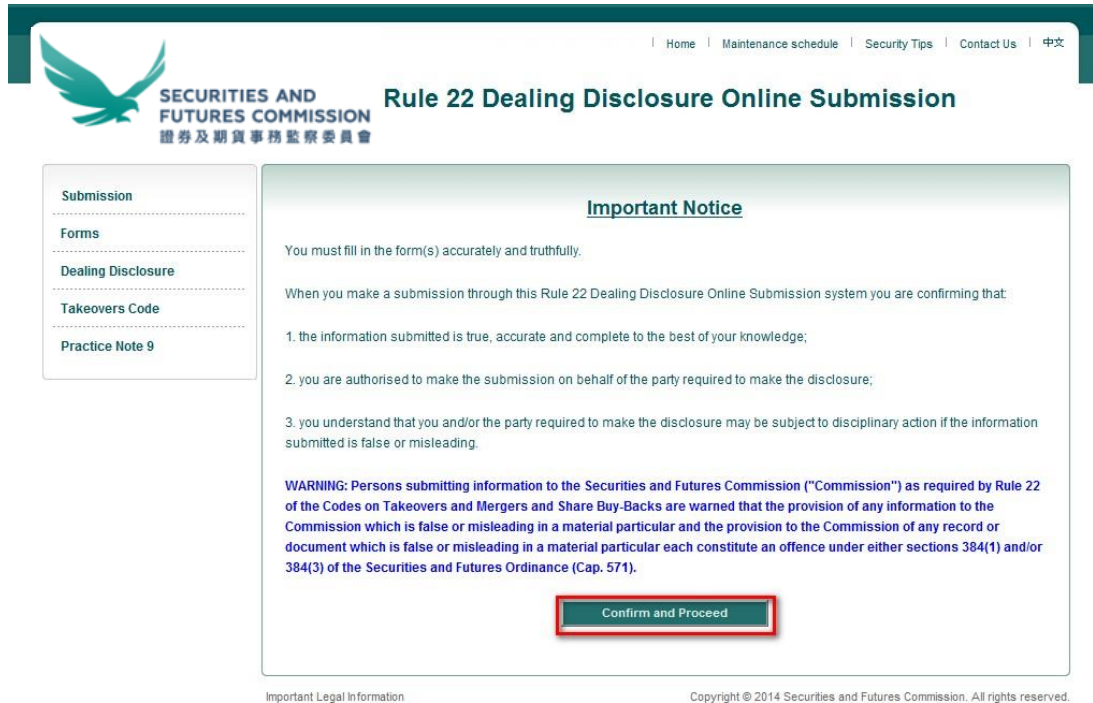
4. Fill in all mandatory fields (fields with *) in Worksheet “Main”. Where no Chinese name is available, please repeat the English Name in the relevant box. Complete the remainder of the form (including filling in Tables 1 to 4) as appropriate.
5. An error message(s) will be shown if invalid data or format is entered or a field is omitted.



6. Save the form when all required fields are completed.

III. Making Your Submission

1. Read the Important Notice. Then click “Confirm and Proceed” to proceed.



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證券及期貨事務監察委員會

Rule 22 Dealing Disclosure Online Submission

Submission

Forms

Dealing Disclosure

Takeovers Code

Practice Note 9

Important Notice

You must fill in the form(s) accurately and truthfully.

When you make a submission through this Rule 22 Dealing Disclosure Online Submission system you are confirming that:

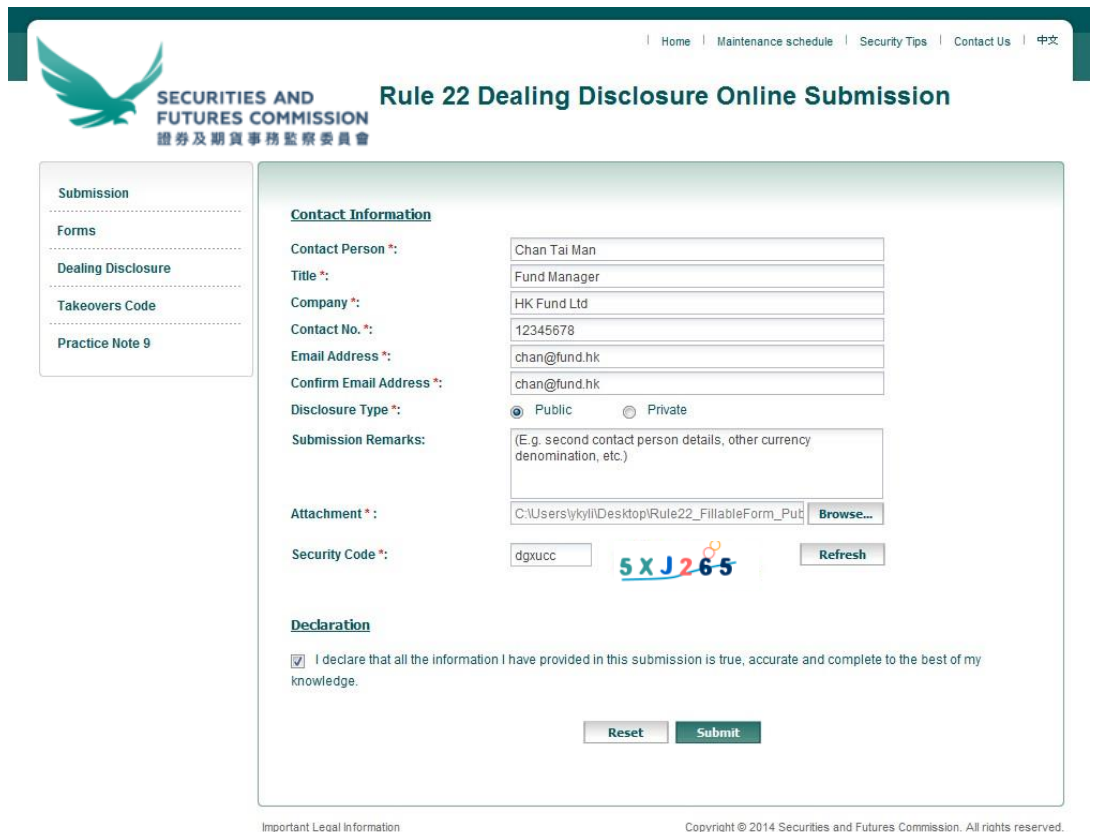
1. the information submitted is true, accurate and complete to the best of your knowledge;
2. you are authorised to make the submission on behalf of the party required to make the disclosure;
3. you understand that you and/or the party required to make the disclosure may be subject to disciplinary action if the information submitted is false or misleading.

WARNING: Persons submitting information to the Securities and Futures Commission ("Commission") as required by Rule 22 of the Codes on Takeovers and Mergers and Share Buy-Backs are warned that the provision of any information to the Commission which is false or misleading in a material particular and the provision to the Commission of any record or document which is false or misleading in a material particular each constitute an offence under either sections 384(1) and/or 384(3) of the Securities and Futures Ordinance (Cap. 571).

Confirm and Proceed

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2. Fill in all mandatory fields on the Online Submission Page.



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證券及期貨事務監察委員會

Rule 22 Dealing Disclosure Online Submission

Submission

Forms

Dealing Disclosure

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Practice Note 9

Contact Information

Contact Person *: Chan Tai Man

Title *: Fund Manager

Company *: HK Fund Ltd

Contact No. *: 12345678

Email Address *: chan@fund.hk

Confirm Email Address *: chan@fund.hk

Disclosure Type *: Public Private

Submission Remarks: (E.g. second contact person details, other currency denomination, etc.)

Attachment *: C:\Users\kyll\Desktop\Rule22_FillableForm_Put **Browse...**


Security Code *: dgxuucc **5XJ265** **Refresh**

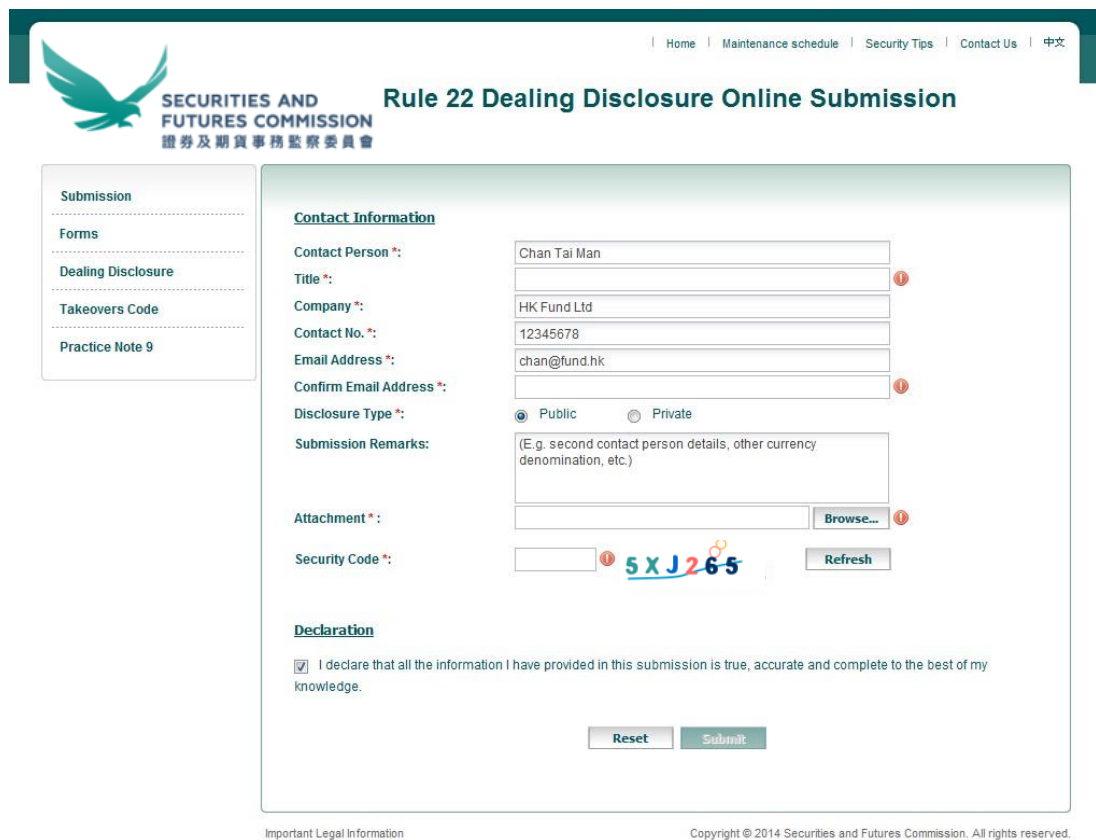
Declaration

I declare that all the information I have provided in this submission is true, accurate and complete to the best of my knowledge.

Reset **Submit**

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3. Indicate whether your submission is a public disclosure or private disclosure by choosing the appropriate button.
4. Attach the Disclosure Form to be submitted. Only Excel files with extension **.xism, .xlsx**. and **.xls** with file size **less than 5 MB** are allowed.
5. Enter the security code shown.
6. If the online submission form is not completed properly,  will be shown next to the affected field(s). In the example below, the title of the contact person, confirmation of email address, the attachment and security code are all missing.



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Rule 22 Dealing Disclosure Online Submission

Submission

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Dealing Disclosure

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Practice Note 9

Contact Information


Contact Person *: Chan Tai Man

Title *: 

Company *: HK Fund Ltd


Contact No. *: 12345678


Email Address *: chan@fund.hk

Confirm Email Address *: 

Disclosure Type *: Public Private

Submission Remarks: (E.g. second contact person details, other currency denomination, etc.)

Attachment *:  Browse...

Security Code *:  5XJ265 Refresh

Declaration

I declare that all the information I have provided in this submission is true, accurate and complete to the best of my knowledge.

Reset Submit

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7. Enter any clarification or supplemental information that you wish to inform the Executive (e.g. second contact person details, currency denomination of the trades conducted, etc.) in the Submission Remarks box. This field is optional.
8. Tick the checkbox after reading the Declaration and then click “Submit”. Alternatively you may reset the whole form and empty all fields by clicking the “Reset” button.
9. If an error(s) is detected during the submission process, a corresponding message(s) will be shown in **RED** on the top of the page or in a separate pop-up window. In the example below, the type of disclosure form submitted does not match the disclosure type indicated.



Rule 22 Dealing Disclosure Online Submission

Submission

Forms

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Practice Note 9

Disclosure Type of the attachment does not match with the selection on the page.

Contact Information

Contact Person *:

Title *:

Company *:

Contact No. *:


Email Address *:

Confirm Email Address *:

Disclosure Type *: Public Private

Submission Remarks:

Attachment *:


Security Code *: 

Declaration

I declare that all the information I have provided in this submission is true, accurate and complete to the best of my knowledge.

IV. Submission Acknowledgement

1. Upon successful submission, a submission acknowledgement will be displayed. An acknowledgement email will also be sent to the contact email address provided during the submission.



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

Rule 22 Dealing Disclosure Online Submission

[Home](#) | [Maintenance schedule](#) | [Security Tips](#) | [Contact Us](#)

Submission	<p>Acknowledgement of Successful Rule 22 Dealing Disclosure Online Submission</p> <p>Thank you for submitting your dealing disclosure.</p> <p>Submission Summary</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">Submission Reference :</td> <td>20140527-1731.00307</td> </tr> <tr> <td>Submission File Name :</td> <td>Rule22_FillableForm_Public_Eng.xlsm</td> </tr> <tr> <td>Submission Check Digits of Upload Page :</td> <td>a8519f5a580a1afd15988f30e6b46681</td> </tr> <tr> <td>Submission Check Digits of Excel File :</td> <td>a0c6531a5973b0aec0ed1b128a358bc0</td> </tr> <tr> <td>Date/Time of Submission :</td> <td>27-May-2014 5:34:06 PM</td> </tr> </table> <div style="text-align: center; margin-top: 10px;"> <input type="button" value="Print"/> <input type="button" value="Save"/> </div>	Submission Reference :	20140527-1731.00307	Submission File Name :	Rule22_FillableForm_Public_Eng.xlsm	Submission Check Digits of Upload Page :	a8519f5a580a1afd15988f30e6b46681	Submission Check Digits of Excel File :	a0c6531a5973b0aec0ed1b128a358bc0	Date/Time of Submission :	27-May-2014 5:34:06 PM
Submission Reference :		20140527-1731.00307									
Submission File Name :		Rule22_FillableForm_Public_Eng.xlsm									
Submission Check Digits of Upload Page :		a8519f5a580a1afd15988f30e6b46681									
Submission Check Digits of Excel File :		a0c6531a5973b0aec0ed1b128a358bc0									
Date/Time of Submission :	27-May-2014 5:34:06 PM										
Forms											
Dealing Disclosure											
Takeovers Code											
Practice Note 9											

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Acknowledgement of Successful Rule 22 Dealing Disclosure Online Submission

e-workflow@sfc.hk [e-workflow@sfc.hk]

Sent: Tuesday, March 18, 2014 10:51 AM

To: chan@fund.hk

Thank you for submitting your dealing disclosure.

Submission Summary

Submission Reference:	20140318.1051.00085
Submission File Name:	Rule22_FillableForm_Public_Eng_UserGuideSample.xlsm
Submission Check Digits of Upload Page:	781836acedfba33002d7fa9c4176acb4
Submission Check Digits of Excel File:	850fe787c967bee6613a5dca0443bd2c
 Date/time of Submission:	 18-March-2014 10:53:40 AM

Corporate Finance Division
SECURITIES AND FUTURES COMMISSION

多謝您遞交您的交易披露表格。

遞交概要

遞交編號:	20140318.1051.00085
遞交檔案名稱:	Rule22_FillableForm_Public_Eng_UserGuideSample.xlsm
遞交網頁的檢查號碼:	781836acedfba33002d7fa9c4176acb4
遞交Excel檔案的檢查號碼:	850fe787c967bee6613a5dca0443bd2c
 遞交日期/時間:	 18-March-2014 10:53:40 AM

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