



Invitation to Tender

Provision of IT Contractors (May 2023)

- **Contract Senior Systems Analysts / Systems Analysts – Java**
- **Contract Senior Systems Analysts / Systems Analysts – Pega**
- **Contract Senior Systems Analyst / Systems Analyst – SAS**
- **Contract Senior Analyst Programmers / Analyst Programmers – Systems Maintenance**
- **Contract Senior Analyst Programmers / Analyst Programmers – Java**
- **Contract Senior Systems Analysts / Systems Analysts – BI**
- **Contract Senior Systems Analysts / Systems Analysts – SharePoint**
- **Contract Senior Systems Analyst / Systems Analyst – Technical**
- **Contract Assistant Project Manager – Data**
- **Contract IT Manager – Technical**
- **Contract Infrastructure Consultant**
- **Contract Infrastructure Specialist**
- **Contract IT Support and Operation Specialist**
- **Contract Senior Business Systems Analysts**
- **Part-time Lotus Notes Developer**

7 December 2022

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Purpose

The purpose of this Invitation To Tender (“ITT”) is to invite prospective service vendors to submit proposals to provide:

1. Contract Senior Systems Analysts / Systems Analysts – Java x 12;
2. Contract Senior Systems Analysts / Systems Analysts – Pega x 3;
3. Contract Senior Systems Analyst / Systems Analyst – SAS x 1;
4. Contract Senior Analyst Programmers / Analyst Programmers – Systems Maintenance x 2;
5. Contract Senior Analyst Programmers / Analyst Programmers – Java x 2;
6. Contract Senior Systems Analysts / Systems Analysts – BI x 3;
7. Contract Senior Systems Analyst / Systems Analyst – SharePoint x 1;
8. Contract Senior Systems Analyst / Systems Analyst – Technical x 1;
9. Contract Assistant Project Manager – Data x 1;
10. Contract IT Manager – Technical x 1;
11. Contract Infrastructure Consultant x 1;
12. Contract Infrastructure Specialist x 1;
13. Contract IT Support and Operation Specialist x 1;
14. Contract Senior Business Systems Analysts x 5;
15. Part-time Lotus Notes Developer x 1;

to the Securities and Futures Commission (“the SFC”) for a 12-month period (from May 2023 to April 2024) with an option to extend upon contract expiry.

Available Positions

1. Contract Senior Systems Analysts / Systems Analysts – Java (x 12)

(a) Requirements

- University graduate
- Minimum 6 years of system development experience
- Sound technical knowledge of all the following:
 - J2EE multi-tier / Microservices architecture
 - Spring Boot / Security / MVC / Webflow
 - Spring Data / MyBatis / JPA
 - Gradle / Gitlab / Jenkins or other CD/CI tools
 - Ant Design / React JS / Ext JS / REST / Direct Web Remoting (DWR)
 - SOA (Web Services, Axis)
 - Oracle RAC and PL/SQL Programming
- Experience with the following a plus:
 - Mobile application development (on iOS and Android)
 - Docker Swarm / IBM WebSphere / Tomcat
 - Jasper Report / Excel Power Query
 - RabbitMQ / Redis / ELK Stack
 - JUnit / Katalon / Jest or others auto testing tools
 - PEGA Platform
- Ability to perform requirement collection, design, programming, testing and implementation with minimum supervision
- Good English and Chinese communication skills (both written and verbal)
- High caliber applicants may be considered for the position of Senior Systems Analyst

(b) Responsibilities

- Various system support and development tasks for the applications used by the SFC
- Occasional needs to perform system support after office hours
- Other ad-hoc tasks or projects

2. Contract Senior Systems Analysts / Systems Analysts – Pega (x 3)

(a) Requirements

- University graduate
- Minimum 6 years of system development experience, at least one year on PEGA 7/8 platform
- Sound technical knowledge of PEGA 7/8 platform with solid hands-on development experience
- Experience with the following a plus:
 - IBM WebSphere / Tomcat
 - Excel PowerQuery
 - J2EE multi-tier / Microservices architecture
 - Spring Boot / Security / MVC / Webflow
 - Spring Data / MyBatis / JPA
 - Ajax (including Ext-JS and Direct Web Remoting (DWR))
 - SOA (Web Services, Axis)
 - Oracle RAC and PL/SQL Programming
 - Linux
- Ability to perform requirement collection, design, programming, testing and implementation with minimum supervision
- Good English and Chinese communication skills (both written and verbal)
- High caliber applicants may be considered for the position of Senior Systems Analyst

(b) Responsibilities

- Provide support/development for a Case Management System solution based on PEGA 7/8 platform
- Occasional needs to perform system support after office hours
- Other ad-hoc tasks or projects

3. Contract Senior Systems Analyst / Systems Analyst – SAS (x 1)

(a) Requirements

- University graduate
- Minimum 6 years of system development experience, at least 4 years in SAS related area
- Sound technical knowledge of SAS EG / BI, SAS Web Report Studio, SAS Portal, and SAS Web OLAP Viewer a must; Previous experience with SAS 9.3 migration a plus
- Willing to work on irregular hours and on platforms other than SAS
- Ability to perform requirement collection, design, programming, testing and implementation with minimum supervision
- Good English and Chinese communication skills (both written and verbal)
- High caliber applicants may be considered for the position of Senior Systems Analyst. Candidates with less experience will be considered as Analyst Programmer

(b) Responsibilities

- Various development tasks and operation support for:
 - the SAS applications used by the SFC
 - Other platforms (e.g. Java) or open/proprietary regulatory systems
- Occasional needs to perform system support after office hours
- Other ad-hoc tasks or projects

4. Contract Senior Analyst Programmers / Analyst Programmers – Systems Maintenance (x 2)

(a) Requirements

- University graduate
- Minimum 3 years of system support and development experience
- Hands on experience on all of the following:
 - J2EE multi-tier / Microservices architecture
 - JavaScript
 - SQL Server / Oracle RAC and PL/SQL Programming
 - Excel programming / Power Query
 - IBM WebSphere / Tomcat
- Willing to work on irregular hours for the market reversal exercise and system support
- Experience in supporting SMARTS, Documentum and Relativity is a plus
- Ability to perform requirement collection, design, programming, testing and implementation with minimum supervision
- Good English and Chinese communication skills (both written and verbal)

(b) Responsibilities

- Various development tasks and operation support for:
 - the Abbyy and Kofax OCR solution used by the SFC
 - Relativity eDiscovery and other systems integrated with Documentum
 - Other platforms (e.g. Java) or open/proprietary regulatory systems
- Working on irregular hours and on platforms for system support
- Other ad-hoc tasks or projects

5. Contract Senior Analyst Programmers / Analyst Programmers - Java (x 2)

(a) Requirements

- University graduate
- Minimum 3 years of system development
- Strong proficiency in React JS, Ant Design Pro for frontend development; Proven work experience in large scale React JS application
- Sound technical knowledge of all the following:
 - J2EE multi-tier / Microservices architecture
 - Spring Boot / Security
 - Spring Data / MyBatis / JPA
 - Gradle / Gitlab / Jenkins or other CD/CI tools
 - Ant Design / React JS
 - SOA (Web Services, Axis)
 - Oracle RAC and PL/SQL Programming
- Experience with the following a plus:
 - Docker Swarm / IBM WebSphere / Tomcat
 - Jasper Report / Excel Power Query
 - RabbitMQ / Redis / ELK Stack
 - JUnit / Katalon / Jest or others auto testing tools
 - PEGA Platform
- Ability to perform requirement collection, design, programming, testing and implementation with minimum supervision
- Good English and Chinese communication skills (both written and verbal)
- High caliber applicants may be considered for the position of Senior Analyst Programmer

(b) Responsibilities

- Various system support and development tasks for the applications used by the SFC
- Occasional needs to perform system support after office hours
- Other ad-hoc tasks or projects

6. Contract Senior Systems Analysts / Systems Analysts – BI (x 3)

(a) Requirements

- University graduate
- Minimum 6 years of system development experience with at least 2 years in reporting and data analysis.
- Excellent knowledge and development experience using Microsoft BI stack and Oracle Database is a must
- Sound technical knowledge of following:
 - Microsoft Power BI, SSRS, SSIS and SSAS and PowerQuery
 - Microsoft PowerView, PowerPivot and PowerQuery
 - Microsoft SQL Server DB administration and SQL development
 - Oracle PL/SQL development and tuning
 - SharePoint development, ASP.Net, C#, HTML, JavaScript and custom web services
 - Customization of SharePoint site, search, BI and social features
 - SharePoint 2013 administration
- Experience with the following a plus:
 - Data modelling/virtualization and data warehouse experience
 - Text Analytics and machine learning experience
 - Graph database modeling, data loading and visualization using Neo4j
- Ability to perform requirement collection, design, programming, testing and implementation with minimum supervision

- Good English and Chinese communication skills (both written and verbal)
- High caliber applicants may be considered for the position of Senior Systems Analysts

(b) Responsibilities

- Various system analysis, development and support tasks for the BI and SharePoint 2013 applications used by the SFC, including but not limited to:
 - Management dashboard and report
 - ETL process / Microsoft Power BI / SharePoint BI
 - Site and application design, customization and development
 - Infrastructure
- Occasional needs to perform system support after office hours
- Other ad-hoc tasks or project

7. Contract Senior Systems Analyst / Systems Analyst – SharePoint (x 1)

(a) Requirements

- University graduate
- Minimum 6 years of system development experience
- Excellent knowledge and development experience using SharePoint is a must
- Sound technical knowledge of following:
 - SharePoint 2019 Web part development
 - SharePoint 2019 customization using JQuery, JavaScript, HTML5, ASP.Net, C#
 - SharePoint CSOM, JSOM, REST API
 - SharePoint Search administration
 - Customization of SharePoint site and social features
 - SharePoint 2019 administration
- Experience with the following a plus:

- Microsoft SQL Server Reporting Services, Analysis and Integration Services
- SharePoint BI
- Microsoft SQL Server administration
- SQL development and tuning
- Enterprise Mobility
- Ability to perform requirement collection, design, programming, testing and implementation with minimum supervision
- Good English and Chinese communication skills (both written and verbal)

(b) Responsibilities

- Various system analysis, development and support tasks for the applications used by the SFC
- Providing technical support to document management system, mobile platform and search engine
- To perform on-site development, maintenance and enhancement of SharePoint 2013 including but not limited to:
 - Site and application design, customization
 - Application development
 - Search administration and customization
 - BI development
 - Infrastructure
- Establish IT Governance in SharePoint
- Occasional needs to perform system support after office hours
- Other ad-hoc tasks or project

8. Contract Seniors Systems Analyst / Systems Analyst – Technical (x 1)

(a) Requirements

- University degree in IT, Computer Science or any related discipline and have at least 6+ years of IT application development experience
- Hands on experience on all of the following:
 - Application development, system design, data modelling and integration experience of various high availability applications
 - Python programming language, focusing in machine learning and Natural Language processing (NLP)
 - Microservices, Docker and Kubernetes architecture
 - SQL programming language
 - Relational database and NoSQL database management system.
 - Linux VM installation and shell scripting
- Experience with the following a plus:
 - Open API development
 - JavaScript / Node.js / REST development
 - Cloud services (Azure, AWS, or Alibaba Cloud)
- Ability to perform requirement collection, design, programming, testing and implementation with minimum supervision
- Good English and Chinese communication skills (both written and verbal)

(b) Responsibilities

- Manage vendors for solution design and implementation
- Create prototypes to visualize a business idea and participate in new project initiative
- Perform system analysis, development and support tasks for the applications or infrastructure used by the SFC
- Provide guidance and advice to junior team members and business users
- Occasional needs to perform system support after office hours

- Other ad-hoc tasks or project

9. Contract Assistant Project Manager – Data (x 1)

(a) Requirements

- Good knowledge and experience in applying machine learning models and data models to solve real-life problems using Python and open-source ML libraries
- University degree or above in Data Science, Computer Science, or other related fields
- Minimum 6 years of IT working experience with at least 3 years in BI or data analytics development
- Proficient and hands-on development experience in building ETL programs and integrating different data sources, including Oracle DB, SQL Server and SSIS
- Experience with the following is a plus:
 - Data exploration and visualization using Power BI, Power View, Power Query
 - NLP, Text Analytics, data clustering, and entity extraction
 - Graph database modelling and visualization using Neo4j
 - Java, .Net, PL/SQL, T-SQL
- Ability to perform requirement collection, design, programming, testing and implementation with minimum supervision
- Ability to work independently, taking ownership of assignments
- A strong sense of responsibility and impeccable integrity is preferred
- Good English and Chinese communication skills (both written and verbal)

(b) Responsibilities

- Participate in new AI and BI initiatives, and create prototypes to visualize a business idea
- Participate in AI and data analytic projects and vendor management
- Conduct impact analysis, functional specification preparation and technical solution design

- Perform data and system analysis, development and support tasks for the various applications used by the SFC
- Coach and share machine learning and data model management with the team
- Managing external vendors to ensure the deliverables are in high quality and delivered on time

10. Contract IT Manager – Technical (x 1)

(a) Requirements

- University degree in IT, Computer Science or any related discipline and have at least 10+ years of managerial experience in the IT industry
- Thorough understanding of Enterprise Content Management is essential for this position
- Preferably with good know-how in OpenText Documentum, SharePoint, Web Content Management, Enterprise Search, Business Intelligence development
- Application development, system design, data modelling and integration experience of various high availability applications
- Experience with the following a plus: MongoDB, Neo4j, ElasticSearch, NodeJS, Text Analytics, Machine learning, RPA, Java, .Net.
- Possess excellent project management, presentation, interpersonal, verbal and written communication skills
- Be proficient in amalgamating contrasting inputs and formulating solutions that best suit the needs of the Commission
- Ability to perform requirement collection, design, programming, testing and implementation with minimum supervision
- Good English and Chinese communication skills (both written and verbal)

(b) Responsibilities

- Vendor management for solution design and implementation
- Create prototypes to visualize a business idea and participate in new project initiative
- Various system analysis, development and support tasks for the applications/infrastructure used by the SFC

- Define and execute change management and communications plan
- Provide guidance and advice to junior team members and business users
- Occasional needs to perform system support after office hours

11. Contract Infrastructure Consultant (x 1)

(a) Requirements

- University graduate
- Minimum 10 years of IT Infrastructure support experience with at least 2 years in project management
- Technical knowledge and hands on experience of Microsoft Active Directory including ADFS and Azure AD, Microsoft Exchange 2013, , Microsoft Office 365 with focus on Exchange Online, Teams and OneDrive, Symantec Enterprise Vault, SAN, , virtualization technology including VMWare, Hyper-V, HCI technology including Nutanix
- Hands on experience in AIX and IBM P-series hardware an advantage
- Good English and Chinese communication skills (both written and verbal)

(b) Responsibilities

- Manage the Microsoft Active Directory, Microsoft Exchange and Office 365 infrastructure and its related network architecture such as DNS, Group Policy, Hyper-V Clusters, VMWare Clusters, Nutanix HCI Clusters with AHV, the Microsoft Office applications and other related components
- Provide support to other Infrastructure systems
- Manage and implement new Infrastructure projects
- Provide consultation and work with Other IT teams to implement new solution
- Occasional needs to perform support after office hours

12. Contract Infrastructure Specialist (x 1)

(a) Requirements

- University graduate

- Minimum 10 years of IT Infrastructure and operation support experience
- Technical knowledge and hands on experience of Citrix remote access infrastructure, virtualization technology including VMWare and Hyper-V, AHV, structured cabling, firewall, load Balancer, WAN and LAN
- Hands on experience in cloud infrastructure and Linux support an advantage
- Good English and Chinese communication skills (both written and verbal)

(b) Responsibilities

- Manage and provide support to the VDI, LAN, WAN Infrastructure, Microsoft Active Directory and its related network architecture such as DNS, Group Policy
- Provide support to other Infrastructure systems
- Provide support to operation team such as planning and scheduling of patching cycle and strategy
- Provide consultation and work with Other IT teams to implement new solution
- Occasional needs to perform support after office hours

13. Contract IT Support and Operation Specialist (x 1)

(a) Requirements

- University degree graduate or diploma holder, preferably in Information Technology or related disciplines;
- Minimum 8 years of experience in Information Technology services with at least 3 years of experience in technical support services and data centre operation positions;
- In-depth knowledge in Microsoft Windows Server, AIX/Linux Administration, Active Directory, Hyper-V, Nutanix HCI, VMWare, Netbackup, Veeam Backup, Firewall, Load Balancer and network switches
- Experience in data centre operations including network cabling, patch management.
- Good interpersonal, communication and presentation skill; and
- Fluent spoken English and Cantonese. Putonghua preferable.

(b) Responsibilities

- Coordinate with Data Centre Operations engineers to implement and support the network infrastructure and the data centre environment.
- Work closely with the Infrastructure Team to design and implement new technologies, system and security policies.
- Provide front-line helpdesk PC/LAN system and solution product support to Commission user.
- Perform overall systems administration and maintenance work of the SFC network
- Review and maintain operational procedures and performance statistics for all computer systems.
- Perform system operations and maintain operations procedures.
- Liaise with third party maintenance support services vendors and solution providers.
- Provide internal support to ad hoc activities as specified by Senior Manager / Manager – Technology Services.
- Data Centre Inventory Management.
- Arrange and conduct OS patches rollout;
- Shift duty required.

14. Contract Senior Business Systems Analysts (x 5)

(a) The position

- The Senior Business Systems Analyst (SBSA) is responsible for business requirements documentation, and project management to enable the IT and project teams to develop high quality solutions.
- The primary objective for the SBSA is to partner and collaborate with the business and technical teams to capture business related process, application, and analytical requirements, and translate them into functional/technical specifications. The SBSA also play the key roles of a change leader to discover new opportunities and better ways to improve both the business and system processes.

(b) Requirements

- Bachelor's Degree in information systems, computer science, or related field.
- Six years of experience or more in business information system requirement analysis and IT related project management.
- Strong technical knowledge in case management and business process related system implementation, web-based solutions, cloud-based technologies, document management systems, data analytics platforms, and Microservices architecture.
- Advanced interpersonal, communication and presentation skills. Excellent analysis and interviewing skills. With a good command of spoken English and Chinese languages.
- Experienced in project and quality management. Competent in relevant methodologies (e.g. PMP, Agile) and standards (e.g. ISO), and experience in programming/scripting languages such as Java and Python is an advantage.
- Able to work either independently or closely with project teams. Proactive and confident.

(c) Responsibilities

- Determine organisational and operational objectives by conducting business impact analysis, capturing and documenting requirements, evaluating and designing technical solution, and assisting in change management.
- Participate in and manage projects by identifying milestones, forming project teams, tracking activities, monitoring resources, resolving problems, recommending actions, and managing deliverables.
- Perform quality assurance activities, prepare end-user training and user guide materials, conduct user briefing sessions as part of the change management activities.
- Provide technical consultancy to different IT teams and business users by keeping abreast of the latest technologies, benchmarking best practices and principles, and participating in relevant educational workshops.
- Contribute to team effort by providing daily user support and training, promoting and adhering to IT strategy and organisational roadmaps, and building good relationships among IT, business partners, and other stakeholders.
- Assist in and carry out relevant administrative tasks, such as procurement, vendor management, contract management, budgets and funding, etc.
- Provide hotline support to the external participants on the electronic submission services of the SFC.

15. Part-time Lotus Notes Developer (x 1)

(a) Requirements

- University graduate
- Minimum 6 years of system development experience
- Certified Lotus Notes Professional
- Minimum 4 years' experience on Domino workflow and application development
- Experience on Notes/Oracle integration and electronic Web submission applications
- Ability to perform requirement collection, design, programming, testing and implementation with minimum supervision
- Good English and Chinese communication skills (both written and verbal)

(b) Responsibilities

- Various system support and development tasks for the applications used by the SFC
- Occasional needs to perform system support after office hours
- Other ad-hoc tasks or projects

Other Terms And Conditions

1. For position 1 to 14: 12 months contract period starting from May 2023, with an option to extend upon contract expiry. Subject to candidate's availability, SFC's may choose to start the contract at an earlier date.

For position 15 (Part-time Lotus Notes Developer): The candidate should be on broad in May 2023 until end of April 2024, with not more than 10 man-days per month throughout this period and working on site under our supervision.

2. Payment will be made on a monthly basis.
3. The Agent shall only bill the SFC for the gratuity payment (if any) upon the end of the contract period with the conditions that all the contractual terms have been fulfilled, and the end of contract performance evaluation of the successful candidates are satisfactory.

Gratuity is not applicable for position 15 (Part-time Lotus Notes Developer).

4. If the Agent terminates the contract during the contract period, no gratuity will be paid. If the contract termination is initiated by the SFC, a pro-rata amount based on the actual service period provided over the contract term is payable to the Agent.
5. The successful candidate is required to sign an undertaking statement to abide by the SFC Staff Code of Conduct. He/she will be subject to background vetting by the police and ICAC, and required to disclose his/her securities and futures investment portfolio and ongoing transactions to the SFC.
6. The Agent must provide their latest audited accounts/financial statements.
7. The number of post count quoted above is included for indicative purpose. SFC reserves the right to employ none or any of the proposed contractors.
8. Cost for each contractor should be quoted separately.
9. Except position 15 (Part-time Lotus Notes Developer), in addition to public holidays, the successful candidate shall entitle to 17 days of paid leave within the 12-month contract period. The Agent should pay for the above leave entitlement for the successful candidate. Leave applications will require approval by the reporting supervisor(s).
10. The Agent shall bear full responsibility of the welfare of the staff candidate contracted to the SFC. For tender evaluation purposes, the Agent should state clearly in the proposal the fringe benefits (e.g. provident fund, bonus) and any other measures offered to the candidates.

Proposal Format

11. The proposal should include but not limited to:
- 11.1 an offer letter;
 - 11.2 the company's latest audited accounts/financial statement;
 - 11.3 any exceptions to the requirements;
 - 11.4 detail CV of each proposed candidate, including the earliest available date;
 - 11.5 fees quotation.

Fees Quotation Format

12. The fees quotation must be submitted in the following prescribed format. Unless otherwise specified, the default currency is Hong Kong Dollar (HKD).
13. Format and sample: Position 1 to 14

| | | (a) | (b) | (c) | (d) | (e) | (f) | | |
|------|--------------------|---|--|-------------------------|--|--|--------------------------------|-------------------------------------|----------|
| Pos. | Name of candidates | Candidate's monthly take home pay (incl. employee's MPF contribution) | Agent's monthly charge (incl. employer's MPF contribution) | Total monthly fee [a+b] | End contract candidate's take home gratuity pay [^] | End contract Agent's charge on gratuity [^] | Total contract cost [c*12+d+e] | Total % of Agent fee** [(b*12+e)/f] | A.L/ Yr# |
| SSA | Mr. A | \$30,000 | \$4,500 | \$34,500 | \$50,000 | \$5,000 | \$469,000 | 12.6% | 17 |
| SBSA | Ms. B | \$40,000 | \$4,000 | \$44,000 | \$0 | \$0 | \$528,000 | 9.09% | 17 |
| IFSP | Mr. C | \$35,000 | \$3,500 | \$38,500 | \$0 | \$0 | \$462,000 | 9.09% | 18 |
| IFSP | Ms. D | \$45,000 | \$4,000 | \$49,000 | \$60,000 | \$10,000 | \$658,000 | 8.81% | 20 |

Sample: Position 15

| Position | Name of Candidate(s) | Daily Take Home Pay to Candidate (including Employee's contribution to MPF) | Agency/Admin Fee (\$/%) (including Employer's contribution to MPF) | SFC Daily Rate (\$) | Agency Fee %** |
|-------------|----------------------|---|--|---------------------|----------------|
| Lotus Notes | Ms. E | \$2,000 | \$400 | \$2,400 | 20.00% |

[^] Agent should provide details or the nature of the gratuity pay, e.g. bonus, cash incentives, performance pay, etc. This will be a one-time payment upon the contract expiry.

Annual leave per year

**** Fee quotation not provided in the above-prescribed format will be disqualified ****

Confidentiality

14. All information presented in or as a result of this Notice, including information disclosed by the SFC during the selection process, is to be considered strictly confidential. Information must not be released to external parties without the express written consent of the Commission.
15. All responses and other materials submitted in response to this Notice will become the property of the SFC. The SFC assumes no obligation and shall incur no liability regarding confidentiality of all or any portion of a response or any other material submitted in response to this Notice unless expressly agreed in writing to protect specifically identified information.
16. Submission without a signed copy of the Confidentiality Acknowledgement (Appendix A) will not be considered.

Conflict of Interest

17. If the Agent or any of the proposed candidates have any interest which conflicts, or has the potential to conflict, with its duties to the SFC under the proposal, the Agent should clearly state this in its proposal. This requirement extends to the Agent's associates, associated persons, group companies and each member of the Agent's professional staff (and their associates and associated persons).

Prevention of Bribery

18. The Agent shall prohibit its directors, employees, agents, and sub-contractors who are involved in this Notice from offering, soliciting or accepting any advantage as defined in the Prevention of Bribery Ordinance, Cap 201 when conducting business in connection with this mandate.
19. The Agent shall take all necessary measures (including by way of a code of conduct or contractual provisions where appropriate) to ensure that its directors, employees, agents and sub-contractors are aware of the prohibitions in this clause.

How To Submit Proposal

20. If your company is interested in providing such service, please submit one hardcopy of the proposal in a sealed plain envelope bearing no logo, and a softcopy on a CD/DVD. The softcopy should be saved in Adobe Acrobat format, i.e. PDF.
21. The proposal package should be marked with the reference "**Contract Senior Systems Analysts / Systems Analysts – Java, Contract Senior Systems Analysts / Systems Analysts – Pega, Contract Senior Systems Analyst / Systems Analyst – SAS, Contract Senior Analyst Programmers / Analyst Programmers – System Maintenance, Contract Senior Analyst Programmers / Analyst Programmers – Java, Senior Systems Analysts / Systems Analysts – BI, Contract Senior Systems Analyst / Systems Analyst – SharePoint, Contract Senior Systems Analyst / Systems Analyst – Technical, Contract Assistant Project Manager – Data, Contract IT Manager – Technical, Contract Infrastructure Consultant, Contract Infrastructure Specialist, Contract IT Support and Operation Specialist, Contract Senior Business Systems Analysts, Part-time Lotus Notes Developer (May 2023)**" and reach us **before 2:00 pm, 28 December 2022** at:

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

Please note that the SFC will not accept late proposals.

Queries Regarding This ITT

- (a) For positions [6,7,8,9,10]: Contract Senior Systems Analysts / Systems Analysts – BI, Contract Senior Systems Analysts / Systems Analysts – SharePoint, Contract Senior Systems Analyst / Systems Analyst – Technical, Contract Assistant Project Manager – BI, Contract IT Manager – Technical, please contact:-

Mr. Edward Chan
Manager
Information Technology, Corporate Affairs
Telephone : (852) 2231 1167
Email : ecfchan@sfc.hk

- (b) For positions [11,12,13]: Contract Infrastructure Consultant, Contract Infrastructure Specialist, Contract IT Support and Operation Specialist, please contact:-

Mr. WONG Yuk Wai
Senior Manager
Information Technology, Corporate Affairs
Telephone : (852) 2231 1671
Email : ywwong@sfc.hk

(c) For position [14]: Contract Senior Business Systems Analysts, please contact:-

Mr. Kenneth Wong
Senior Manager
Information Technology, Corporate Affairs
Telephone : (852) 2231 1690
Email : kennethwong@sfc.hk

(d) For other positions, please contact:-

Mr. Terence Tung
Manager
Information Technology, Corporate Affairs
Telephone : (852) 2231 1717
Email : twtung@sfc.hk

or

Mr. Lewis Wong
Senior Manager
Information Technology, Corporate Affairs
Telephone : (852) 2231 1834
Email : lewiswong@sfc.hk

***Note:** Please do not send more than:

| <i>Max. no. of candidates</i> | <i>Post</i> |
|-------------------------------|---|
| 48 | 1. Contract Senior Systems Analysts / Systems Analysts – Java |
| 12 | 2. Contract Senior Systems Analysts / Systems Analysts – Pega |
| 4 | 3. Contract Senior Systems Analyst / Systems Analyst – SAS |
| 8 | 4. Contract Senior Analyst Programmers / Analyst Programmers – System Maintenance |
| 8 | 5. Contract Senior Analyst Programmers / Analyst Programmers – Java |
| 12 | 6. Contract Senior Systems Analysts / Systems Analysts – BI |
| 4 | 7. Contract Senior Systems Analyst / Systems Analyst – SharePoint |
| 4 | 8. Contract Senior Systems Analyst / Systems Analyst – Technical |
| 4 | 9. Contract Assistant Project Manager – Data |
| 4 | 10. Contract IT Manager – Technical |
| 4 | 11. Contract Infrastructure Consultant |
| 4 | 12. Contract Infrastructure Specialist |
| 4 | 13. Contract IT Support and Operation Specialist |
| 20 | 14. Contract Senior Business Systems Analysts |
| 4 | 15. Part-time Lotus Notes Developer |

For each recommendation please include a detailed resume, candidate name, the monthly charge rate, and the earliest available date. Companies not contacted for interview arrangement within two weeks from the tender closing date may consider their bid unsuccessful.

Appendix A – Confidentiality Acknowledgement

Acknowledgement and Undertaking

Acknowledgment in relation to the preservation of secrecy pursuant to section 378 of the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong) (“SFO”) and avoidance of conflict of interests pursuant to section 379 of the SFO.

Terms in this acknowledgement shall have the same meaning as defined in the SFO, unless otherwise defined herein.

Section 378 of the SFO binds you and in particular subsection (1) of that section which provides as follows:

- (1) Subject to subsection 13(A), except in the performance of a function under, or for the purpose of carrying into effect or doing anything required or authorized under, any of the relevant provisions, a specified person -
- (a) shall preserve and aid in preserving secrecy with regard to any matter coming to his knowledge by virtue of his appointment under any of the relevant provisions, or in the performance of any function under or in carrying into effect any of the relevant provisions, or in the course of assisting any other person in the performance of any function under or in carrying into effect any of the relevant provisions;
 - (b) shall not communicate any such matter to any other person; and
 - (c) shall not suffer or permit any other person to have access to any record or document which is in his possession by virtue of the appointment, or the performance of any such function under or the carrying into effect of any such provisions, or the assistance to the other person in the performance of any such function under or in carrying into effect any such provisions.

TAKE NOTICE THAT IF YOU CONTRAVENE SECTION 378(1) OF THE SFO YOU COMMIT AN OFFENCE UNDER SECTION 378(10) OF THE SFO. ANY PERSON WHO COMMITS AN OFFENCE UNDER SECTION 378(10) IS LIABLE:

- (a) on conviction on indictment to a fine of HK\$1,000,000 and to imprisonment for two years; or
- (b) on summary conviction to a fine of HK\$100,000 and to imprisonment for six months.

Section 379 of the SFO binds you and in particular subsections (1), (2) and (3) of that section which provide as follows:

- (1) Subject to subsection (2), any member of the Commission or any person performing any function under any of the relevant provisions shall not directly or indirectly effect or cause to be effected, on his own account or for the benefit of any other person, a

transaction regarding any securities, structured product, futures contract, leveraged foreign exchange contract, or an interest in any securities, structured product, futures contract, leveraged foreign exchange contract or collective investment scheme -

- (a) which transaction he knows is or is connected with a transaction or a person that is the subject of any investigation or proceedings by the Commission under any of the relevant provisions or the subject of other proceedings under any provision of the SFO; or
- (b) which transaction he knows is otherwise being considered by the Commission.

(2) Subsection (1) does not apply to any transaction which a holder of securities or a structured product effects or causes to be effected by reference to any of his rights as such holder -

- (a) to exchange the securities or structured product or to convert the securities or structured product to another form of securities or structured product;
- (b) to participate in a scheme of arrangement sanctioned by the Court of First Instance under the OFC rules, the Companies Ordinance (Cap. 622) or the relevant Ordinance;
- (c) to subscribe for other securities or another structured product or dispose of a right to subscribe for other securities or another structured product;
- (d) to charge or pledge the securities or structured product to secure the repayment of money;
- (e) to realize the securities or structured product for the purpose of repaying money secured under paragraph (d); or
- (f) to realize the securities or structured product in the course of performing a duty imposed by law.

(3) Any member of the Commission or any person performing any function under any of the relevant provisions shall forthwith inform the Commission if, in the course of performing any function under any such provisions, he is required to consider any matter relating to -

- (a) any securities, futures contract, leveraged foreign exchange contract, structured product, or an interest in any securities, futures contract, leveraged foreign exchange contract, collective investment scheme or structured product -
 - (i) in which he has an interest;
 - (ii) in which a corporation, in the shares of which he has an interest, has an interest; or
 - (iii) which -
 - (A) in the case of securities, is of or issued by the same issuer, and of the same class, as those in which he has an interest;
 - (B) in the case of a futures contract, is interests, rights or property based upon securities of or issued by the same issuer, and of the same class, as those in which he has an interest; or
 - (C) in the case of a structured product, is interests, rights or property based on a structured product of or issued by the same issuer, and of the same class, as that in which he has an interest; or
- (b) a person -
 - (i) by whom he is or was employed;

- (ii) of whom he is or was a client;
- (iii) who is or was his associate; or
- (iv) whom he knows is or was a client of a person with whom he is or was employed or who is or was his associate.

TAKE NOTICE THAT IF YOU CONTRAVENE SECTION 379(1) AND/OR SECTION 379(3) OF THE SFO YOU COMMIT AN OFFENCE UNDER SECTION 379(4) OF THE SFO. ANY PERSON WHO COMMITS AN OFFENCE UNDER SECTION 379(4) IS LIABLE:

- (a) on conviction on indictment to a fine of HK\$1,000,000 and to imprisonment for two years; or
- (b) on summary conviction to a fine of HK\$100,000 and to imprisonment for six months.

The term “specified person” is defined in section 378(15) of the SFO and means-

- (a) the Commission;
- (b) any person who is or was a member, an employee, or a consultant, agent or adviser, of the Commission; or
- (c) any person who is or was -
 - (i) a person appointed under any of the relevant provisions;
 - (ii) a person performing any function under or carrying into effect any of the relevant provisions; or
 - (iii) a person assisting any other person in the performance of any function under or in carrying into effect any of the relevant provisions.

The term “person” has the meaning attributed to it in section 3 of the Interpretation and General Clauses Ordinance (Cap. 1) which provides that “person” includes any public body and any body of persons, corporate or unincorporate, and this definition shall apply notwithstanding that the word “person” occurs in a provision creating or relating to an offence or for the recovery of any fine or compensation.



I/We acknowledge that I/we have received and read carefully a copy of sections 378 and 379 of the Securities and Futures Ordinance (Cap. 571), and understand that these sections (in particular, sections 378(1) and 379(1), (2) and (3)) impose statutory obligations on me/us. I/We further confirm that I/we understand and agree to be bound by the provisions of sections 378 and 379 of the Securities and Futures Ordinance (Cap. 571).

Signature

Name / Entity name (as applicable)

Name of authorized signatory (in the case of an entity)

Title of authorized signatory (in the case of an entity)

Date

Witnessed by:

Signature

Name

Title

Date