

Introduction to WINGS 2.0

A common platform for SFC electronic forms and submission services

Licensing, Intermediaries



SFC 證監會



Chapter 1

Background

Evolution of Online Licensing Process





Objectives





Provide a user-friendly platform for licensing services



Improve efficiency & transparency of licensing process



Facilitate paperless operation with enhanced functions & digitalisation



Pave the way to full electronic submission of all licensing submissions



Chapter 2

WINGS 2.0

Key Features





Easier Administration Account

- New Account Types
- Delegation & Permission
- WINGS Dashboard



Smoother Application Process

- Smart Forms
- e-Signing
- Submission Tracking



More Digitalised Functions

- WINGS Mail
- Extended e-Payment Methods
- WINGS Mobile

Licensing-related Functions on WINGS 2.0





^ You should continue to use the SFC Online Portal to submit applications, notifications, annual returns and make payments before full launch

Licensing-related Functions on WINGS 2.0





* Tentative

New Account Types





Individual Account



Non-Licensee Account

- Self-registered account
- Submission management



Licensee Account

- System-generated account for approved licensee
- · Submission management



Corporate Account

- System-generated account for approved corporation
- Administrator for managing delegation & its related submission by its delegates



Advisory Firm Account

- Self-registered account for managing client's SFC submission
- Administrator for managing delegation & its related submission from Corporation



- Advisory firm-generated account
- Submission management

Delegation & Permission





Types of Delegation

Function related

- Corporate Administration
- WINGS Mail
- Payment and Invoices
- To be selected "As Billing CE/ Entity"
- Submission Tracking
- All Individual Licensees' Profile

Submission related

- Application
- Profile Maintenance
- Regulatory Filing

WINGS Dashboard

🛕 Important 💷



WINGS Dashboard provides an OVERVIEW of the tasks to be performed and consists of the following:

1) Important

Alerts & reminders for submissions



2) Submission Management

For applications, profile maintenance & regulatory filings and submission tracking

WINGS Dashboard (2)



| Payment 40 | | 💟 WINGS Mail | 30 | |
|-----------------------------|----------------------------------|--------------|---|---------|
| Total Outstanding Amount: | \$192,750 40 Outstanding Fees | 30/09/2019 | 은 SFC Licensing Alert: Annual return is now overdue | View |
| Oustanding Fee Amount: | \$154 420 | 30/09/2019 | 은 SFC Licensing Alert: Annual fee is now overdue | View |
| 36 Outstanding Fees | <u>View</u> | 30/09/2019 | 은 SFC Licensing Confirmation: Idle Bundle removal | View |
| Outstanding Invoice Amount: | \$38,330 | 27/09/2019 | 은 SFC Licensing Consent to the Imposition of Licensing Condition | View |
| 4 Outstanding Invoices | View | 24/09/2019 | 은 SFC Licensing Reminder: Application Fee(s) payable | View |
| | | | | See All |

3) Payment

Outstanding payment, payment record & monthly statements

4) WINGS Mail

A secure two-way communication channel with SFC



Account Registration





Account Registration



Account Registration

• Fill in information to create an account

| Company Information | |
|---------------------------|------------------|
| * Company Name | |
| | |
| * Company E-mail Address | |
| | |
| * Company Contact Number | Hong Kong +852 V |
| Contact Information | |
| + Full Nome in English | |
| * Full Name in English | Sumame |
| * Business E-mail Address | |
| | |
| * Mobile Number | Hong Kong +852 V |
| | |
| Login Information | |
| * Username | |
| | |
| * Password | Ø |
| | |
| * Confirm Password | Ø |

By submitting this form, you agree to our Personal Information Collection Statement.

Create WINGS Advisory Firm Account



Advisory Firm Account — Account Administration

• Once logged in, click "Advisory Firm Administration" on the Dashboard

| SECURITIES AND FUTURES COMMISSION | All Forms Intermediaries V Trading V | Takeovers and Disclosure of mergers interests | y Investment products 中文 () (2) | Change Password WINGS Mobile App Registration |
|---|--|--|--|--|
| 證券及期資事務整察委員會 Advisory Firm Account Admi | inistration | | Advisory Firm 01 (Advisory Firm Account) Let lovie for 21 or 3901(2020 | Sign Out |
| Deshboard Submission Management V II A Advisory Firm Profile & Client Assign Note: This is an administrator account for in have to be done through the advisory firms Advisory Firm Information Desmonwing and | Payment WINGS Mail Information Profile grament Worklist Administratic managing the advisory firm profile only. Subsequent advis ub-account(s). For further information, you can find more advisory. Firm 01 | in Logs ory firm operations on WINGS, including applicat information here. | Advisory Firm Administration | Navigation: Advisory Firm Profile Client Assignment Worklist Administration Logs |
| Company Name Advisory Firm Primary Contact Full Name in English Administrator | Advisory Firm 01 Admin01 Advisory Othersenuet Codesenuet | Username Business E-mail Address | ADVFIRM01 uat_user01@devemail.sfc.hk | Profile information: Advisory Firm Primary Contact Administrator Information |
| rui Name in English | Sunarcomini Stipaccount | Username | P Sub Accounts Update Profile | Functions:Set Up Sub AccountsUpdate Profile |



Advisory Firm Account — Set Up Sub Accounts

• Set Up Sub Accounts

| Advisory Firm Account Ac | dministration | | Advisory Firm 01 (Advisory Firm Account) Last login: 06-12 pm, 29/10/2020 |
|---|---|---|---|
| Dashboard Submission Management 🗸 | Payment WINGS Mail | Information Profile | Advisory Firm Administration |
| A Advisory Firm Profile | Assignment 🛛 Worklist | ③ Administration Logs | |
| Note: This is an administrator account have to be done through the advisory Advisory Firm Information | t for managing the advisory firm prof firm sub-account(s). For further infor Advisory Firm 01 | ile only. Subsequent advisory firm operations on WINGS, including appl mation, you can find more information here. | lication preparation and submission etc., |
| Company warne | Advisory Film of | oseniaine | |
| Advisory Firm Primary Contact Full Name in English | Admin01 Advisory | Business E-mail Address | uat_user01@devemail.sfc.hk |
| Administrator | | | |
| Full Name in English Subaccount Subaccount | | Username | ADVFIRMSUB0101 |
| | | Se | et Up Sub Accounts Update Profile |



Advisory Firm Account — Set Up Sub Accounts (2)

· Maintain the list of sub-accounts and create sub-account

| Advisory Firm Account Administration | on | | (Advisory Firm Account) Last login: 10:47 am, 14/10/2020 |
|--|---|--|---|
| Dashboard Payment WINGS Mail | | | Advisory Firm Administration |
| 유 Advisory Firm Profile 용 Client Assignment | ☑ Worklist ③ Administration Logs | | |
| You can maintain the list of sub-accounts of your firm and g | rant administrator right to specific users here (i.e. administrator right to specific users here (i.e. administ | strator right for managing the advisory file p | rofile.) |
| Responsible Person Name 👙 | Business E-mail Address 👙 | Mobile 😄 Administra | tor Remove |
| | | | |
| | No Data | | |
| | | | |
| Total Count : 0 | | | |
| | | В | ack Arid sub-account |



Advisory Firm Account — Set Up Sub Accounts (3)

• Email invitation for sub-account creation

| Advisory Firm Administration |
|--|
| |
| Administration Logs |
| I with the associated instructions will be sent to the recipients when you click "Submit". |
| 0 |
| z |
| Θ |
| Add Email |
| |
| Back Submit |
| |

• Email notification for sub-account registration

| WINGS advisory firm sub-account registration (WINGS顧問公司子帳戶註冊) | | | | |
|--|---------------|------------------|-----------------|---------|
| | ← REPLY | ← REPLY ALL | ➔ FORWARD | *** |
| WINGS Technical Support <do-not-reply@wings.sfc.hk> Tae 9/22/2020 10:37 AM Inbox</do-not-reply@wings.sfc.hk> | | | Mark | as read |
| To: User32; | | | | |
| Content Connect | | | + Get more | apps |
| Dess Sis Alexan | | | | |
| Dear Sir/Madam, Your firm, Advisory Firm 1, has forwarded you a request to register a WINGS advisory firm sub- the link below. | account. Plea | se register you | r account by cl | icking |
| Dear Sir/Madam, Your firm, Advisory Firm 1, has forwarded you a request to register a WINGS advisory firm sub- the link below. Register Advisory-firm Sub-Account | account. Plea | se register you | r account by cl | icking |
| Dear Sir/Madam, Your firm, Advisory Firm 1, has forwarded you a request to register a WINGS advisory firm sub- the link below. <u>Register Advisory-firm Sub-Account</u> Should you have any questions, please contact us on +852 2207 9333 or via email to <u>TechEngu</u> | account. Plea | se register your | r account by cl | icking |
| Dear Sir/Madam, Your firm, Advisory Firm 1, has forwarded you a request to register a WINGS advisory firm sub- the link below. <u>Register Advisory-firm Sub-Account</u> Should you have any questions, please contact us on +852 2207 9333 or via email to <u>TechEngu</u> Yours faithfully, | account. Plea | se register your | r account by cl | icking |



Advisory Firm Account — Set Up Sub Accounts (4)

• Grant administrator right to specific users

| Advisory Firm Acc | ount Administratio | on | | | | (Advisory Firm Account) Last login: 11:48 am, 14/10/2020 |
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| Dashboard Payment W | INGS Mail | | | | | Advisory Firm Administration |
| A Advisory Firm Profile | 灸 Client Assignment | 🖾 Worklist | O Administration Logs | | | |
| You can maintain the list o | f sub-accounts of your firm and g | rant administrator righ | nt to specific users here (i.e. admin | istrator right for managing the | e advisory file profile.) | |
| Responsible Person Na | ime 💠 | Busin | ess E-mail Address 👙 | Mobile 🌐 | Administrator | Remove |
| | | | | | | |
| | | 100 | | | | |
| Total Count : 2 | | | | | | |
| | | | | | | |
| | | | | | Back | Add sub-account |



Corporate Account — Account Administration

• Once logged in, click "Corporate Administration" on the Dashboard

| Corporate Account Administration - Delegation & Permission (VINGS Corporate Account) Last legin: 03:16 pm, 28/10/2020 | | | | | | | | | | | | |
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| ashboard | Submission Management | 99+ | ~ | Payment | 20 🗸 | WING | S Mail 15 | Information Profi | le | | Corporate | Administration |
| 8 Licens | sees and Authorised Signers | _ | Å (| elegation | ER US | ser Permi | ssion | Delegation Invita | tion (L) | Administration Log | | |
| Œ. | Search | | | | | | | | | | | |
| Na | me ÷ | CE Numbe | r ÷ | Role 👙 | | Ŧ | Administrator | Default Settings | Permission | Last Modified by $\ \ \updownarrow$ | Last Modified Date | \$ |
| | E Marcines | 1000 | C. | Responsi | ible Officer (O | MO) | Yes | | ₽ | Salto Caperan | 01/10/2020 | |
| | Wija Pers, Coarriso | 10.00 | | Responsi | ible Officer | | Yes | | ₿ | Cognoseer Cate | 09/10/2020 | |
| - | Internet and | | | Responsi | ible Officer | | No | | ₿ | Latin Caperan | 29/09/2020 | |
| | Licensed Representative | | No | | ₿ | Charamer Lon | 09/10/2020 | | | | | |
| | W Tour wat | scene | | Licensed | Representati | ive | No | | ₿ | Latin Caperan | 01/10/2020 | |
| | | | | | | | | | | | | |

Menu:

- Licensees and Authorised Signers
- Delegation
- User Permission
- Delegation Invitation
- Administration Log

List of Licensees and Authorised Signers



Corporate Account — Delegation

• Email invitation for delegation

| Cor Set | porate Account Adm tings | ninistration - I | Delegation & Peri | mission | M. | (WINGS Individual Account) Lant login: 04:26 pm, 28/10/2020 |
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| 8 | Licensees and Authorised Signers | R Delegation | E User Permission | Delegation Invitation | Administration Log | |
| | Delegation to : Permission Right * : | Individual | Advisory Firm | | | |
| | Expiry Date: | DD-MM-YYYY Summer | | | ur Nome | |
| | Company Name : | Company name of | delegated person | | | |
| | Email Address * : | abo@xxx.com | | | | |
| | Re-confirm Email * : | abojixxx.com | | | | |
| | | G Add | | | | Send Invitation Email |

• Email notification of delegation request

| e + | | WINGS Delegation Request (WINGS授權請求) |
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| 000000 | EXEAD | WINGS Technical Support edo-not-erply@wings.sfc.No- |
| the loss the loss | the last the last the | a second se |
| 1000 (August | | Carter Carrent + Get nore |
| - Name and Address of the International State | | Dear . |
| | | has sent you a delegation request in relation to the WINGS account of |
| | 1.000 | The delegation will only be effective upon your confirmation. Please click the following link within 30 days to accept the delegation or contact Dx xix for mo |
| 146 | State Contractory | If you do not have a WINGS account yet, please click here to create one. Once created, you can click the following link. |
| - Sector - S | | Contem Delegation |
| | | Should you have any questions, please contact us on +852 2207 9333 or via email to JeckEnguines@wiops.stc.hk |
| | | |
| | | Yours faithfully, |
| | 10.0 | WINGS Technical Support Hotline |
| The second secon | | Securities and Futures Commission |
| Tapat . | 1100 | R佳/安士 |
| | | 内印發送了有關 BJMINGS橫戶授權調末。 |
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| and the second sec | | HOLE H |
| | | 如有任何尋問,影迎放着+852 2207 9333成電影至TechEnguines@wings.sfc.hk與物們助認。 |
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| | | WINGS親上综合服務網站技術支援務總 |
| | Contraction in the second | 造券22期貨車務監察委員會 |
| | protection and the second second | |
| | | "Consider the environment - thris before printing" |
| | | |



Corporate Account — Delegation

• Email invitation for delegation

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| 8 | Licensees and Authorised Signers | A Delegation | Ex User Permission | Delegation Invitation | C Administration Log | | | |
| | You may delegate certain permission right(s) to any person who is not your licensee, FRR authorised signer or executive officer (in the case of registered institution or associated entity). However, you cannot delegate your permission right(s) to an Advisory Firm's sub account user. Delegation to: Image: Delegation to: Image: Delegation to: | | | | | | | |
| | Permission Right * : | ₿ | | | | | | |
| | Expiry Date: | DD-MM-YYYY | ä | | | | | |
| | Name * : | Surname | | First or 0 | ther Name | | | |
| | Company Name : | Company name of delegated person | | | | | | |
| | Email Address * : | abc@xxx.com | | | | | | |
| | Re-confirm Email * : | abc@xxx.com | | | | | | |
| | | ⊖ Add | | | | Send Invitation Email | | |



× DELETE ← REPLY ← REPLY ALL → FORWARD ***

Mark as unread

+ Get more apos

Corporate Account — Delegation

Email notification of delegation request ٠





Corporate Account — Delegation (2)

Corporate Account Administration - Delegation & Permission (WINGS Corporate Account) Last login: 05:21 pm, 28/10/2020 Settings Submission Management V WINGS Mail Information Profile Corporate Administration Dashboard Payment R Licensees and Authorised Signers & Delegation En User Permission Delegation Invitation C Administration Log + Search Last Modified CE Last Modified by 👙 Name 💠 Entity Type 👙 Administrator © Permission Expiry Date © Number Date Individual Yes 8 28/10/2020 11 100.00 N/A No 8 28/10/2020 Individual 11 "Edit" or N/A 28/10/2020 Statement and statements where says Advisory Firm No 8 11 "Remove" Total: 6 < 1 Pending for confirmation from Advisory Firm Company Name 👙 Permission Expiry Date 👙 Email Address 8 / 1 Aug. 100 ₿ 01/10/2021 11 "Edit" or Total: 2 "Remove" < 1 >

List of pending for confirmation from Advisory Firm



Corporate Account — Permission

| Separate Account Administration - Delegation & Per lettings | |
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Corporate Account — Permission

• You can assign or remove WINGS access permission



Step 1

Select User

| | Subm | ission Management 🗸 | Payment | WINGS Mail | Informatio | n Profile | | | | Corpora | ate Administ |
|---------|----------|-----------------------------------|----------------|------------|------------|-----------------|---------------|----------|------------|-------------------|--------------|
| License | es and A | uthorised Signers | Delegation | ER User F | Permission | Delegatio | on Invitation | Administ | ration Log | Online Demo | User User |
| ick | | | | | | | | | | | |
| tch Pe | rmissio | n Configuration | | | | | | | | | |
| Sele | ect User | | | | 2 Select S | Submission Type | (s) | | | Select Permission | and Confin |
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| | Pleas | se select the user for ass | igning the per | mission. | | | | | | | |
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| | | | | | Licensed I | Representative | | | | | |
| | | $(1,1,\dots,n) \in (1,1,\dots,n)$ | | | Responsit | ble Officer | | | | | |
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| | | 10000 | | | Licensed I | Representative | | | - | | |
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Step 2

 Select Submission Types

| etting | s | | | | | | Last login: 10:37 am, 04/1 | 1/202 |
|----------|------------------------------------|-----------------------|--------------------|-------------|-----------------------|----------------------|---------------------------------|--------|
| hboard | Submission Management 🗸 | Payment | WINGS Mail | Information | Profile | | Corporate Administ | tratio |
| R Licens | ees and Authorised Signers | A Delegation | ER User P | ermission | Delegation Invitation | C Administration Log | Donline Demo | Guid |
| Back | l | | | | | | | |
| Batch Pe | ermission Configuration | | | | | | | |
| Sel | lect User | | | 2 Select Su | bmission Type(s) | | 3 Select Permission and Confirm | m |
| | | | | | | | | |
| | Please check the box(es) to select | the permission for | assignment | | | | | |
| | General (for Corporate Level) | | | | | | | |
| | Corporate Administration | | | | v | | | |
| | ✓ WINGS Mail (new design to b | e released soon) | | | | | | |
| | Licensing | | | | | | | |
| | Submission Tracking (new o | design to be released | l soon) | | v | | | |
| | ✓ Payment and Invoices (to be | e released soon) | | | | | | |
| | Pay all Individuals' Payn | nents | | | | | | |
| | Pay Corporate's Paymer | nts | | | | | | |
| | To be Selected as Billing | g CE/Entity* 🧿 | | | | | | |
| | All Individual Licensee's Pro | ofiles ⑦ (display or | nly at this stage) | | v | | | |
| | Profile Maintenance | | | | | | | |
| | Information Profile (display | only at this stage) | | | | | | |
| | Applications | | | | | | | |
| | Licensing (to be released soc | n) | | | | | | |
| | Regulatory Filings | | | | | | | |
| | Annual Returns (to be releas | ed soon) | | | | | | |
| | | - | | | | | | |

Previous

Next

Step 3

Select Permission
 & Confirm

| Corpora Setting | s | istration - | - Delegation & P | ermiss | ION | | | (WINGS Corp Last login: 10:37 a | orate Accour m, 04/11/20 |
|--------------------|--|-------------------|---------------------------------|----------------|----------------|-----------------|--------------------|------------------------------------|-----------------------------|
| Dashboard | Submission Management 🗸 | Payment | WINGS Mail Informati | ion Profile | | | | Corporate Ar | dministratio |
| 8 Licens | ees and Authorised Signers | A Delegation | E User Permission | 🖸 De | elegation Invi | itation (| Administration Log | D Online Demo | User Guid |
| Back | Í. | | | | | | | | |
| Batch Pe | ermission Configuration | | | | | | | | |
| ✓ Se | lect User | | 🐼 Select | Submission | Type(s) | | | Select Permission and G | Confirm |
| 0 | And and an in the second second second | | Ŭ | | | | | | |
| | Select the permission rights for the Permission | e selected submis | sion type(s) and then click 'Co | nfirm' to conf | irm the perm | iission assignm | ent. | | |
| | | | | Enable | Edit | Submit | Sign on Behalf | Get Email Notice | |
| | Corporate Administration | | | | | | | | |
| | WINGS Mail - Licensing | | | | | | | | |
| | Submission Tracking | | | | | | | | |
| | All Individual Licensee's Profiles | | | | | | | | |
| | Licensing | | | | | | | | |
| | The above permission(s) w | vill be assigned | to the following user(s). | | | = CE Num | | | |
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Smart Forms





Application Bundling

A flexible & convenient new way to group related forms for submission

| | sion bundle - Licensing Applications | | | (W Last log | /INGS Indiv in: 05:06 pr | idual Account n, 16/10/2020 |
|---------------------|--|---|-----------------------------|------------------------|-----------------------------|--------------------------------|
| board | Submission Management 997 v Payment 20 v | WINGS Mail 15 Information Profile | | Cor | porate Ac | Iministratior |
| led bur us: Drat | ndle (Last saved on 16/10/2020 17:10:29) ft | Bundle ID: LBAA173887 | | | Submit | |
| Import rporation | ant: If you are submitting on behalf of a corporation, please ensure you hans. | we the permission right to submit. SFC may return the | submission should it contai | n Applications fr | om unrela | ited × |
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| of entiti bundle | ies in 1 Add Select forms from our list or upload them from your loca drive. | ⇒ Validate Run our filters to double check your application. | Sign the forms yourse mail. | elf or share to releva | ant parties | via E- |
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No need to exchange form keys



Group related forms for easy submission & validation



Regulatory filings can also be grouped into a bundle



e-Signing

Name

Signature





Date

Submission Tracking



| Sub | mission Tra | acking | | JC/ | N | | | | (Advisory Firm Account Last login: 03:11 pm, 01/11/2020 |
|--------|----------------------------------|-----------------|-----------------------|----------------|---------------|------------------------------|-------------------------|----------------|--|
| Dashbo | ard Submissio | n Management | 1 99 1 V I | Payment 👔 🗸 | WINGS Mail 15 | Information Profile | | | Advisory Firm Administration |
| Show s | submissions of : | All | | | | | | | |
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| | | | | | | | | - Collapse All | + Expand All |
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| | 12/08/20 | 20 | | 10001011 | A | Profile Ma No. of Notifie | aintenance ations: 1 | Submitted | ÷ |
| | 12/08/20 | 20 | | - | A | Profile Ma No. of Notifie | aintenance ations: 1 | Submitted | Ł |
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Preparing an Application Bundle

| Submission Bundle - Licensing Application | IS | (WINGS Individual Account) Last login: 05:06 pm, 16/10/2020 |
|---|---|---|
| | | |
| Dashboard Submission Management 99+ V Payment 20 V | WINGS Mail 15 Information Profile | Corporate Administration |
| untitled bundle (Last saved on 16/10/2020 17:10:29) Status: Draft | Bundle ID: LBAA173887 | Submit |
| Important: If you are submitting on behalf of a corporation, please ensure corporations. | you have the permission right to submit. SFC may return the | submission should it contain Applications from unrelated $\qquad 	imes$ |
| 🗅 New Bundle 🖄 Share Bundle 💿 View Bundle Summa | ary 🕹 Download Bundle | ⑦ Help |
| No. of entities in the bundle 1 Select forms from our list or upload them from y drive. | ≕y Validate Run our filters to double check your application. | Sign the forms yourself or share to relevant parties via E- mail. |
| O Please note you may only submit related application(s). | | Edit Group |
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Preparing an Application Bundle

• Form Bundling

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Step 1

• Add – Select Form(s)

| Submission Bundle | - Licensing Applications | (WINGS Individual Acco Last login: 11:35 am, 22/10/2 |
|---|--|---|
| ashboard Submission Manage | ment 🗸 Payment WINGS Mail Information Profile | |
| < Back to Bundle | | |
| Add Upload form | (s) <u>Select blank form(s)</u> Add from my draft(s) | ⑦ Hel |
| Please select one (or more) of the V Licensing Forms | following application form for submission | |
| 1 - Application for Licence - N | New Licensed Corporation | < 🙂 |
| | y Licensed Corporation | |
| 3 - Application for New Regis | | |
| A - Post-registration Applicat | | |

3 - Application for New Registration

4 - Post-registration Application for Registered Institution

5 - New Licence Application for Responsible Officer or Licensed Representative

6 - Post-licence Application for Responsible Officer or Licensed Representative

7 - New Substantial Shareholder Application

8 - Notification by Substantial Shareholder

9 - Notification by Associated Entity

10 - Officer for Signing Financial Resources Returns

 Supplements

1 - Information on Corporation

Open

v

Step 2

• Upload Form(s)

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| 1 | Downloads | | 💿 Form 5 - Individual 01 | 16/10/2020 11:17 | Chrome HTML Do | | 16 KB | | |
| > 7 | Favourites | | Form5 - Individual 02 | 15/10/2020 05:21 | Chrome HTML Do | | 16 KB | | |

| File <u>n</u> ame: | ~ | HTML Document | ~ |
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Submission Bundle - Licensing Applications

Step 3

• Upload Form(s)

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| Ð | Add | Upload form(s) | Select blank form(s) | Add fro | om my draft(s) | ⑦ Help |

(WINGS Individual Account)

You can add form(s) to your Draft by selecting the required form(s) from our list with the above tab "Select Form(s)" or uploading form(s) from your local drive with the tab "Upload Form(s)"

| Upload Form(s) | |
|---|--|
| * 1 file(s) has/have been uploaded | |
| ⇔ Upload File | |
| | |
| Form5 - Individual 01.html Completed 16.02 KB | |
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System Walkthrough Step 4

 Add Form from the draft

| Submis | sion Bundle - Licer | nsing Applicati | ons | (WINGS Individual Account) Last login: 06:01 pm, 22/10/2020 |
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| Dashboard | Submission Management 🗸 | Payment WINGS | Mail Information Profile | |
| < Back to | Bundle | | | |
| 😐 Ado | Upload form(s) | Select blank form(s) | Add from my draft(s) | ⑦ Help |

You can add form(s) to your Draft by selecting the required form(s) from our list with the above tab "Select Form(s)" or uploading form(s) from your local drive with the tab "Upload Form(s)"

| Add From Draft | | | |
|----------------|---|----------------------|---------------------------------|
| | | | Show Latest Form Only |
| Type 🌲 | File Name 💠 | Last Modified Date 🜲 | Signed? Add form from the draft |
| Form 5 | Form 5 | 22/10/2020 12:19:50 | × 🧧 |
| Form 5 | Form 5 | 22/10/2020 12:04:23 | × 😐 |
| Form 5 | FORM_52020102211475824920201022114758316.json | 22/10/2020 11:47:58 | × |
| Form 5 | Testing esinging | 20/10/2020 10:57:59 | × 😐 |
| Form 5 | Test form | 20/10/2020 09:04:40 | × |
| Supplement 1 | Untitled Form | 09/10/2020 18:01:14 | × 😐 |
| Supplement 1 | Untitled Form | 09/10/2020 15:57:57 | × |
| Form 5 | FORM_52020100915502618720201009155026278.json | 09/10/2020 15:50:27 | × |
| Form 5 | FORM_52020100915502493220201009155025123.json | 09/10/2020 15:50:25 | × |
| Form 5 | FORM_52020100914050754820201009140508495.json | 09/10/2020 14:05:09 | × |



Preparing an Application Bundle (2)

• Bundle Validation

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| Run our filt | ers to dout | le check your application. | | | ≂, Validate Bundle |
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| | Group | Form type and file name | Entity | Last Action | |
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Preparing an Application Bundle (3)

• e-Signing Forms

| Step 1 | Submission Bundle - Loomsing Applications | a alla | | | | | |
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Route forms for signature

Step 2

| | | | | | | C Refresh | - Collapse All + Expand A |
|-------|------------------------------|---|--|---------------------------|----------|-------------------------------------|-----------------------------|
| × Fo | m: | Form ${\rm 5}$ - New licence application for Responsible Officer or Licensed Representative | Entity: | | | Number of outstanding signature(s): | 6 |
| Sig | nature Tracking | | | | | | |
| 1 | Entity | Signer | Section | | Progress | Action | |
| | | - | Applicant's Declaration | | Pending | | |
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| | | : | Declaration of corporation respect of the Application | n/licensed corporation in | Pending | | |
| Pleas | e enter the following in | ormation for sending the signing request to the recipient. An email will be sen | it out upon clicking the Send. | | | | Send |
| s | igner Name ⊘: Signer Name | | | Email address : | | | |
| | | | | Confirm email address : | | | |
| | Form | | | Section | | | |

100.000

Declaration of corporation/licensed corporation in respect of the Application

distance in succession.

Pending

System Walkthrough Step 3

| ase enter the following information for sending the | signing request to the recipient. | . An email will be sent out upon clic | king the Send. Send |
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| Signer Name @: | | | Email address: |
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| | | | Confirm email address: |
| | | | Brought gamman dr. 10 |
| Form | | | Section |
| Form 5 - Individual 01 | | | Applicant's Declaration |
| For data protection, a system-generated verification Please select the preferred channel: Mobile number | n code will be sent separately to t | Recipient mobile : Hong Kong +852 | ✓ |
| Nobile number | | | |
| | | Hong Kong +852 | × |
| Remark : | | | |
| | | | |
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| C Remove Signer | | | |
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Preparing an Application Bundle (4)

• Signature Tracking

| | | | | | C Refresh - Collapse All + Expand All |
|-----------|---------------------|--------|---|----------|---|
| Form: | Form 5 - Individual | 101 | Entity: | | Number of outstanding signature(s): 6 |
| × | .F5 | _2 | | | |
| Signature | e Tracking | | | | |
| Entity | | Signer | Section | Progress | Action |
| | | ē. | Applicant's Declaration | Pending | Send Reminder |
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| | | | Declaration of corporation/licensed | Pending | Send Reminder |
| | | | corporation in respect of the Application | | < Cancel Routing |
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| | | | corporation in respect of the Application | | ≪ Cancel Routing |
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e-Signing

• How to sign?

Step 1

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| | E-Signing Record |
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| System Walkthrough Step 1 | SECURITIES AND FUTURES COMMISSION 證券及期貨事務監察委員會 | All Forms | Intermediaries V | Trading \vee | Takeovers and mergers | Disclosure of interests | v | Investment products | ₽ 文 () |
|---------------------------|--|-----------|------------------|----------------|-----------------------|----------------------------|---|------------------------|---|
| | Signing Page | | D. | R | I.I | M | | Last | (WINGS Individual Account) login: 10:58 am, 05/11/2020 |
| | Dashboard Submission Management V | Payment | WINGS Mail Infor | mation Profile | | | | | |

Form(s) to be signed:

① You are being requested to sign the following form(s). You are required to view the content of the form before signing.

| | | | | | C Refresh |
|------------------------|--------|--------------------------|--------|-----------------|-----------|
| Form | Entity | Section(s) for signature | | | |
| Form 5 - Individual 01 | | Applicant's Declaration | 🖉 Sign | Oecline to Sign | |
| Form 5 - Individual 02 | | Vetting Authorisation | 🖉 Sign | Oecline to Sign | |

Step 2

Form 5 - New licence application for Responsible Officer or Licensed Representative (Demo Preview) Specified under section 402 of the Securities and Futures Ordinance ("Ordinance") (Cap 571)

Print Print
 Attach
 Background
 Background

| ⑦ Help | | Licensing Handbook |
|--------|--|--------------------|
|--------|--|--------------------|

| Applicant's Declaration |
|--|
| |
| |
| Name of Individual: |
| |
| |
| Declare that all the information provided in this application form and any associated documentation is complete, true and correct. |
| |
| Understand that providing false or misleading information in support of this application is an offence under sections 383 and/or 384 of the Ordinance. |
| |
| Understand that the Securities and Futures Commission may take criminal and/or disciplinary action against a person who has made a false or misleading representation in, or in support of, |
| this application. |
| |
| Understand that if any information contained in this application, or any associated documentation changes prior to the Securities and Futures Commission making a decision in respect of this |
| application, I should notify the commission in writing immediately of the changes. |
| |
| Contirm that I have read and understood the attached Personal information Collection Statement. |
| |
| Consent to the Securities and Futures Commission using any personal information I have provided in this application, or any associated documentation, and any personal information I may provide in the future, for the purposes described in the Personal Information Collection Statement. |

- Understand that the Securities and Futures Commission may take criminal and/or disciplinary action against a person who has made a false or misleading representation in, or in support of, this application.
- Understand that if any information contained in this application, or any associated documentation changes prior to the Securities and Futures Commission making a decision in respect of this
 application, I should notify the Commission in writing immediately of the changes.
- . Confirm that I have read and understood the attached Personal Information Collection Statement.
- Consent to the Securities and Futures Commission using any personal information I have provided in this application, or any associated documentation, and any personal information I may
 provide in the future, for the purposes described in the Personal Information Collection Statement.
- . Understand that the Securities and Futures Commission may make such enquiries and seek such further information as it thinks appropriate.
- Declare that the Board of Directors has passed a board resolution appointing me as the corporation's:

Principal as defined under the Sponsor Guidelines.

Director and responsible officer to supervise the regulated activities for which I will be responsible (where the applicant is a director).

Responsible officer and granting me sufficient authority to supervise the regulated activities for which I will be responsible (where the applicant is not a director).

Please type your name in the "Signature" box. By typing in the name, I agree that this will be an electronic representation of my signature for all purpose and it will be legally binding just the same as a pen-and-paper signature.



Previous

* means mandatory field

Step 3

- Understand that the Securities and Futures Commission may take criminal and/or disciplinary action against a person who has made a false or misleading representation in, or in support of, this application.
- Understand that if any information contained in this application, or any associated documentation changes prior to the Securities and Futures Commission making a decision in respect of this
 application, I should notify the Commission in writing immediately of the changes.
- · Confirm that I have read and understood the attached Personal Information Collection Statement.

2020-11-0

Date

- Consent to the Securities and Futures Commission using any personal information I have provided in this application, or any associated documentation, and any personal information I may provide in the future, for the purposes described in the Provent Reference Collection Collection Collection
- Understand that the Securities and Futures Commission
- Declare that the Board of Directors has passed a board

Principal as defined under the sponsor Guidel r

Director and responsible officer to supervise th

Responsible officer and granting me sufficient a

Please type your name in the "Signature" binding just the same as a pen-and-paper signature.



Previous

Signature

* means mandatory field

Step 4

E-Signing Record

| ents(s) | |
|-------------------------------|--|
| SGAA179686 | |
| Form 5 - Individual 01 | |
| Form 5 - Individual 01 | .pdf |
| DE828A6333DF94102F58C0F37D9ED | EA496FB7429F4E47E7156DD99FD4EC1CEBC |
| | Signed: Thu Oct 22 15:30:26 HKT 202 |
| Signed section: | |
| Declaration | |
| | |
| | |
| | ents(s) SGAA179686 Form 5 - Individual 01 Form 5 - Individual 01 DE828A6333DF94102F58C0F37D9ED Signed section: Declaration |





e-Signing (2)

• Sign for and on behalf of

| (To be signed by two directors* or person authorised by the board of directors of the corporation applying for licence.) | | | | | | | | |
|---|------------------------------|------------|--|--|--|--|--|--|
| For and on behalf of : | Copy from the form | | | | | | | |
| Name of the corpor | ation applying for a licence | | | | | | | |
| Please type your name as appeared in your HKID/ Passort in the "Signature" box below. By typing in the name, I agree that this will be an electronic representation of my signature for all purposes and it will be legally binding just the same as a pen-and-paper signature. | | | | | | | | |
| Please select whether you are: | | | | | | | | |
| Director | | | | | | | | |
| Person authorisaed by the board of directors | | | | | | | | |
| 100.000 | ittaa Taribaa | 07/09/2020 | | | | | | |
| Name | Signature | Date | | | | | | |
| Please select whether you are: | | | | | | | | |
| Director | | | | | | | | |
| O Person authorisaed by the board of directors | | | | | | | | |
| Change Star Weight | i thong the integ | 08/09/2020 | | | | | | |
| Name | Signature | Date | | | | | | |
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| | | Back Next | | | | | | |





• Vetting Authorization





| WINGS Mail COMING SOON! | | | | SFC 證監會 |
|---|--|--------------------|-----------------------------|--------------------------------|
| A secure two-way communication channel | Create WINGS I landing page and bundle | Mail in d | Auto-fo persona email | rwarding to al and office |
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| + Search | | | | |
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| Subject | From | Туре | Date | Time |
| Information Requisition (Ref ID: SFC1234567) | Ті | Application | 28/8/2019 | 14:33 |
| Acknowledgement: Settlement of Invoice (Ref ID: SFC1234567) | SFC LIC | Payment | 26/8/2019 | 17:00 |



*e-Payment will be available on the WINGS Mobile App

WINGS Mobile



It is an app which supports the following core functions on a mobile device.

COMING SOON!





Chapter 3

What's Next

Access WINGS 2.0 after roll-out in Dec 2020



• Professional advisory firms

- Create Advisory Firm Account
- Create Advisory Firm Sub-accounts

 Existing self-registered portal account users (non-licensees) • Access your WINGS account with your existing portal login name and password



Chapter 4

Q&A Session

Enquiry Hotline & Email

For technical assistance on WINGS 2.0, please contact us as follow:





Thank you

Fore more information, please visit: www.sfc.hk