



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

Introduction to

WINGS 2.0

A common platform for SFC electronic forms
and submission services

Licensing, Intermediaries

Agenda

1
Background

2
WINGS 2.0

3
What's Next

4
Q&A Session



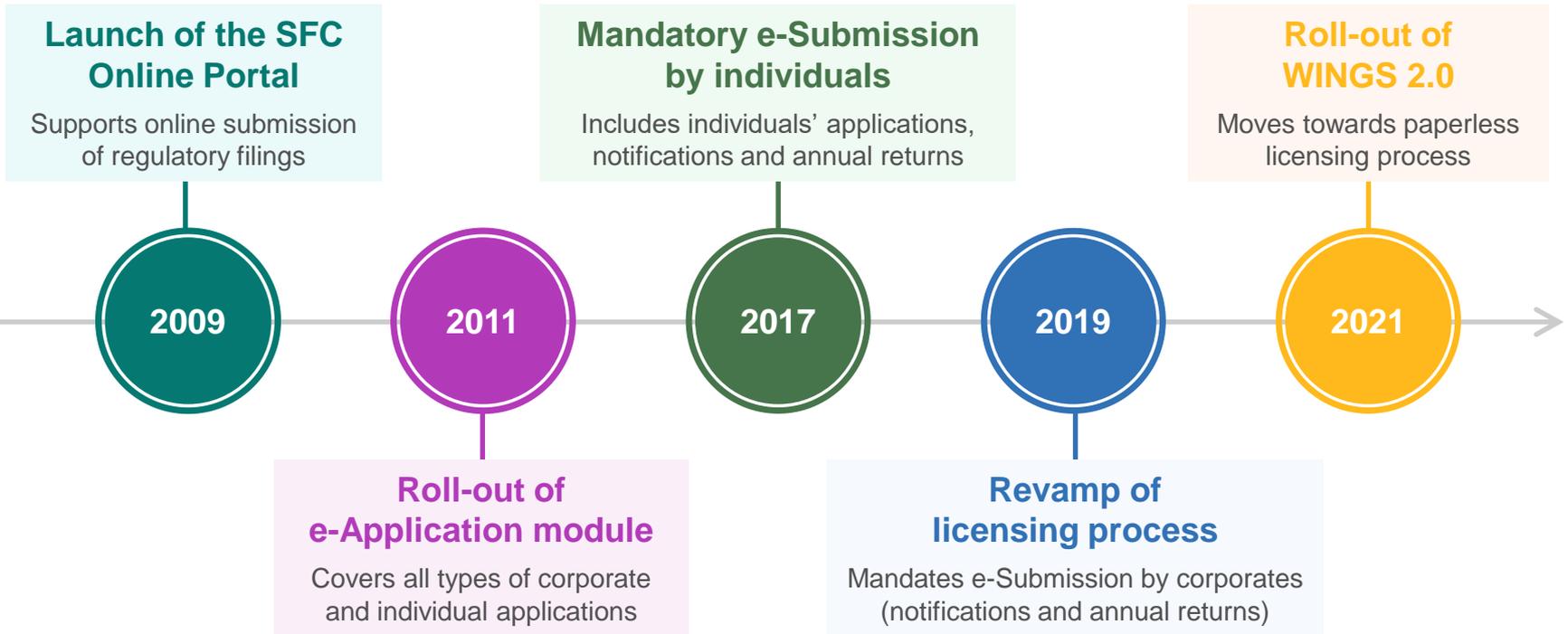


Chapter 1

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



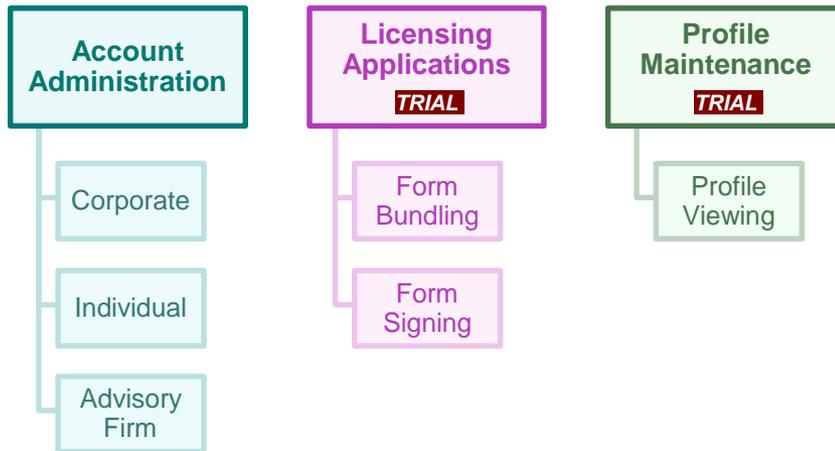
More Digitalised Functions

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

Licensing-related Functions on WINGS 2.0



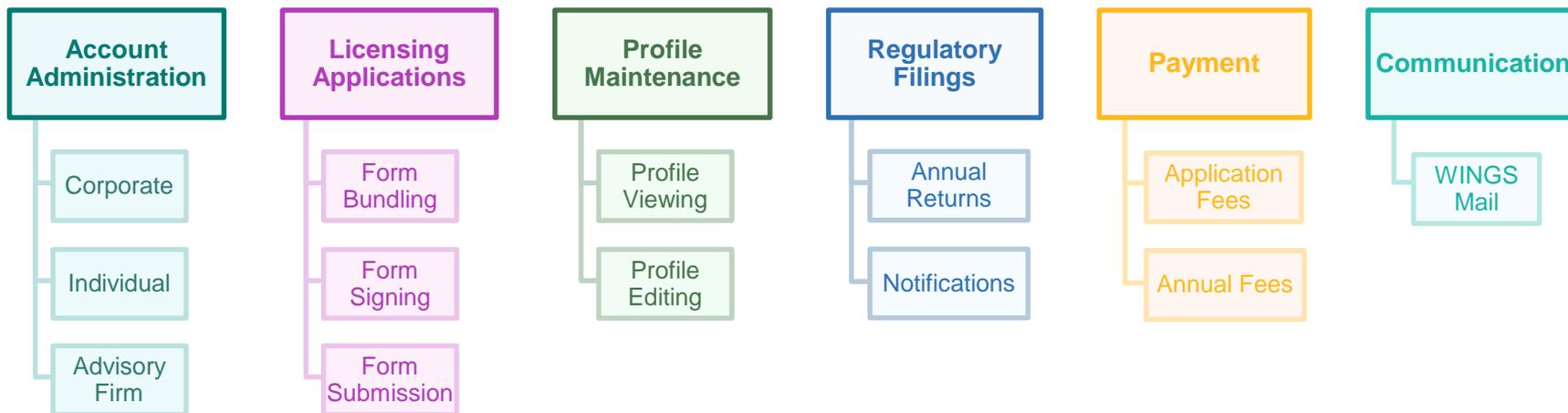
Available in Dec 2020[^]



[^] 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

Full launch in 2021*



* 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

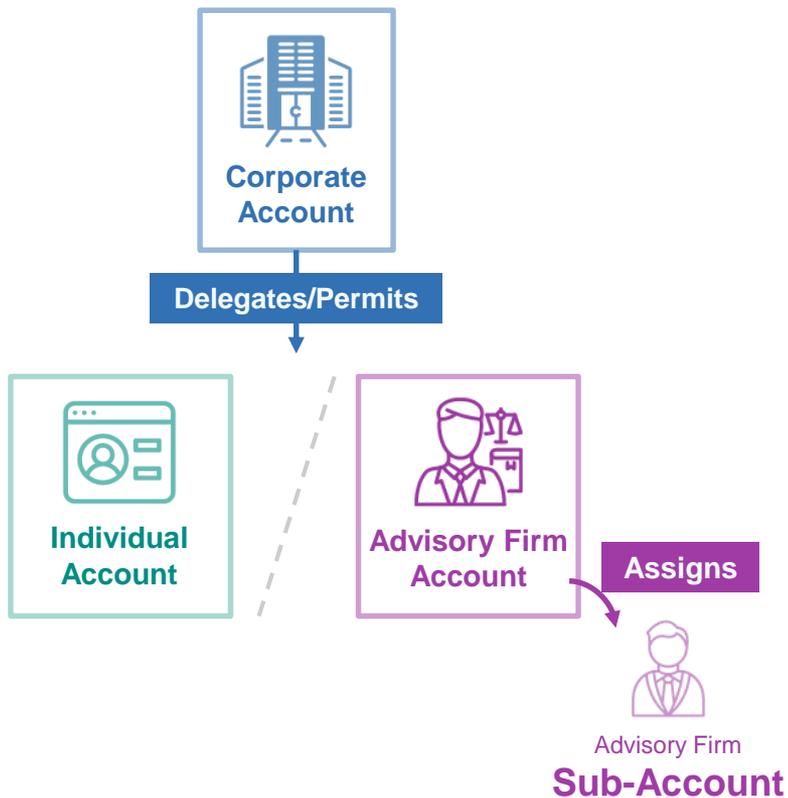
- Self-registered account for managing client's SFC submission
- Administrator for managing delegation & its related submission from Corporation



Advisory Firm Sub-Account

- 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



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

1) Important Alerts & reminders for submissions

The screenshot displays the WINGS Dashboard interface. At the top, there is an 'Important' section with a red notification bell icon and a '5' badge. It contains four alert cards, each with a red border and a 'GO' button: 'Reminder: Application Fee(s) Payable', 'Alert: Annual Fee is now overdue', 'Alert: Annual Return is now overdue', and 'Consent to the Imposition of Licensing Condition'. Below this is the 'Submission Management' section, which includes 'New Submission' and 'Submission Tracking' tabs. The 'New Submission' section has four cards: 'You can submit the following applications:' (Licensing application, Start applying), 'You can submit notifications for the following:' (Information Profile Updates, Submit notifications), 'You can perform the following regulatory reporting:' (Annual Return, Submit reports), and 'You can fill the following surveys & questionnaires:' (Business and risk management questionnaires, Start filing). The 'Submission Tracking' section shows a 'Draft' tab and a list of submission items with 'View' and 'Submitted' buttons.

2) Submission Management
For applications, profile maintenance & regulatory filings and submission tracking

WINGS Dashboard (2)

 **Payment** 40

Total Outstanding Amount: **\$192,750**
40 Outstanding Fees

Outstanding Fee Amount: **\$154,420**
36 Outstanding Fees [View](#)

Outstanding Invoice Amount: **\$38,330**
4 Outstanding Invoices [View](#)

 **WINGS Mail** 30

30/09/2019	 SFC Licensing Alert: Annual return is now overdue	View
30/09/2019	 SFC Licensing Alert: Annual fee is now overdue	View
30/09/2019	 SFC Licensing Confirmation: Idle Bundle removal	View
27/09/2019	 SFC Licensing Consent to the Imposition of Licensing Condition	View
24/09/2019	 SFC Licensing Reminder: Application Fee(s) payable	View

[See All](#)

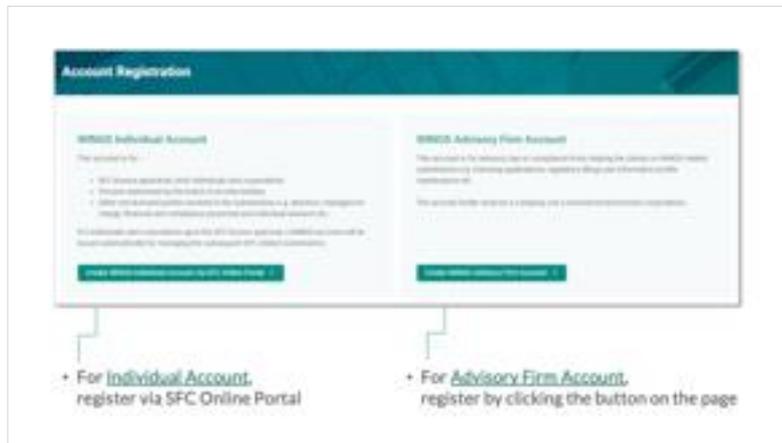
3) Payment

Outstanding payment, payment record & monthly statements

4) WINGS Mail

A secure two-way communication channel with SFC

Account Registration

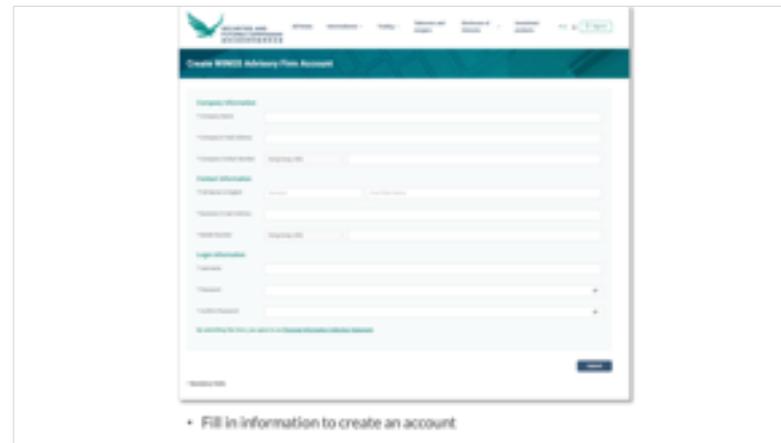


The screenshot shows the 'Account Registration' page with two main sections:

- WFOC Individual Account**
 - The account is for:
 - All types of individual and individual non-resident
 - Single and multiple investors in the securities and futures markets
 - Other types of investors in the securities and futures markets
 - Single and multiple investors in the securities and futures markets
 - Other types of investors in the securities and futures markets
- WFOC Advisory Firm Account**
 - The account is for:
 - All types of individual and individual non-resident
 - Single and multiple investors in the securities and futures markets
 - Other types of investors in the securities and futures markets
 - Single and multiple investors in the securities and futures markets
 - Other types of investors in the securities and futures markets

Below each section is a button labeled 'Create WFOC Individual/Advisory Firm Account'. Below the screenshot, there are two bullet points:

- For **Individual Account**, register via SFC Online Portal
- For **Advisory Firm Account**, register by clicking the button on the page



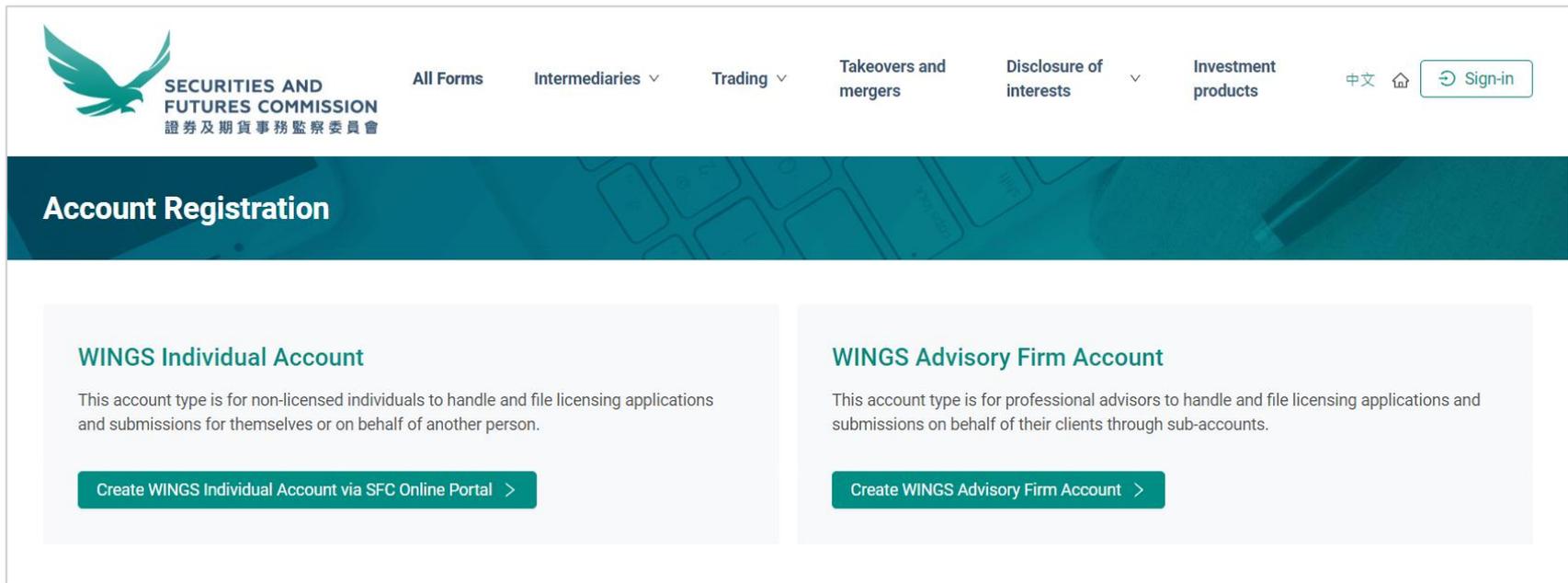
The screenshot shows the 'Create WFOC Advisory Firm Account' registration form. It includes the following fields:

- Company Information:** Company Name, Company Number, Company Type, Company Address, Company Telephone, Company Fax, Company Email.
- Resident Information:** Resident Name, Resident Address, Resident Telephone, Resident Fax, Resident Email.
- Signer Information:** Signer Name, Signer Address, Signer Telephone, Signer Fax, Signer Email.

At the bottom of the form, there is a 'Create Account' button. Below the screenshot, there is a bullet point:

- Fill in information to create an account

Account Registration



The screenshot shows the SFC website's account registration page. At the top left is the SFC logo and name in English and Chinese. A navigation menu includes 'All Forms', 'Intermediaries', 'Trading', 'Takeovers and mergers', 'Disclosure of interests', and 'Investment products'. There are also links for '中文' and 'Home', and a 'Sign-in' button. Below the navigation is a dark teal banner with the text 'Account Registration'. The main content area is divided into two columns. The left column is titled 'WINGS Individual Account' and describes it as for non-licensed individuals. It includes a button 'Create WINGS Individual Account via SFC Online Portal >'. The right column is titled 'WINGS Advisory Firm Account' and describes it as for professional advisors. It includes a button 'Create WINGS Advisory Firm Account >'. Two callout lines point from the bottom of the screenshot to the explanatory text below.

- For **Individual Account**, register via SFC Online Portal

- For **Advisory Firm Account**, register by clicking the button on the page

Account Registration

- Fill in information to create an account

Create WINGS Advisory Firm Account

Company Information

* Company Name

* Company E-mail Address

* Company Contact Number

Hong Kong +852



Contact Information

* Full Name in English

Surname

First/Other Name

* Business E-mail Address

* Mobile Number

Hong Kong +852



Login Information

* Username

* Password



* Confirm Password

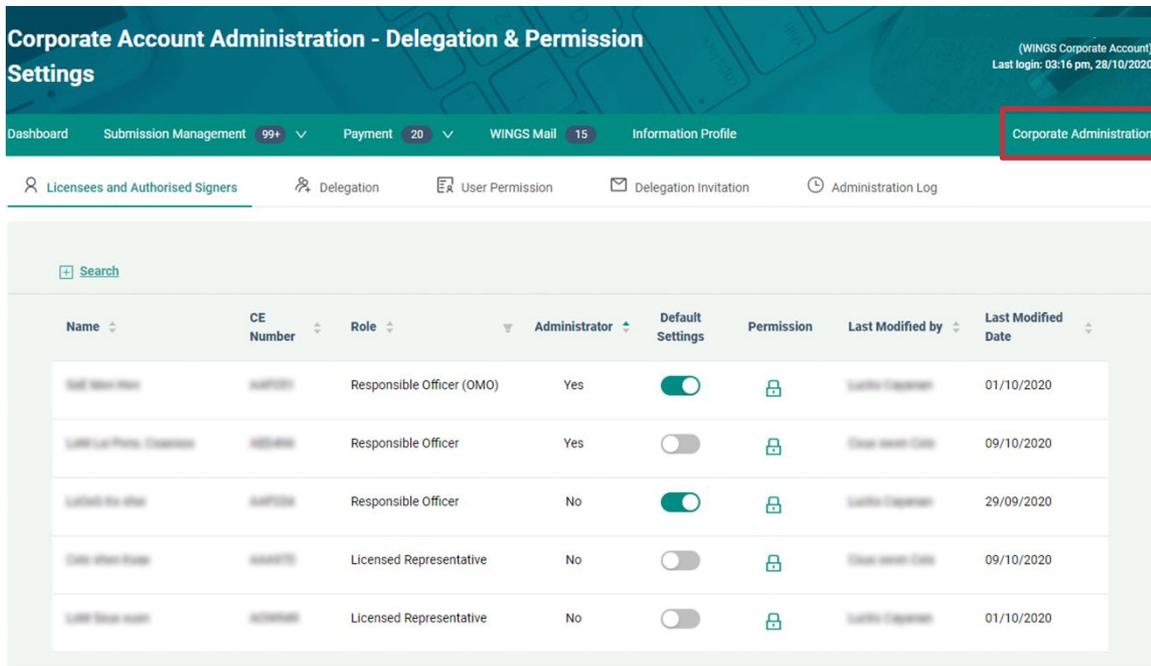


By submitting this form, you agree to our [Personal Information Collection Statement](#).

Submit

Corporate Account — Account Administration

- Once logged in, click “Corporate Administration” on the Dashboard



Corporate Account Administration - Delegation & Permission Settings

(WINGS Corporate Account)
Last login: 03:16 pm, 28/10/2020

Dashboard Submission Management 99+ Payment 20 WINGS Mail 15 Information Profile Corporate Administration

Licensees and Authorised Signers Delegation User Permission Delegation Invitation Administration Log

Search

Name	CE Number	Role	Administrator	Default Settings	Permission	Last Modified by	Last Modified Date
Full Name Here	444444	Responsible Officer (OMO)	Yes	<input checked="" type="checkbox"/>		Full Name Here	01/10/2020
Full Name Here	444444	Responsible Officer	Yes	<input type="checkbox"/>		Full Name Here	09/10/2020
Full Name Here	444444	Responsible Officer	No	<input checked="" type="checkbox"/>		Full Name Here	29/09/2020
Full Name Here	444444	Licensed Representative	No	<input type="checkbox"/>		Full Name Here	09/10/2020
Full Name Here	444444	Licensed Representative	No	<input type="checkbox"/>		Full Name Here	01/10/2020

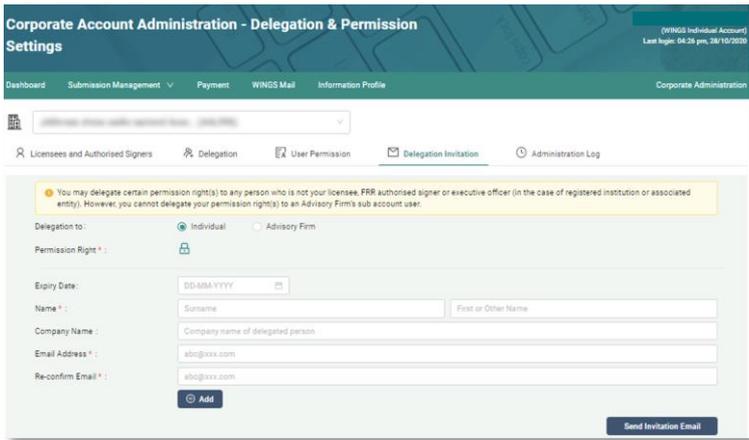
Menu:

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

List of Licensees and Authorised Signers

Corporate Account — Delegation

- Email invitation for delegation



Corporate Account Administration - Delegation & Permission Settings

(WINGS Individual Account)
Last login: 04:20 pm, 28/10/2020

Dashboard Submission Management Payment WINGS Mail Information Profile Corporate Administration

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

You may delegate certain permission right(s) to any person who is not your licensee, FRR authorized 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: Individual Advisory Firm

Permission Right * :

Expiry Date:

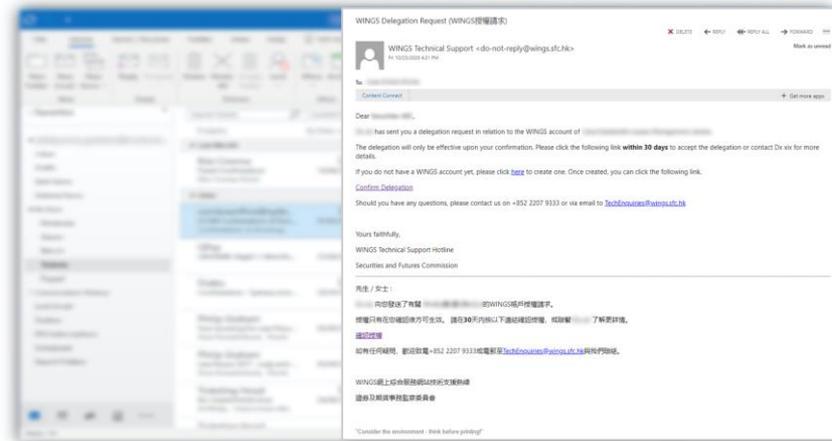
Name * :

Company Name :

Email Address * :

Re-confirm Email * :

- Email notification of delegation request



Corporate Account — Delegation

- Email invitation for delegation

Corporate Account Administration - Delegation & Permission Settings

(WINGS Individual Account)
Last login: 04:26 pm, 28/10/2020

Dashboard Submission Management Payment WINGS Mail Information Profile Corporate Administration

Licensee: [Dropdown]

Licensees and Authorised Signers Delegation User Permission Delegation Invitation 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: Individual Advisory Firm

Permission Right * : 

Expiry Date: DD-MM-YYYY 

Name * : Surname First or Other Name

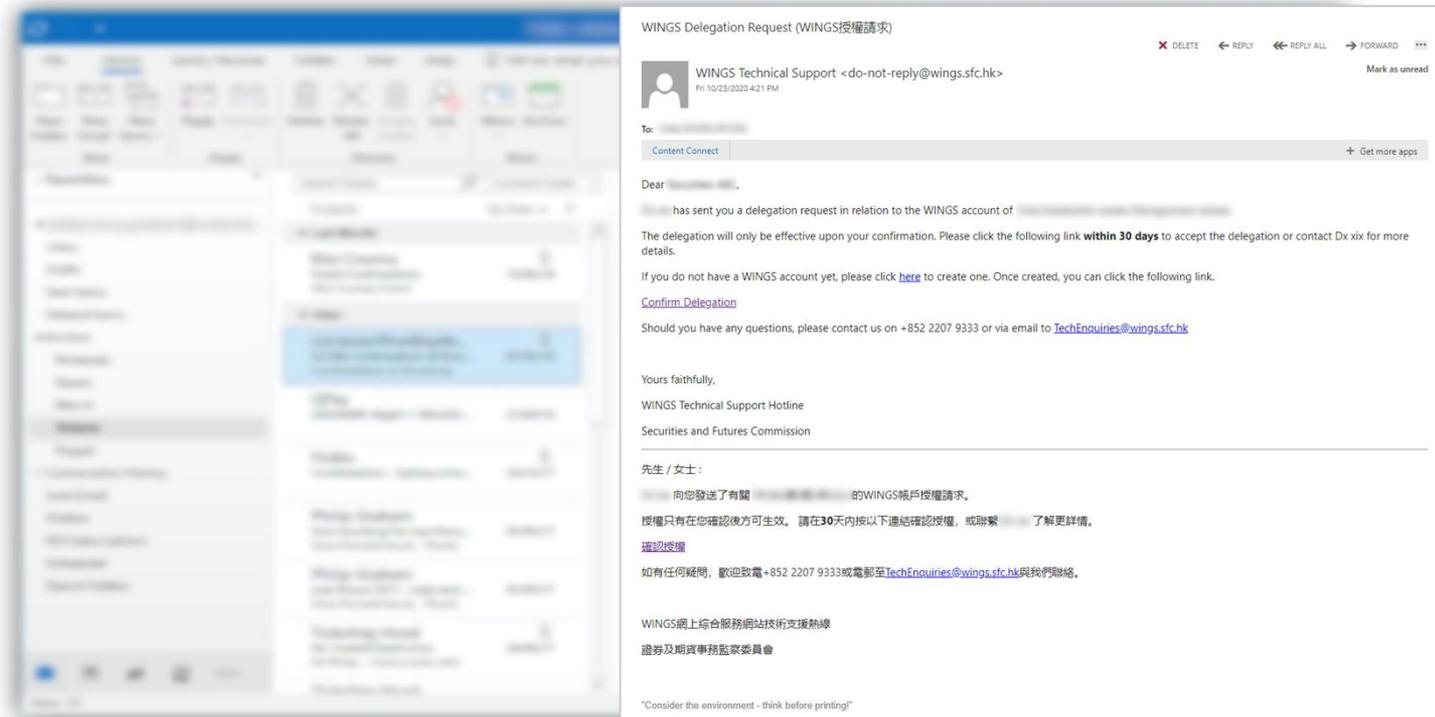
Company Name : Company name of delegated person

Email Address * : abc@xxx.com

Re-confirm Email * : abc@xxx.com

Corporate Account — Delegation

- Email notification of delegation request



Corporate Account — Delegation (2)

Corporate Account Administration - Delegation & Permission Settings

(WINGS Corporate Account)
Last login: 06:21 pm, 28/10/2020

Dashboard Submission Management Payment WINGS Mail Information Profile Corporate Administration

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

Search

Name	CE Number	Entity Type	Administrator	Permission	Expiry Date	Last Modified by	Last Modified Date
WINGS	WINGS	Individual	Yes	🔒			28/10/2020
WINGS	N/A	Individual	No	🔒			28/10/2020
WINGS	N/A	Advisory Firm	No	🔒			28/10/2020

Total: 6

Pending for confirmation from Advisory Firm

Company Name	Permission	Expiry Date	Email Address
WINGS	🔒		WINGS@wings.com.hk
WINGS	🔒	01/10/2021	WINGS@wings.com.hk

Total: 2

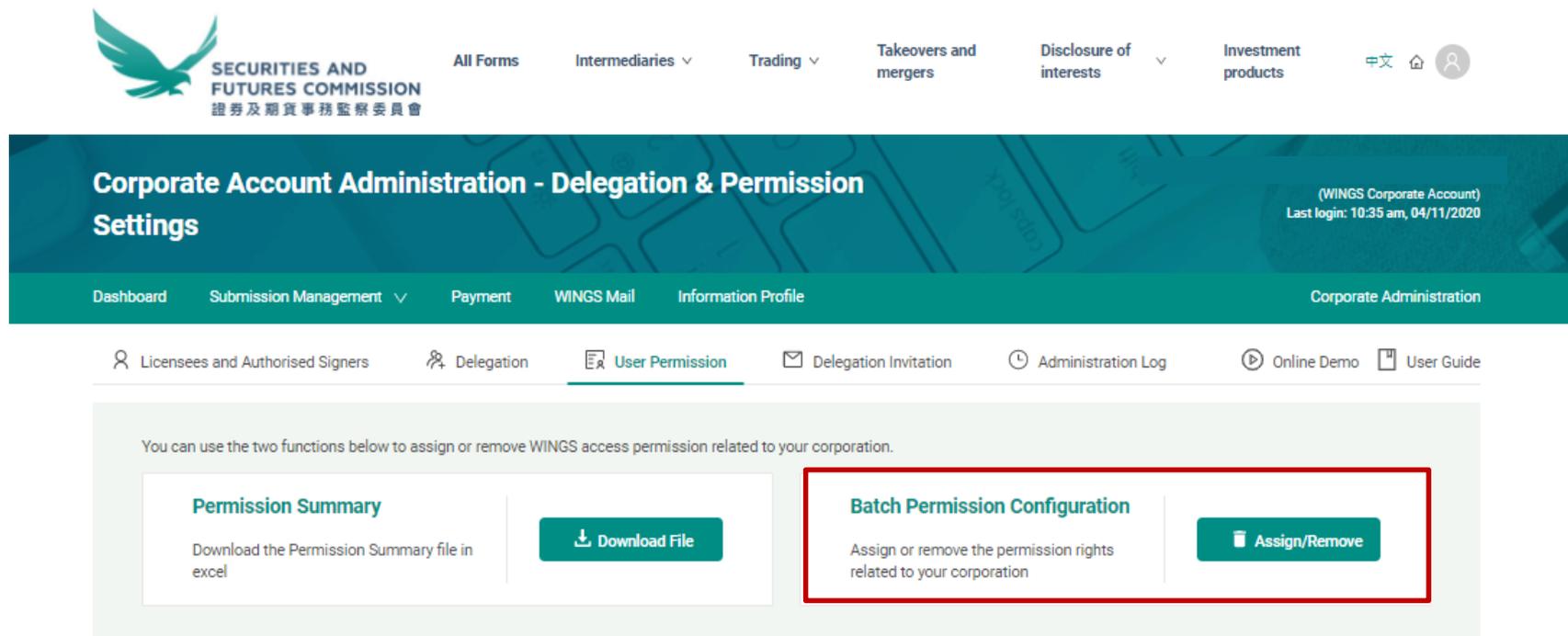
List of pending for confirmation from Advisory Firm

“Edit” or “Remove”

“Edit” or “Remove”

Corporate Account — Permission

- You can assign or remove WINGS access permission



The screenshot displays the WINGS Corporate Account Administration interface. At the top, the Securities and Futures Commission (SFC) logo and name are visible, along with navigation links for 'All Forms', 'Intermediaries', 'Trading', 'Takeovers and mergers', 'Disclosure of interests', and 'Investment products'. The main header area is titled 'Corporate Account Administration - Delegation & Permission Settings' and includes a user profile icon and the text '(WINGS Corporate Account) Last login: 10:35 am, 04/11/2020'. Below the header, a navigation bar contains links for 'Dashboard', 'Submission Management', 'Payment', 'WINGS Mail', 'Information Profile', and 'Corporate Administration'. The 'User Permission' section is highlighted, showing a list of navigation items: 'Licensees and Authorised Signers', 'Delegation', 'User Permission', 'Delegation Invitation', 'Administration Log', 'Online Demo', and 'User Guide'. The main content area contains two panels: 'Permission Summary' with a 'Download File' button, and 'Batch Permission Configuration' with an 'Assign/Remove' button. The 'Batch Permission Configuration' panel is highlighted with a red border.

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證券及期貨事務監察委員會

All Forms Intermediaries Trading Takeovers and mergers Disclosure of interests Investment products 中文 中文 中文

Corporate Account Administration - Delegation & Permission Settings

(WINGS Corporate Account)
Last login: 10:35 am, 04/11/2020

Dashboard Submission Management Payment WINGS Mail Information Profile Corporate Administration

Licensees and Authorised Signers Delegation **User Permission** Delegation Invitation Administration Log Online Demo User Guide

You can use the two functions below to assign or remove WINGS access permission related to your corporation.

Permission Summary

Download the Permission Summary file in excel

Download File

Batch Permission Configuration

Assign or remove the permission rights related to your corporation

Assign/Remove

Step 1

- Select User

Corporate Account Administration - Delegation & Permission Settings

(WINGS Corporate Account)
Last login: 10:37 am, 04/11/2020

Dashboard Submission Management ▼ Payment WINGS Mail Information Profile Corporate Administration

🔍 Licenses and Authorised Signers 🔄 Delegation 📄 **User Permission** 📧 Delegation Invitation ⌚ Administration Log 🌐 Online Demo 📖 User Guide

[Back](#)

Batch Permission Configuration

1 Select User ————— 2 Select Submission Type(s) ————— 3 Select Permission and Confirm

Please select the user for assigning the permission.

<input type="checkbox"/>	Name ↕	Role ↕	CE Number ↕
<input checked="" type="checkbox"/>	[Redacted]	Licensed Representative	[Redacted]
<input checked="" type="checkbox"/>	[Redacted]	Licensed Representative	[Redacted]
<input checked="" type="checkbox"/>	[Redacted]	Responsible Officer	[Redacted]
<input type="checkbox"/>	[Redacted]	Licensed Representative	[Redacted]
<input type="checkbox"/>	[Redacted]	Responsible Officer	[Redacted]
<input type="checkbox"/>	[Redacted]	Licensed Representative	[Redacted]
<input type="checkbox"/>	[Redacted]	Licensed Representative	[Redacted]
<input type="checkbox"/>	[Redacted]	Licensed Representative	[Redacted]
<input type="checkbox"/>	[Redacted]	Licensed Representative	[Redacted]
<input type="checkbox"/>	[Redacted]	Licensed Representative	[Redacted]
<input type="checkbox"/>	[Redacted]	Licensed Representative	[Redacted]

Total: 30

< 1 2 3 >

[Next](#)

Step 2

- Select Submission Types

Back

Batch Permission Configuration

1 Select User 2 **Select Submission Type(s)** 3 Select Permission and Confirm

Please check the box(es) to select the permission for assignment

General (for Corporate Level)	<input type="checkbox"/>
Corporate Administration	<input checked="" type="checkbox"/>
WINGS Mail (new design to be released soon)	
Licensing	<input checked="" type="checkbox"/>
Submission Tracking (new design to be released soon)	<input checked="" type="checkbox"/>
Payment and Invoices (to be released soon)	
Pay all Individuals' Payments	<input type="checkbox"/>
Pay Corporate's Payments	<input type="checkbox"/>
To be Selected as Billing CE/Entity* 🔗	<input type="checkbox"/>
All Individual Licensee's Profiles 🔗 (display only at this stage)	<input checked="" type="checkbox"/>
Profile Maintenance	<input type="checkbox"/>
Information Profile (display only at this stage)	<input type="checkbox"/>
Applications	<input checked="" type="checkbox"/>
Licensing (to be released soon)	<input checked="" type="checkbox"/>
Regulatory Filings	<input type="checkbox"/>
Annual Returns (to be released soon)	<input type="checkbox"/>

For those submission services not listed in the permission list above, please refer to the [Submission Rights Requirements](#) page for more details.

Previous

Next

Step 3

- Select Permission & Confirm

Corporate Account Administration - Delegation & Permission Settings

(WINGS Corporate Account)
Last login: 10:37 am, 04/11/2020

Dashboard Submission Management Payment WINGS Mail Information Profile Corporate Administration

Licensees and Authorised Signers Delegation **User Permission** Delegation Invitation Administration Log Online Demo User Guide

[Back](#)

Batch Permission Configuration

Select User
 Select Submission Type(s)
 3 Select Permission and Confirm

Select the permission rights for the selected submission type(s) and then click 'Confirm' to confirm the permission assignment.

Permission	Enable	Edit	Submit	Sign on Behalf	Get Email Notice
Corporate Administration	<input type="checkbox"/>				
WINGS Mail - Licensing	<input type="checkbox"/>				
Submission Tracking	<input type="checkbox"/>				
All Individual Licensee's Profiles	<input type="checkbox"/>				
Licensing	<input type="checkbox"/>				

The above permission(s) will be assigned to the following user(s).

Name	Role	CE Number	
Chen Hing Kee (CE#)	Responsible Officer	AKC047	<input type="checkbox"/>
Ho Hing Daku	Licensed Representative	BRAC29	<input type="checkbox"/>
Reo Hui Daku	Licensed Representative	AKC176	<input type="checkbox"/>

< 1 >

[Previous](#) [Confirm](#)

Smart Forms



Faster performance



Dynamic form showing what you need to fill



Auto-saving after login



Form filling & editing without login



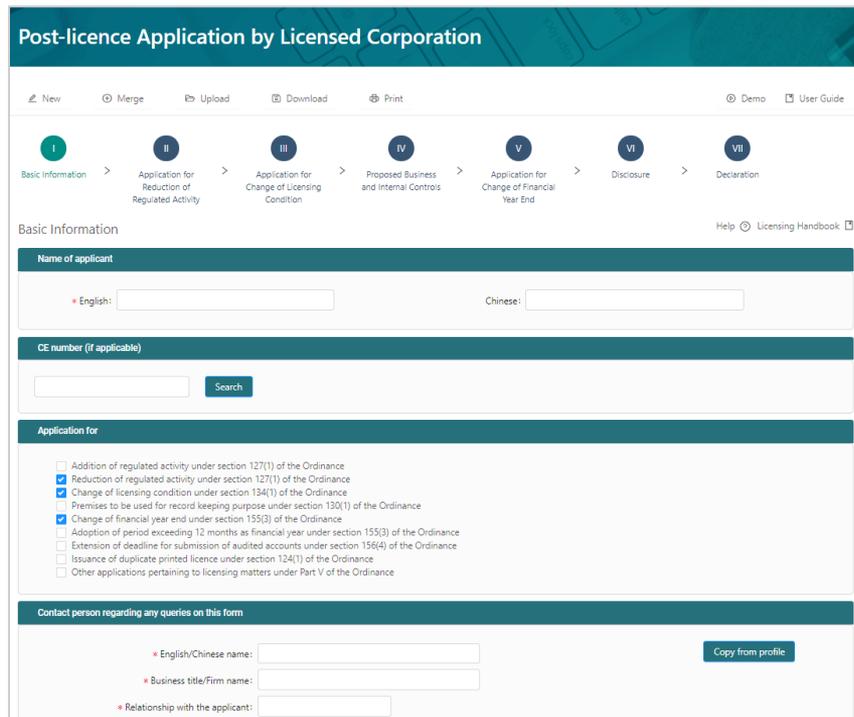
Support co-inputs to forms



Cross-form auto-validations



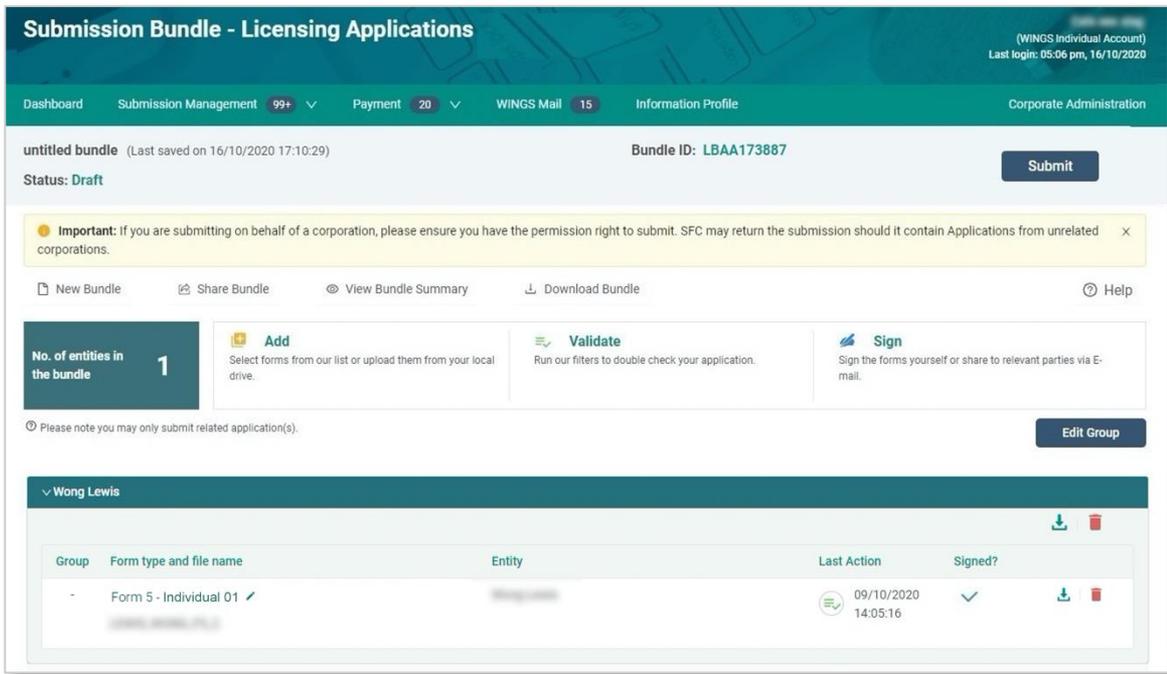
Content largely same as current forms



The screenshot displays the 'Post-licence Application by Licensed Corporation' interface. At the top, there is a navigation bar with options: New, Merge, Upload, Download, Print, Demo, and User Guide. Below this is a progress indicator with seven steps: I. Basic Information, II. Application for Reduction of Regulated Activity, III. Application for Change of Licensing Condition, IV. Proposed Business and Internal Controls, V. Application for Change of Financial Year End, VI. Disclosure, and VII. Declaration. The 'Basic Information' section is currently active and contains the following fields: 'Name of applicant' with sub-fields for 'English' and 'Chinese', and 'OE number (if applicable)' with a 'Search' button. The 'Application for' section features a list of checkboxes for various application types, including 'Reduction of regulated activity under section 127(1) of the Ordinance', 'Change of licensing condition under section 134(1) of the Ordinance', 'Premises to be used for record keeping purpose under section 130(1) of the Ordinance', 'Change of financial year end under section 155(3) of the Ordinance', 'Adoption of period exceeding 12 months as financial year under section 155(3) of the Ordinance', 'Extension of deadline for submission of audited accounts under section 156(4) of the Ordinance', 'Issuance of duplicate printed licence under section 124(1) of the Ordinance', and 'Other applications pertaining to licensing matters under Part V of the Ordinance'. The 'Contact person regarding any queries on this form' section includes fields for 'English/Chinese name', 'Business title/Firm name', and 'Relationship with the applicant', along with a 'Copy from profile' button.

Application Bundling

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



The screenshot shows the 'Submission Bundle - Licensing Applications' interface. At the top, it displays the user's account information: '(WINGS Individual Account) Last login: 05:06 pm, 16/10/2020'. The navigation bar includes 'Dashboard', 'Submission Management' (with a '99+' indicator), 'Payment' (with a '20' indicator), 'WINGS Mail' (with a '15' indicator), 'Information Profile', and 'Corporate Administration'. The main content area shows a bundle titled 'untitled bundle' (last saved on 16/10/2020 17:10:29) with a 'Bundle ID: LBAA173887' and a 'Submit' button. A yellow warning box states: 'Important: If you are submitting on behalf of a corporation, please ensure you have the permission right to submit. SFC may return the submission should it contain Applications from unrelated corporations.' Below this, there are buttons for 'New Bundle', 'Share Bundle', 'View Bundle Summary', 'Download Bundle', and 'Help'. A summary card shows 'No. of entities in the bundle' as '1'. There are three main action buttons: 'Add' (Select forms from our list or upload them from your local drive), 'Validate' (Run our filters to double check your application), and 'Sign' (Sign the forms yourself or share to relevant parties via E-mail). A note at the bottom says 'Please note you may only submit related application(s)' with an 'Edit Group' button. A table below shows a bundle named 'Wong Lewis' with one entry: 'Form 5 - Individual 01' for the entity 'Wong Lewis', with a last action of '09/10/2020 14:05:16' and a 'Signed?' status of 'Yes'.

Group	Form type and file name	Entity	Last Action	Signed?
-	Form 5 - Individual 01	Wong Lewis	09/10/2020 14:05:16	✓



No need to exchange form keys



Group related forms for easy submission & validation



Regulatory filings can also be grouped into a bundle

e-Signing

1

Users can e-sign applications with or without a WINGS account

2

WINGS 2.0 supports multiple signers

3

e-Signing will be available on WINGS Mobile App

4

System generates e-Signing record

Please type your name as appeared in your HKID/ Passport 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 authorised by the board of directors

[Name input field]

[Signature input field]

07/09/2020



Name

Signature

Date

E-Signing Record

Signed file(s) / document(s)	
Reference No:	SCAA179086
Form:	Form 5 - Individual 01
File Name:	Form 5 - Individual 01.pdf
File Signature:	026364330F9410F56CF370B2CAAB8F4029E4F718028F04E21C28C
Signer:	Signed: Thu Oct 22 16:30:28 HKT 2020
Signed section:	Declaration

Submission Tracking

Submission Tracking (Advisory Firm Account) Last login: 03:11 pm, 01/11/2020

Dashboard Submission Management 99+ Payment 20 WINGS Mail 15 Information Profile Advisory Firm Administration

Show submissions of : All

The following is/are the record(s) of your past submission(s).

Search

- Collapse All | + Expand All

Date of Submission	Submitted By	Reference ID	Entity	Submission Type	Status	Action
12/08/2020	[blurred]	[blurred]	[blurred]	Profile Maintenance No. of Notifications: 1	Submitted	
12/08/2020	[blurred]	[blurred]	[blurred]	Profile Maintenance No. of Notifications: 1	Submitted	
21/07/2020	[blurred]	[blurred]	[blurred]	Profile Maintenance No. of Notifications: 1	Submitted	
21/07/2020	[blurred]	[blurred]	[blurred]	Profile Maintenance	Submitted	
21/07/2020	[blurred]	[blurred]	[blurred]	Profile Maintenance	Submitted	

Preparing an Application Bundle

Submission Bundle - Licensing Applications

(WINGS Individual Account)
Last login: 05:06 pm, 16/10/2020

Dashboard Submission Management **99+** Payment **20** WINGS Mail **15** Information Profile Corporate Administration

untitled bundle (Last saved on 16/10/2020 17:10:29) Bundle ID: LBAA173887 [Submit](#)

Status: Draft

Important: If you are submitting on behalf of a corporation, please ensure you have the permission right to submit. SFC may return the submission should it contain Applications from unrelated corporations. [x](#)

[New Bundle](#) [Share Bundle](#) [View Bundle Summary](#) [Download Bundle](#) [Help](#)

No. of entities in the bundle 1

Add
Select forms from our list or upload them from your local drive.

Validate
Run our filters to double check your application.

Sign
Sign the forms yourself or share to relevant parties via E-mail.

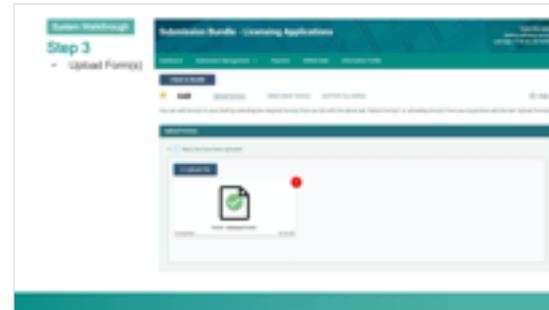
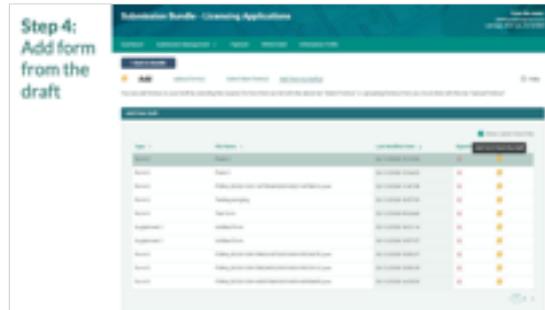
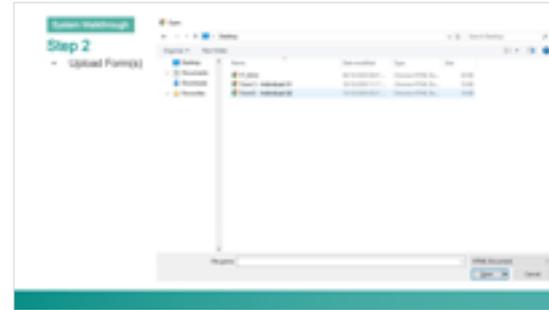
[Please note you may only submit related application\(s\).](#) [Edit Group](#)

▼ Wong Lewis

Group	Form type and file name	Entity	Last Action	Signed?
-	Form 5 - Individual 01 ✎	Wong Lewis	09/10/2020 14:05:16 ⌵	✓ ⌵ 🗑

Preparing an Application Bundle

- Form Bundling



Step 1

- Add – Select Form(s)

Submission Bundle - Licensing Applications

(WINGS Individual Account)
Last login: 11:35 am, 22/10/2020

Dashboard Submission Management ▼ Payment WINGS Mail Information Profile

[< Back to Bundle](#)

 **Add** [Upload form\(s\)](#) [Select blank form\(s\)](#) [Add from my draft\(s\)](#)

 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)"

Select Form(s)

Please select one (or more) of the following application form for submission

▼ Licensing Forms

1 - Application for Licence - New Licensed Corporation 

2 - Post-licence Application by Licensed Corporation

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 and Application by Associated Entity

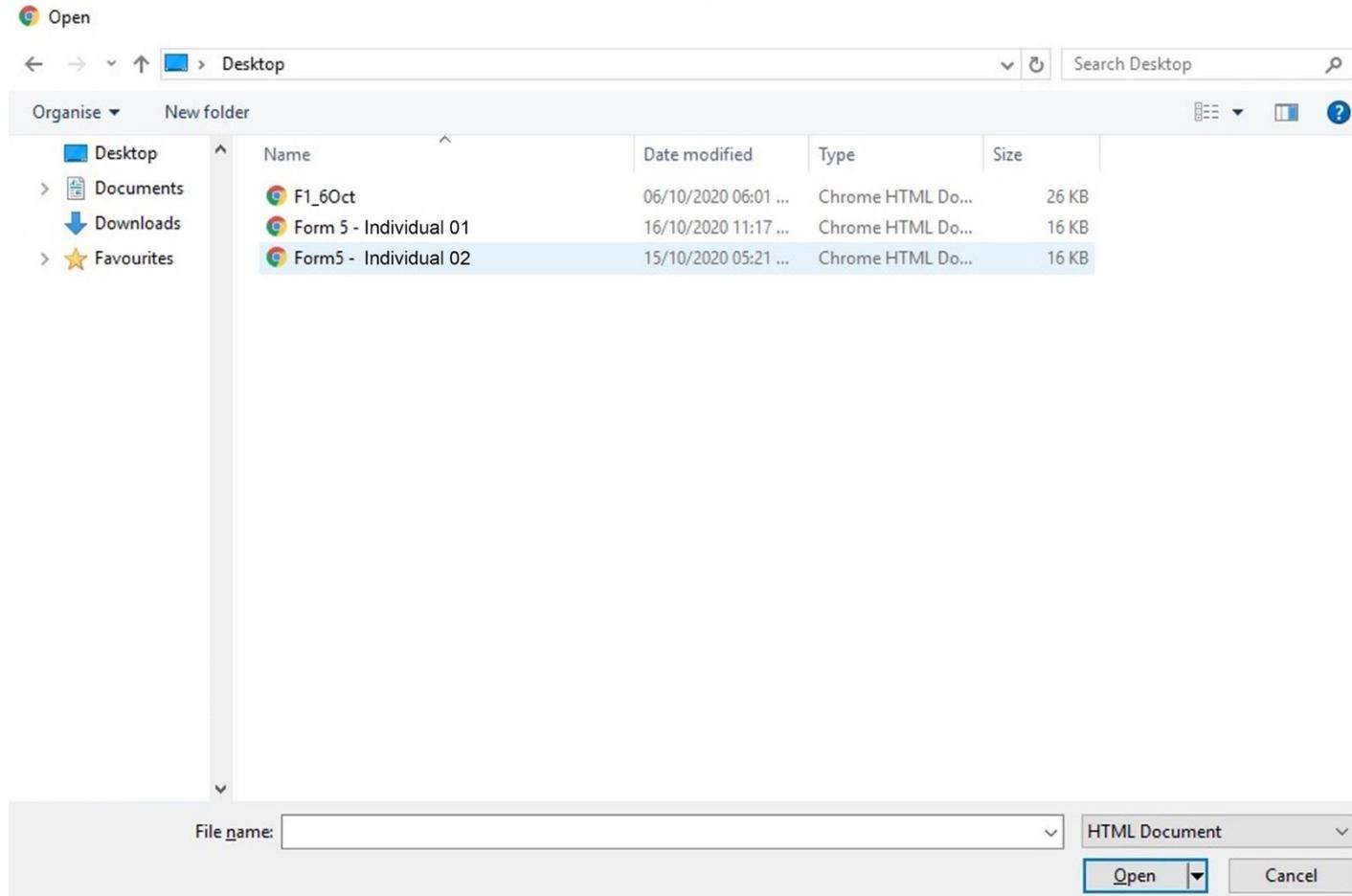
10 - Officer for Signing Financial Resources Returns

▼ Supplements

1 - Information on Corporation 

Step 2

- Upload Form(s)



Step 3

- Upload Form(s)

Submission Bundle - Licensing Applications

(WINGS Individual Account)
Last login: 11:35 am, 22/10/2020

Dashboard Submission Management ▾ Payment WINGS Mail Information Profile

< Back to Bundle

Add [Upload form\(s\)](#) [Select blank form\(s\)](#) [Add from my draft\(s\)](#) [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)"

Upload Form(s)

* 1 file(s) has/have been uploaded

[Upload File](#)



Form5 - Individual 01.html

Completed 16.02 KB

Step 4

- Add Form from the draft

Submission Bundle - Licensing Applications

(WINGS Individual Account)
Last login: 06:01 pm, 22/10/2020

Dashboard Submission Management ▼ Payment WINGS Mail Information Profile

[< Back to Bundle](#)

 **Add** [Upload form\(s\)](#) [Select blank form\(s\)](#) [Add from my draft\(s\)](#)

 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	
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	✗	

Add form from the draft

Preparing an Application Bundle (2)

- Bundle Validation

Validate Help

Run our filters to double check your application.

Validate Bundle

Group	Form type and file name	Entity	Last Action
-	Form 5 - Individual 01 	Entity	 22/10/2020 11:40:46  Validate
-	Form 5 - Individual 02 	Entity	 22/10/2020 11:40:46  Validate

Preparing an Application Bundle (3)

- e-Signing Forms

Step 1

Submission Bundle - Licensing Applications

Click the menu
SFC (Licensing) Account
Last login: 05/07/2016 10:12:00

Dashboard Submission Management Payment SFC Account Information Profile

Back to Bundle

Sign

You are being requested to sign and endorse the following application form(s). You are required to take the content of the application form before signing.

Multiple forms can be marked for re-signing at a time

Mark forms for re-signing Cancel

Forms to be signed

Group	Form type and the name	Status	Last Action	Signoff
Group 1 - Form 1 - Form 1 - License Application for Representative Office of Licensed Representative of FUND, INVEST, PLP	Group 1 - Form 1 - Form 1 - License Application for Representative Office of Licensed Representative of FUND, INVEST, PLP	Ready	05/07/2016 10:05:10	X Sign
Group 2 - Form 2 - Form 2 - License Application for Representative Office of Licensed Representative of AEC, INVEST, FI &	Group 2 - Form 2 - Form 2 - License Application for Representative Office of Licensed Representative of AEC, INVEST, FI &	Ready	05/07/2016 14:05:16	X Sign

Step 2

Form 1 - Form 1 - License Application for Representative Office of Licensed Representative of FUND, INVEST, PLP

Field	Value
Form Name	Form 1 - Form 1 - License Application for Representative Office of Licensed Representative of FUND, INVEST, PLP
Form ID	1
Form Version	1.0
Form Type	Form 1 - Form 1 - License Application for Representative Office of Licensed Representative of FUND, INVEST, PLP
Form Status	Ready
Form Last Action	05/07/2016 10:05:10
Form Signoff	X

Form 2 - Form 2 - License Application for Representative Office of Licensed Representative of AEC, INVEST, FI &

Field	Value
Form Name	Form 2 - Form 2 - License Application for Representative Office of Licensed Representative of AEC, INVEST, FI &
Form ID	2
Form Version	1.0
Form Type	Form 2 - Form 2 - License Application for Representative Office of Licensed Representative of AEC, INVEST, FI &
Form Status	Ready
Form Last Action	05/07/2016 14:05:16
Form Signoff	X

Step 3

Form 1 - Form 1 - License Application for Representative Office of Licensed Representative of FUND, INVEST, PLP

Field	Value
Form Name	Form 1 - Form 1 - License Application for Representative Office of Licensed Representative of FUND, INVEST, PLP
Form ID	1
Form Version	1.0
Form Type	Form 1 - Form 1 - License Application for Representative Office of Licensed Representative of FUND, INVEST, PLP
Form Status	Ready
Form Last Action	05/07/2016 10:05:10
Form Signoff	X

Form 2 - Form 2 - License Application for Representative Office of Licensed Representative of AEC, INVEST, FI &

Field	Value
Form Name	Form 2 - Form 2 - License Application for Representative Office of Licensed Representative of AEC, INVEST, FI &
Form ID	2
Form Version	1.0
Form Type	Form 2 - Form 2 - License Application for Representative Office of Licensed Representative of AEC, INVEST, FI &
Form Status	Ready
Form Last Action	05/07/2016 14:05:16
Form Signoff	X

Step 1

Submission Bundle - Licensing Applications

(WINGS Individual Account)
Last login: 03:39 pm, 22/10/2020

Dashboard Submission Management ▼ Payment WINGS Mail Information Profile

[< Back to Bundle](#)



Sign

[Help](#)

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



Multiple forms can be routed to the recipient(s) at a time.

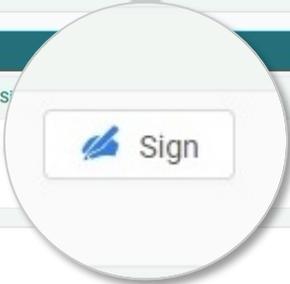
[Route forms for signature](#)

[Cancel](#)

Form(s) to be Signed: **2**

<input checked="" type="checkbox"/>	Group	Form type and file name	Entity	Last Action	Signed?	
<input checked="" type="checkbox"/>	-	Form 5 - Individual 01	WINGS	09/10/2020 14:05:16		Sign

<input type="checkbox"/>	Group	Form type and file name	Entity	Last Action	Signed?	
<input type="checkbox"/>	-	Form 5 - Individual 02	WINGS	09/10/2020 14:05:16		Sign



Step 2

Route forms for signature Refresh | - Collapse All | + Expand All

Form: Form 5 - New licence application for Responsible Officer or Licensed Representative Entity: [Redacted] Number of outstanding signature(s): 6

Signature Tracking

Entity	Signer	Section	Progress	Action
[Redacted]	-	Applicant's Declaration	Pending	
[Redacted]	-	Vetting Authorisation	Pending	
[Redacted]	-	Witness	Pending	
[Redacted]	-	Declaration of corporation/licensed corporation in respect of the Application	Pending	
[Redacted]	-	Declaration of corporation/licensed corporation in respect of the Application	Pending	
[Redacted]	-	Declaration of corporation/licensed corporation in respect of the Application	Pending	

Please enter the following information for sending the signing request to the recipient. An email will be sent out upon clicking the Send. Send

Signer Name ⊙:

Email address:

Confirm email address:

Form	Section
------	---------

Step 3

Declaration of corporation/licensed corporation in respect of the Application Pending

Please enter the following information for sending the signing request to the recipient. An email will be sent out upon clicking the Send. **Send**

Signer Name :

Email address:

Confirm email address:

Form	Section
Form 5 - Individual 01	Applicant's Declaration 

For data protection, a system-generated verification code will be sent separately to the recipients for the form access.

Please select the preferred channel:

Recipient mobile:

Confirm recipient mobile:

Remark:

Remove Signer

Preparing an Application Bundle (4)

- Signature Tracking

Refresh | - Collapse All | + Expand All

Form: Form 5 - Individual D1 Entity: [Redacted] Number of outstanding signature(s): 6

F5_2

Signature Tracking

Entity	Signer	Section	Progress	Action
[Redacted]	-	Applicant's Declaration • Routed to: [Redacted]	Pending	Send Reminder Cancel Routing
[Redacted]	-	Vetting Authorisation • Routed to: [Redacted]	Pending	Send Reminder
[Redacted]	-	Witness	Pending	
[Redacted]	-	Declaration of corporation/licensed corporation in respect of the Application • Routed to: [Redacted]	Pending	Send Reminder Cancel Routing
[Redacted]	-	Declaration of corporation/licensed corporation in respect of the Application • Routed to: [Redacted]	Pending	Send Reminder Cancel Routing

e-Signing

- How to sign?



Step 1



Signing Page

(WINGS Individual Account)
Last login: 10:58 am, 05/11/2020

Dashboard

Submission Management ▾

Payment

WINGS Mail

Information 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.

Refresh

Form	Entity	Section(s) for signature		
Form 5 - Individual 01	[REDACTED]	Applicant's Declaration	<input type="button" value="Sign"/>	<input type="button" value="Decline to Sign"/>
Form 5 - Individual 02	[REDACTED]	Vetting Authorisation	<input type="button" value="Sign"/>	<input type="button" value="Decline 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

Attach

I

Basic Information

II

Background

III

Educational and
Industry
Qualifications

IV

Proposed Duties and
Industry Experience

V

Disclosure

VI

Attachment

VII

Declaration

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.
- **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 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 **Thomas Wilson** 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.

<input type="text" value="Thomas Wilson"/>	<input type="text" value="2020-11-07"/>
Signature	Date

Previous

Sign

* 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.
 - **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 use my personal information for the purposes described in the Personal Information Collection Statement.
 - **Declare** that the Board of Directors has passed a board resolution in support of my application, and I am authorised to sign this application on behalf of the company.
 - Principal as defined under the Sponsor Guidelines
 - Director and responsible officer to supervise the company
 - Responsible officer and granting me sufficient authority to sign on behalf of the company (if the applicant is not a director)
- Please type your name "David Wilson" in the "Signature" field, which will be binding just the same as a pen-and-paper signature.

Signature Date



Successfully signed

The form has been signed successfully. You are recommended to download signing record by clicking **Download signing record** button below.

* means mandatory field

Step 4

E-Signing Record

Signed files(s) / documents(s)

Reference No:	SGAA179686
Form:	Form 5 - Individual 01
File Name 1:	Form 5 - Individual 01.pdf
File Signature:	DE828A6333DF94102F58C0F37D9EDEA496FB7429F4E47E7156DD99FD4EC1CEBC

Signer

Signed: Thu Oct 22 15:30:26 HKT 2020

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 corporation applying for a licence

Please type your name as appeared in your HKID/ Passport 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 authorised by the board of directors

<input type="text" value="Name"/>	<input type="text" value="Signature"/>	<input type="text" value="07/09/2020"/>
Name	Signature	Date

Please select whether you are:

Director

Person authorised by the board of directors

<input type="text" value="Name"/>	<input type="text" value="Signature"/>	<input type="text" value="08/09/2020"/>
Name	Signature	Date

Back Next

e-Signing (3)

- Vetting Authorization

Vetting Authorisation

Please select one of the following methods for signing the Vetting Authorisation:

e-Signing Physical Signing

 Step 1
Print

>

 Step 2
Sign

>

 Step 3
Upload

Please print for physical signature(s) and attach the scanned copy in pdf format below:

 Print  Upload File

File Name	Uploaded on
WITNESS.pdf	22/10/2020 

Note: The original copy of the vetting authorisation form should be available upon the Commission's request.

 Previous  Generate Signing Record

WINGS Mail

COMING SOON!



A secure two-way communication channel



Create WINGS Mail in landing page and bundle



Auto-forwarding to personal and office email

Dashboard Submission Management Payment 20 WINGS Mail 30 Information Profile SFC Updates

< Back to Dashboard Dashboard / WINGS Mail

WINGS Mail

All **My Mail**

Auto-forwarded to: Personal Email Office Email

[+ Search](#)

Inbox 1 Sent Item [+ New Mail](#)

Subject	From	Type	Date	Time
● Information Requisition (Ref ID: SFC1234567)	Ti	Application	28/8/2019	14:33
Acknowledgement: Settlement of Invoice (Ref ID: SFC1234567)	SFC LIC	Payment	26/8/2019	17:00

e-Payment

COMING SOON!



1

Pay invoices without a WINGS account

2

Settle multiple invoices in one go

WINGS - Payment

Please input the invoice number for payment

Invoice Number: + Add

Security Check: 

Successfully 

3

4 Payment Methods



Via Shop & Buy



Credit Card

NEW



FPS

NEW



WINGS.Pay

NEW

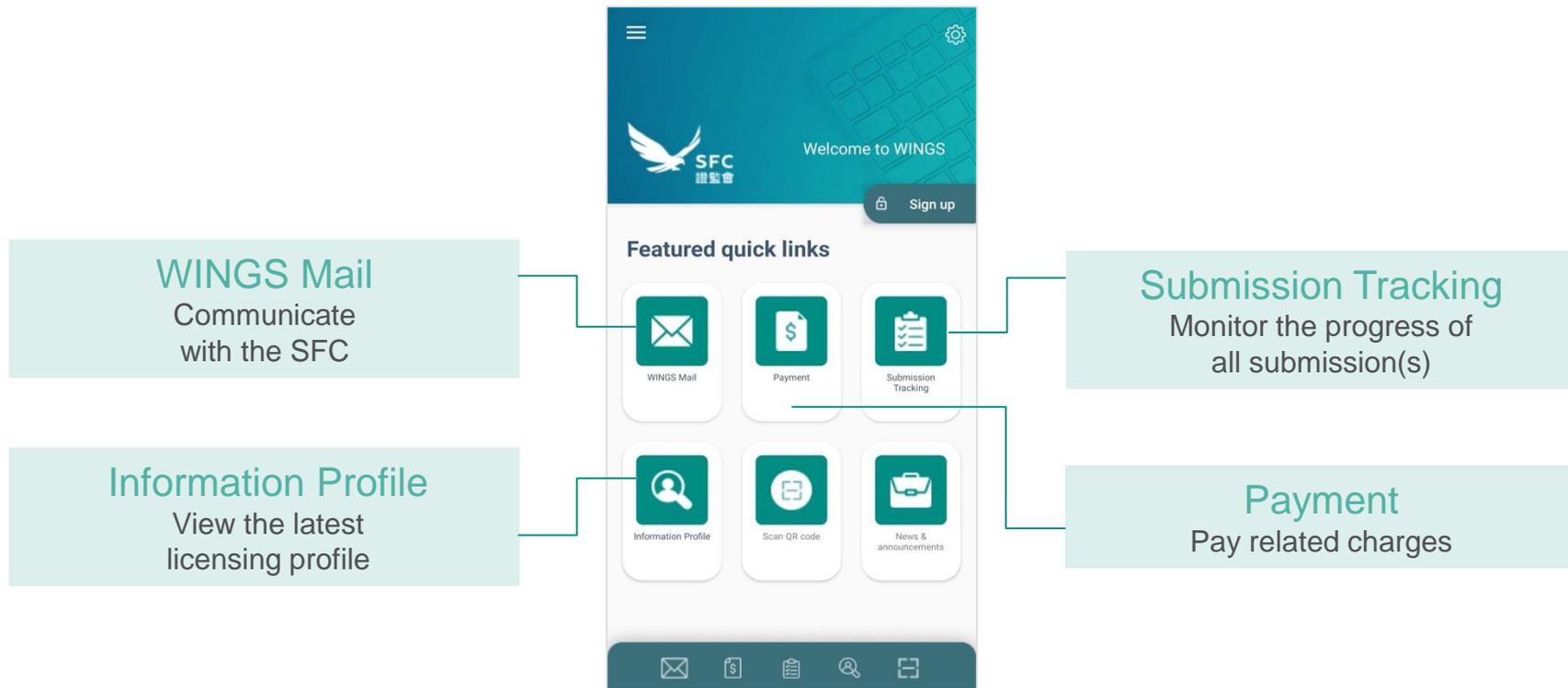
*e-Payment will be available on the WINGS Mobile App

WINGS Mobile

COMING SOON!



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



Chapter 3

What's Next



Access WINGS 2.0 after roll-out in Dec 2020

- Licensed corporations
- Registered institutions
- Associated entities



- Activate your WINGS account after receiving an activation email*
- Set up delegations and permission rights on WINGS

- Responsible officers
- Executive officers
- Licensed representatives



- Access your WINGS account with your existing portal login name and password

- Existing self-registered portal account users (non-licensees)



- Access your WINGS account with your existing portal login name and password

* An activation email will be sent to your OMO (for LCs) or EO (for RIs / AEs).

Please note that the activation link is valid for a limited time only.



Chapter 4

Q&A Session



Enquiry Hotline & Email

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



Technical Hotline

(852) 2207 9333



Email

TechEnquiries@wings.sfc.hk

A large, stylized teal graphic of a bird in flight, positioned on the left side of the slide. The bird is facing right, with its wings spread wide. The graphic is semi-transparent and overlaps with the text.

Thank you

Fore more information, please visit:

www.sfc.hk