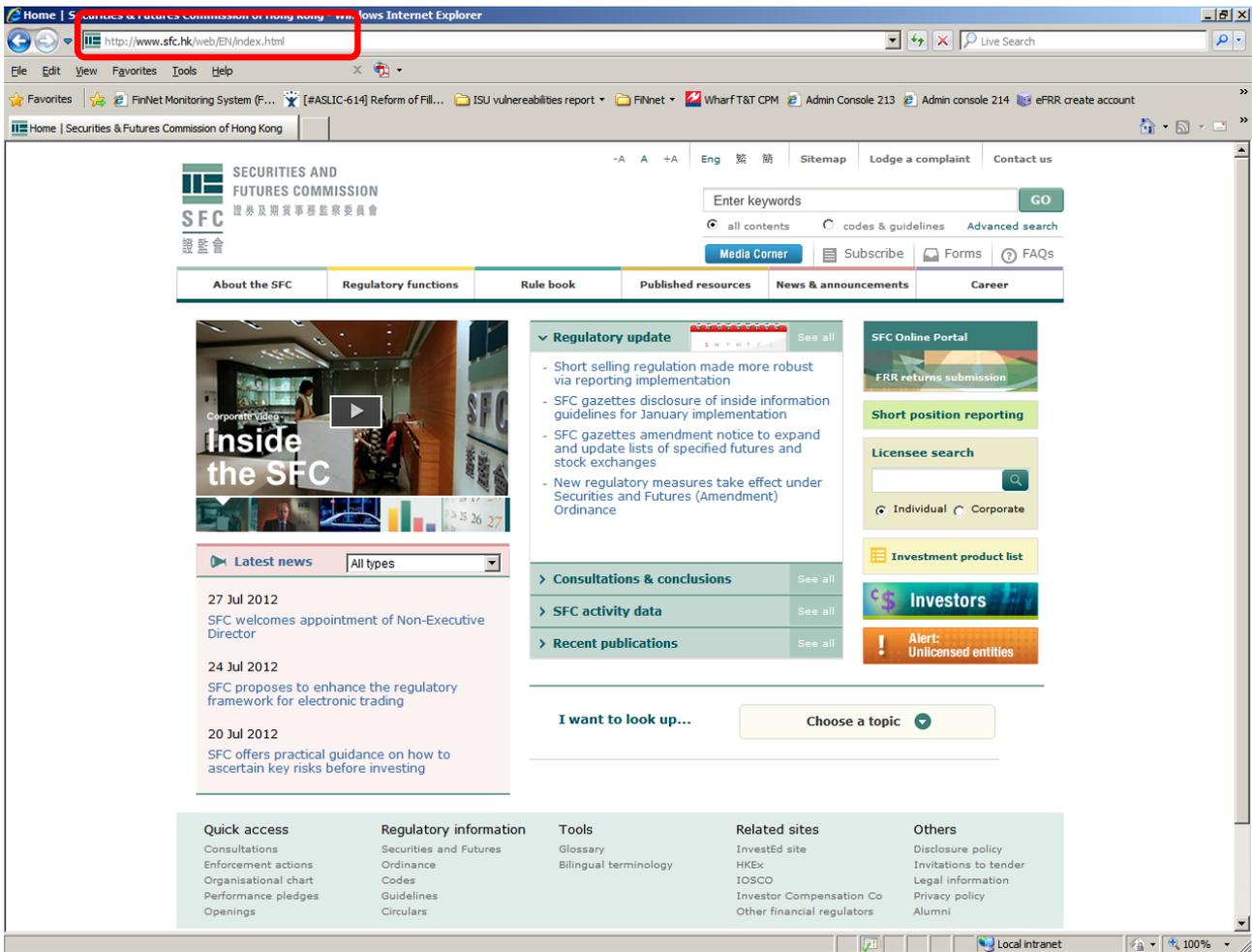


S181/183 Return submission user guide

A. Download blank form

1. Type <http://www.sfc.hk/web> in Internet Explorer



The screenshot shows the SFC website homepage in Internet Explorer. The address bar is highlighted with a red box, showing the URL <http://www.sfc.hk/web/EN/index.html>. The page content includes the SFC logo, navigation menu, search bar, and various news and regulatory update sections.

Regulatory update

- Short selling regulation made more robust via reporting implementation
- SFC gazettes disclosure of inside information guidelines for January implementation
- SFC gazettes amendment notice to expand and update lists of specified futures and stock exchanges
- New regulatory measures take effect under Securities and Futures (Amendment) Ordinance

Latest news

- 27 Jul 2012
SFC welcomes appointment of Non-Executive Director
- 24 Jul 2012
SFC proposes to enhance the regulatory framework for electronic trading
- 20 Jul 2012
SFC offers practical guidance on how to ascertain key risks before investing

Quick access

- Consultations
- Enforcement actions
- Organisational chart
- Performance pledges
- Openings

Regulatory information

- Securities and Futures Ordinance
- Codes
- Guidelines
- Circulars

Tools

- Glossary
- Bilingual terminology

Related sites

- InvestEd site
- HKEx
- IOSCO
- Investor Compensation Co
- Other financial regulators

Others

- Disclosure policy
- Invitations to tender
- Legal information
- Privacy policy
- Alumni



2. Click 'Forms'

The screenshot shows the homepage of the Securities and Futures Commission of Hong Kong. The browser window title is "Home | Securities & Futures Commission of Hong Kong - Windows Internet Explorer". The address bar shows "http://www.sfc.hk/web/EN/index.html". The page features a search bar, a navigation menu, and several content sections. The "Forms" link in the navigation menu is highlighted with a red box and an arrow.

Navigation Menu:

- About the SFC
- Regulatory functions
- Rule book
- Published resources
- News & announcements
- Careers
- Forms (highlighted)
- FAQs

Regulatory update:

- Short selling regulation made more robust via reporting implementation
- SFC gazettes disclosure of inside information guidelines for January implementation
- SFC gazettes amendment notice to expand and update lists of specified futures and stock exchanges
- New regulatory measures take effect under Securities and Futures (Amendment) Ordinance

Latest news:

- 27 Jul 2012: SFC welcomes appointment of Non-Executive Director
- 24 Jul 2012: SFC proposes to enhance the regulatory framework for electronic trading
- 20 Jul 2012: SFC offers practical guidance on how to ascertain key risks before investing

Quick access:

- Consultations
- Enforcement actions
- Organisational chart
- Performance pledges
- Openings

Regulatory information:

- Securities and Futures Ordinance
- Codes
- Guidelines
- Circulars

Tools:

- Glossary
- Bilingual terminology

Related sites:

- InvestEd site
- HKEx
- IOSCO
- Investor Compensation Co
- Other financial regulators

Others:

- Disclosure policy
- Invitations to tender
- Legal information
- Privacy policy
- Alumni



3. Click 'Market infrastructure & trading' --> 'Section 181 return'

The screenshot shows the SFC website in Internet Explorer. The browser address bar displays <http://www.sfc.hk/web/EN/forms/market-infrastructure-and-trading/>. The website header includes the SFC logo and navigation links such as 'Eng 繁體', 'Sitemap', 'Lodge a complaint', and 'Contact us'. A search bar is present with the text 'Enter keywords' and a 'GO' button. Below the search bar are links for 'all contents', 'codes & guidelines', and 'Advanced search'. A horizontal menu contains 'Media Corner', 'Subscribe', 'Forms', and 'FAQs'. A secondary menu lists 'About the SFC', 'Regulatory functions', 'Rule book', 'Published resources', 'News & announcements', and 'Career'. The main content area shows a breadcrumb trail: 'Home > Forms > Market infrastructure & trading'. A dropdown menu for 'Market infrastructure & trading' is open, with 'Section 181 return' selected and highlighted by a red box. The 'Section 181 return' link in the main content area is also highlighted with a red box. At the bottom, there are sections for 'Quick access', 'Regulatory information', 'Tools', 'Related sites', and 'Others'. The footer contains the copyright notice: 'Copyright © 2012 Securities and Futures Commission. All right reserved.'

4. Click 'Yes'

The screenshot shows a 'Security Warning' dialog box with a blue title bar and a close button (X). On the left is a yellow padlock icon with a warning sign. The text reads: 'Do you want to view only the webpage content that was delivered securely?' followed by 'This webpage contains content that will not be delivered using a secure HTTPS connection, which could compromise the security of the entire webpage.' At the bottom, there are three buttons: 'More Info', 'Yes', and 'No'. The 'Yes' button is highlighted with a dashed border, indicating it is the selected option.



5. Choose the file you want to download. Then save the file.

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

Home > > Market infrastructure & trading > Section 181 return

S181 Return by Brokers on Trading Information

User Guide (PDF File)

To submit your file, you can:

- * Download the appropriate blank form or fill the forms specified in our request letter.

Item	Name of forms	Forms
1	Template for Trades	
2	Template for Share Holding	

* Enter your submission key which is provided in our request letter.
* Press "Browse" button to upload the file.
* Click "Submit" button to submit the file, which must be in excel/csv format.
* An acknowledgement email will be sent to you after successful submission.
* Any further updating / revision in information could be done by repeating the same procedure above.

Submission Key*

Name of Intermediaries*

File Download

Do you want to open or save this file?

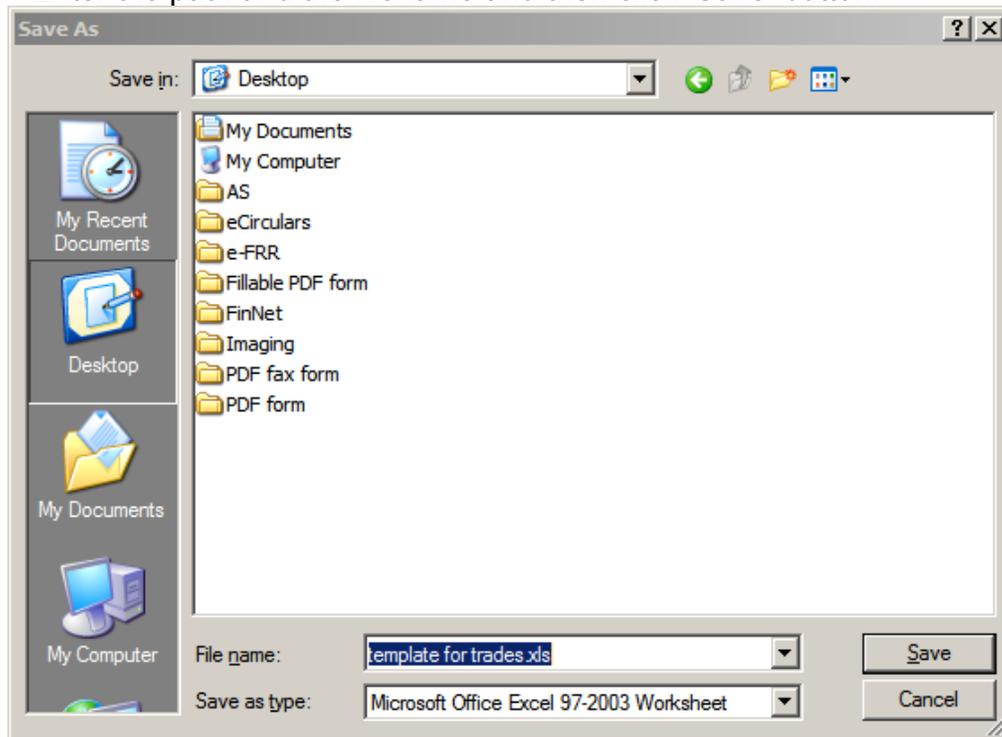
 Name: template for trades.xls
Type: Microsoft Office Excel 97-2003 Worksheet, 23.0KB
From: **www.sfc.hk**

Always ask before opening this type of file

 While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. [What's the risk?](#)



6. Enter the path and the filename and then click 'Save' button.





B. Submit filled form

1. Fill in the details in the blank form
2. Save as the Excel document
3. Type <http://www.sfc.hk/web> in Internet Explorer

The screenshot shows the website of the Securities and Futures Commission of Hong Kong (SFC) in Internet Explorer. The browser's address bar is highlighted with a red box, containing the URL <http://www.sfc.hk/web/EN/index.html>. The website features a navigation menu with links for 'About the SFC', 'Regulatory functions', 'Rule book', 'Published resources', 'News & announcements', and 'Career'. A search bar is located at the top right, and a 'Media Corner' section includes links for 'Subscribe', 'Forms', and 'FAQs'. The main content area is divided into several sections: 'Regulatory update' with a list of news items, 'Latest news' with a list of news items, and 'Quick access' with various links. The 'Regulatory update' section includes a video player for 'Inside the SFC' and a list of news items such as 'Short selling regulation made more robust via reporting implementation' and 'SFC gazettes disclosure of inside information guidelines for January implementation'. The 'Latest news' section includes a list of news items such as 'SFC welcomes appointment of Non-Executive Director' and 'SFC proposes to enhance the regulatory framework for electronic trading'. The 'Quick access' section includes links for 'Consultations', 'Enforcement actions', 'Organisational chart', 'Performance pledges', 'Openings', 'Regulatory information', 'Tools', 'Related sites', and 'Others'.



4. Click 'Forms'

The screenshot shows the homepage of the Securities and Futures Commission (SFC) of Hong Kong. The browser window title is "Home | Securities & Futures Commission of Hong Kong - Windows Internet Explorer". The address bar shows "http://www.sfc.hk/web/EN/index.html". The page features a navigation menu with the following items: "About the SFC", "Regulatory functions", "Rule book", "Published resources", "News & announcements", and "Careers". A search bar is located at the top right, and a "Forms" link is highlighted in a red box with a black arrow pointing to it. The main content area includes a "Regulatory update" section with a list of news items, a "Latest news" section with a dropdown menu set to "All types", and a "Quick access" section with various links. The footer contains a "Local intranet" link and a "100%" zoom level.



5. Click 'Market infrastructure & trading' --> 'Section 181 return'

The screenshot shows the SFC website in Internet Explorer. The breadcrumb trail is 'Home > Forms > Market infrastructure & trading'. In the left-hand menu, 'Market infrastructure & trading' is selected and highlighted with a red box. Below it, 'Section 181 return' is also highlighted with a red box. The main content area displays 'Market infrastructure & trading' with a sub-link '> Section 181 return' also highlighted with a red box. The footer contains copyright information for 2012 and various quick access links.

6. Click 'Yes'

The screenshot shows a 'Security Warning' dialog box with a padlock icon. The text asks: 'Do you want to view only the webpage content that was delivered securely? This webpage contains content that will not be delivered using a secure HTTPS connection, which could compromise the security of the entire webpage.' At the bottom, there are three buttons: 'More Info', 'Yes', and 'No'. The 'Yes' button is highlighted with a dashed border.



7. Fill in all the information. Submission key and our file reference can be found on the letter of 'Demand for information made under S.181(1) of the SFO'

1	Template for Trades	
2	Template for Share Holding	

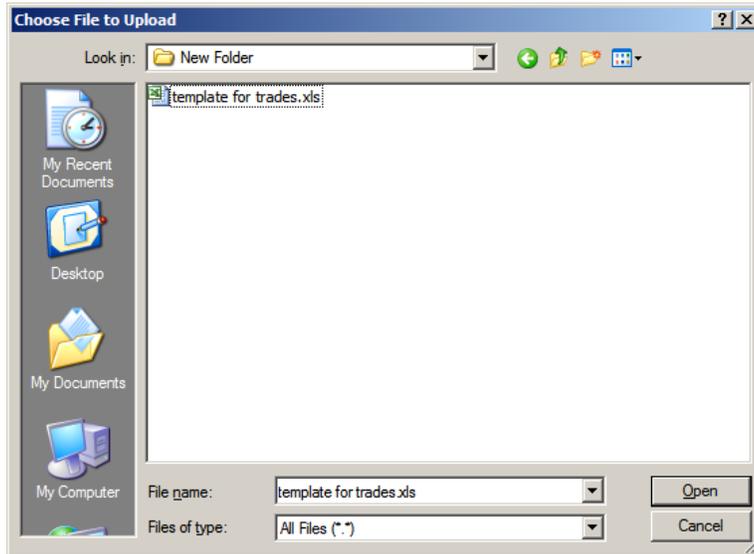
- * Enter your submission key which is provided in our request letter.
- * Press "Browse" button to upload the file.
- * Click "Submit" button to submit the file, which must be in excel/csv format.
- * An acknowledgement email will be sent to you after successful submission.
- * Any further updating / revision in information could be done by repeating the same procedure above.

Submission Key*	<input type="text"/>
Name of Intermediaries*	<input type="text"/>
Name of Contact Person*	<input type="text"/>
Contact Phone No.*	<input type="text"/>
e-mail*	<input type="text"/>
Our File Reference *	<input type="text"/>
Please click the "Browse..." button and select your file to be submitted to the SFC	<input type="text"/> <input type="button" value="Browse..."/>
	<input type="button" value="Submit"/> <input type="button" value="Reset"/>

*You must complete this information



8. Click 'Browse...' button to select the form to be submitted.



* An acknowledgement email will be sent to you after successful submission.

* Any further updating / revision in information could be done by repeating the same procedure above.

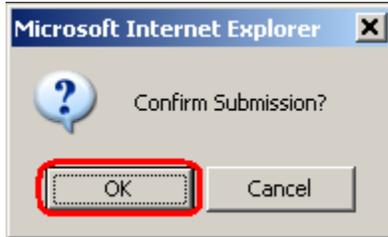
Submission Key*	<input type="text" value="ZNX Y8617"/>
Name of Intermediaries*	<input type="text" value="Sample"/>
Name of Contact Person*	<input type="text" value="Chan Tai Man"/>
Contact Phone No.*	<input type="text" value="98765432"/>
e-mail*	<input type="text" value="user1@sfc.hk"/>
Our File Reference *	<input type="text" value="508/EN/1631"/>
Please click the "Browse..." button and select your file to be submitted to the SFC	<input type="text" value="C:\Documents and Settings\jsyzhong\Desktop\New Folder\template"/> <input type="button" value="Browse..."/>
	<input type="button" value="Submit"/> <input type="button" value="Reset"/>

*You must complete this information

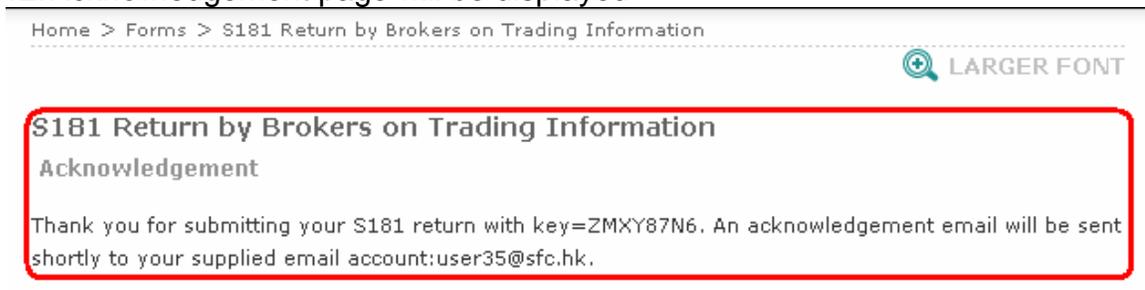
Last update: 28 May 2012



9. Only Excel or CSV format can be submitted.
10. Click 'Submit' button
11. Click 'OK' button



12. Acknowledgement page will be displayed





C. Acknowledgement Email

1. Acknowledgement of receipt will be received after submission. Here is the sample as follows:

Subject: S181 Return: 508/EN/1631 / 000026

This is to acknowledge receipt of your s.181 submission and shall not be regarded as acceptance to the content of your return.

The following information is for your reference:-

Case REF: 508/EN/1631

Letter REF: 000026

Submission Key: ZMXY87N6

Name of Intermediaries: Sample

Submission Date: 28/08/2008