



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

Invitation to Register for Inclusion in the Approved Vendor List

15 November 2018

Contents

1. General Information	3
2. Registration	3
3. Enquiry	4
4. Confidentiality	4
5. Conflict of interest	4
6. Prevention of Bribery	4
7. Disclaimer	4
8. Grievance Procedures	5
Appendix A - Reply to Invitation to Register for Inclusion in the Approved Vendor List	6

1. General Information

1.1 With a view to achieving cost-effectiveness, quality assurance and timely delivery of office supplies and services, the Securities and Futures Commission (“SFC”) invites applications from local vendors with reputable standing for inclusion in the approved vendor list for supply of the following goods and/or services:-

- Copying Paper
- Stationery Printing
- Pantry Items
- Stationery Items
- Computer Consumable Products
- Lighting components and accessories
- Maintenance of Sump Pumps
- Provision of Carpet Cleaning, Pest Control and Disinfection Services
- Provision of Amah Service
- Provision of Office Helper Service

1.2 The appointment as the approved vendor for the above supplies/services is normally valid for one year commencing on 1st April 2019. Selection criteria are primarily based on quality acceptability, specification conformity, price competitiveness and customer service to be offered. The approved vendor is required to fulfill the obligations stated in this document, respective goods and services will be provided to SFC according to the agreed price and SFC’s actual needs throughout the period.

2. Registration

2.1 Companies interested in rendering one or several of the above supplies/services, please complete and submit the registration form (Appendix A) with details of the corporate profile and clientele reference to the SFC for vetting and consideration. Upon submission, companies will receive a document with item details pertinent to the respective area of business for bidding as and when appropriate. Interested parties (“Party”) who have been successfully selected as an approved vendor will receive a confirmation letter for the inclusion in the approved vendor list.

2.2 Registration form (Appendix A) must be submitted to the SFC by fax or by email not later than Thursday, 6 December 2018 at 12:00 noon following below details.

Fax: 2524 7069
Email: admin@sfc.hk

Late submission will not be considered.

3. Enquiry

- 3.1 Any queries regarding this Invitation should be made to:

Securities and Futures Commission
35th Floor, Cheung Kong Center
2 Queen's Road Central
Hong Kong
Attention : Planning and Administration Department

Telephone : 2231 2231
Fax : 2524 7069
Email : admin@sfc.hk

4. Confidentiality

- 4.1 All information presented in or as a result of this vendor selection exercise, including information disclosed by the SFC during the selection process, is to be considered strictly confidential. Information must not be released to external parties without the express written consent of the SFC.
- 4.2 All responses and other materials submitted in response to this vendor selection exercise will become the property of the SFC. The SFC assumes no obligation and shall incur no liability regarding confidentiality of all or any portion of a response or any other material submitted in response to this exercise unless expressly agreed in writing to protect specifically identified information.

5. Conflict of interest

- 5.1 No Party may have any interest which conflicts, or has the potential to conflict, with its duties to the SFC under the proposal. If a Party has any interest which conflicts, or has the potential to conflict, with its duties to the SFC under the proposal, the Party should clearly state this in its proposal. This requirement extends to the Party's associates, associated persons, group companies and each member of the Party's professional staff (and their associates and associated persons).

6. Prevention of Bribery

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

7. Disclaimer

- 7.1 Please note that the approval of registration is at the SFC's sole discretion. The approved vendor list will be concluded through tendering exercise being conducted in due course.

8. Grievance Procedures

- 8.1 SFC, as a public body, has a duty to conduct its affairs in a responsible and transparent manner. We have therefore put in place the Grievance Procedures with effect from 1 April 2004. The policy on Public Interest Grievances is intended to assist persons who are engaged by or to work in/with SFC who believes that they have discovered improper practices or misconduct relating to the running of SFC or work related activities of employees of SFC to report these in a constructive manner.
- 8.2 This policy is for any person who has an employment contract with SFC, is on secondment to SFC, is engaged as an independent consultant by SFC or is a contractor or supplier of services to SFC. Public Interest Grievances might include:
- 8.2.1 Criminal activity, such as accepting a bribe;
 - 8.2.2 Financial or administrative malpractice;
 - 8.2.3 Misconduct or improper behaviour;
 - 8.2.4 Failure to comply with legal obligations such as those set out in the Securities and Futures Ordinance;
 - 8.2.5 Endangering occupational health or safety;
 - 8.2.6 Attempts to suppress or conceal information relating to any of the above.
- 8.3 The Policy on Public Interest Grievances can be found on the SFC website. Please contact the Commission Secretary of the SFC if you have any questions.

Appendix A - Reply to Invitation to Register for Inclusion in the Approved Vendor List

Please include our company in the vendor invitation list for supply of the following goods and/or services :

- ☐ Copying Paper
- ☐ Stationery Printing
- ☐ Pantry Items
- ☐ Stationery Items
- ☐ Computer Consumable Products
- ☐ Lighting Components and Accessories
- ☐ Maintenance of Sump Pumps
- ☐ Provision of Carpet Cleaning, Pest Control and Disinfection Services
- ☐ Provision of Amah Service
- ☐ Provision of Office Helper Service

Name of company : _____

Address : _____

Name of contact person : _____

Position of contact person : _____

Telephone no. : _____

Fax no. : _____

Email address : _____

