



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

Key Risk Indicator Data Submission User Guide

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1. Overview

The Securities and Futures Commission (SFC) has launched a Key Risk Indicator (KRI) platform to collect and analyse KRI data from certain licensed corporations (LCs).

Leveraging advanced technologies and data analytic tools, the platform supplements the SFC's monitoring tools by enhancing its information gathering and analytical capabilities to better identify and manage both existing and emerging risks. This facilitates the SFC's supervision of global firms which are exposed to the changing dynamics of global markets and helps address issues identified by the SFC.

LCs from the in-scope global financial institutions are required to complete a KRI survey with data relating to their business operations, conduct issues and prudential risk exposures on a monthly, quarterly and yearly basis. The survey covers all the regulated activities conducted by the participating LCs and their licensed representatives in Hong Kong, regardless of where the risk positions resulting from the associated regulated activities are ultimately booked.

Who can submit KRI survey?

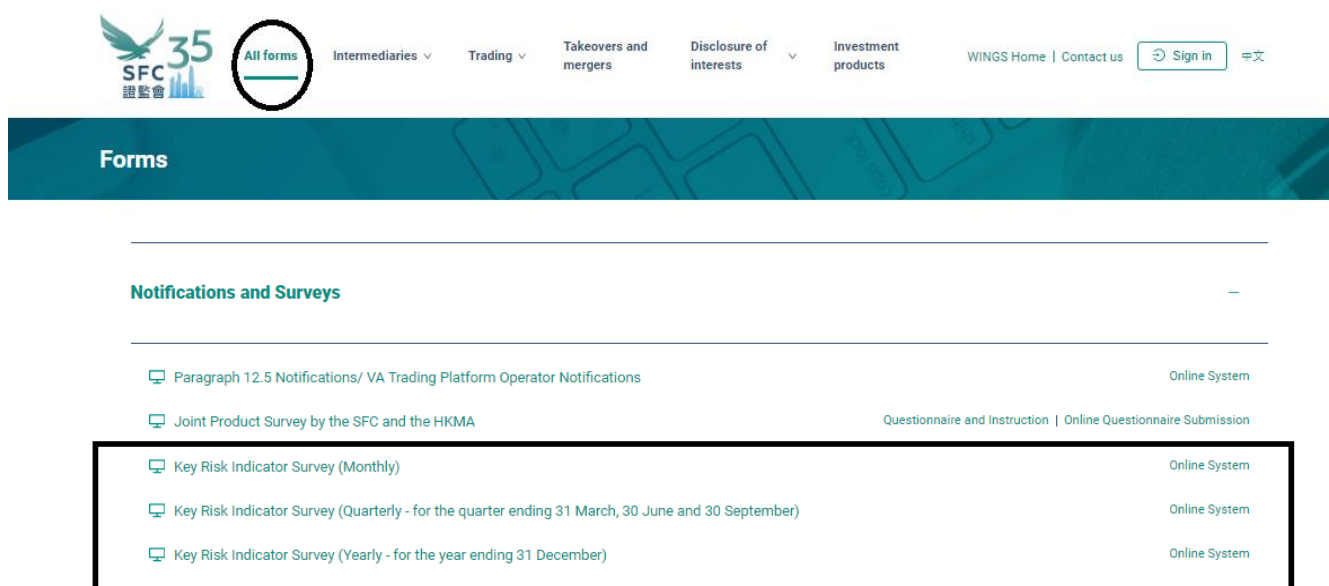
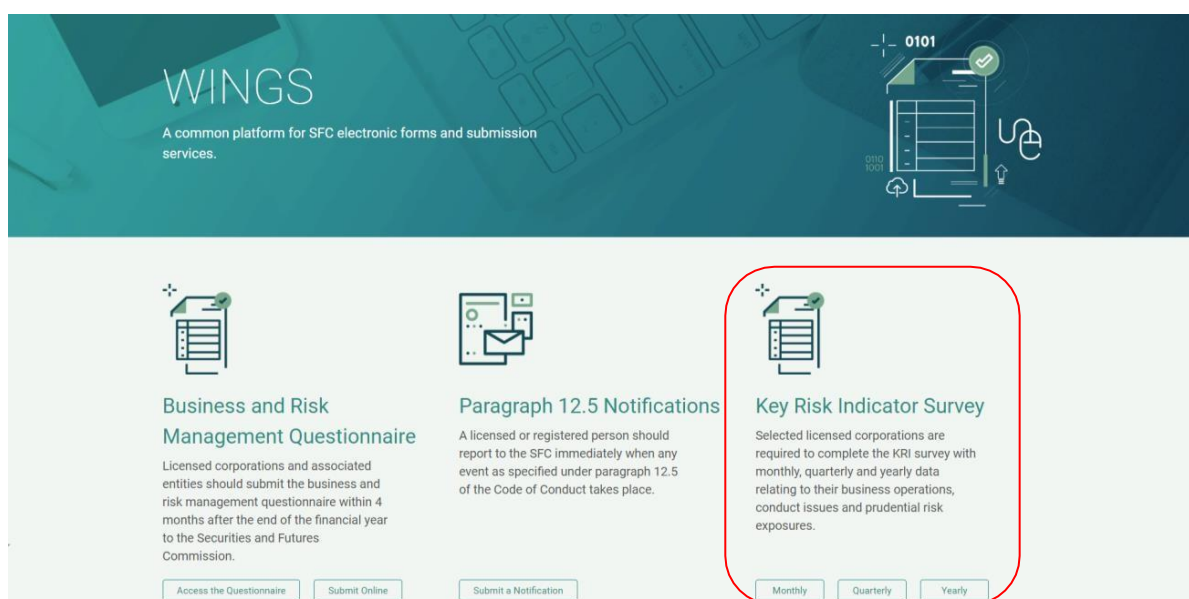
1. Executive officers of registered institutions
2. Responsible officers of licensed corporations
3. Directors or persons authorised by the boards of directors of the LCs or registered institutions.

2. How to use the KRI submission system

2.1 Accessing the KRI survey without logging into WINGS

Go to WINGS homepage, you can select “yearly”, “quarterly” or “monthly” to be directed to the corresponding survey.

Or the KRI surveys can also be found under “All forms” section as indicated below.



2.2 Accessing the KRI survey by logging into WINGS

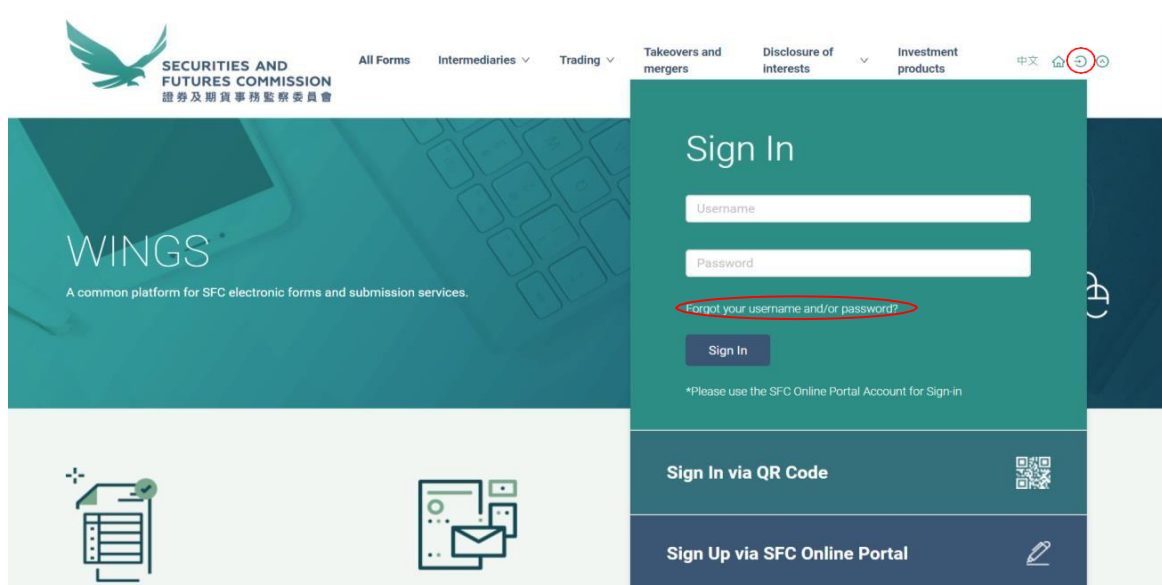
To submit the KRI survey to the SFC, it is necessary to log into WINGS either with the username and password or by scanning a QR code (only for WINGS mobile app users).

Please note that users may fill in the survey using the method described in section 2.1 above without logging into WINGS.

Login with username and password

Follow these steps to log into WINGS with a username and password.

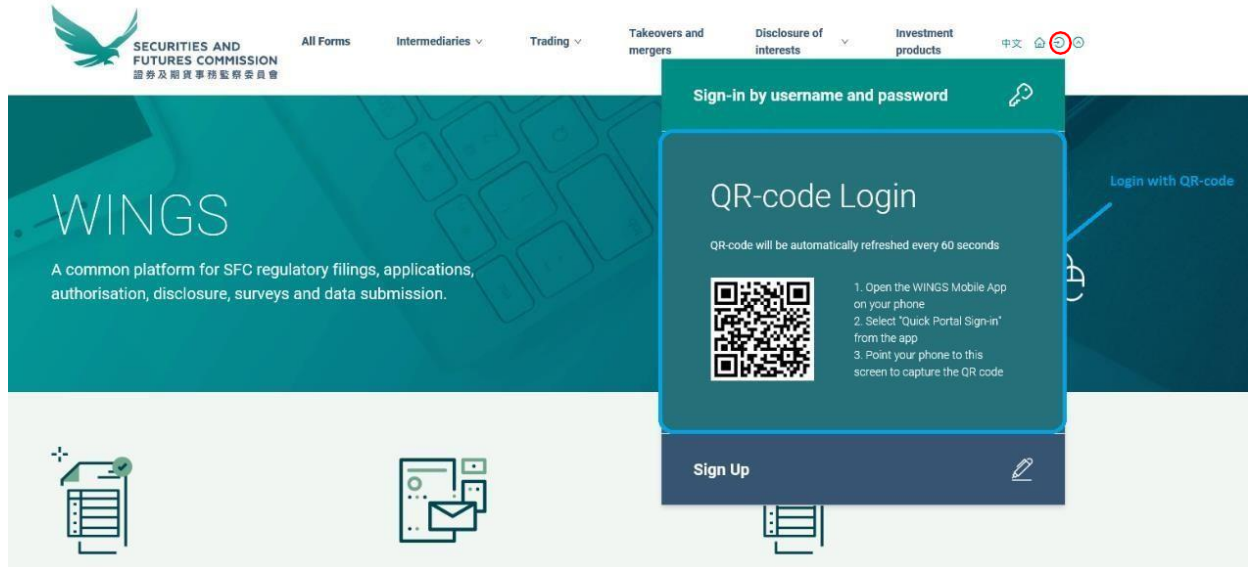
Click the sign in button (the round logo with an arrow) as shown below. Sign in with the username and password.



Login by scanning a QR Code (only for WINGS mobile application users)

Follow these steps to log into WINGS using a QR code.

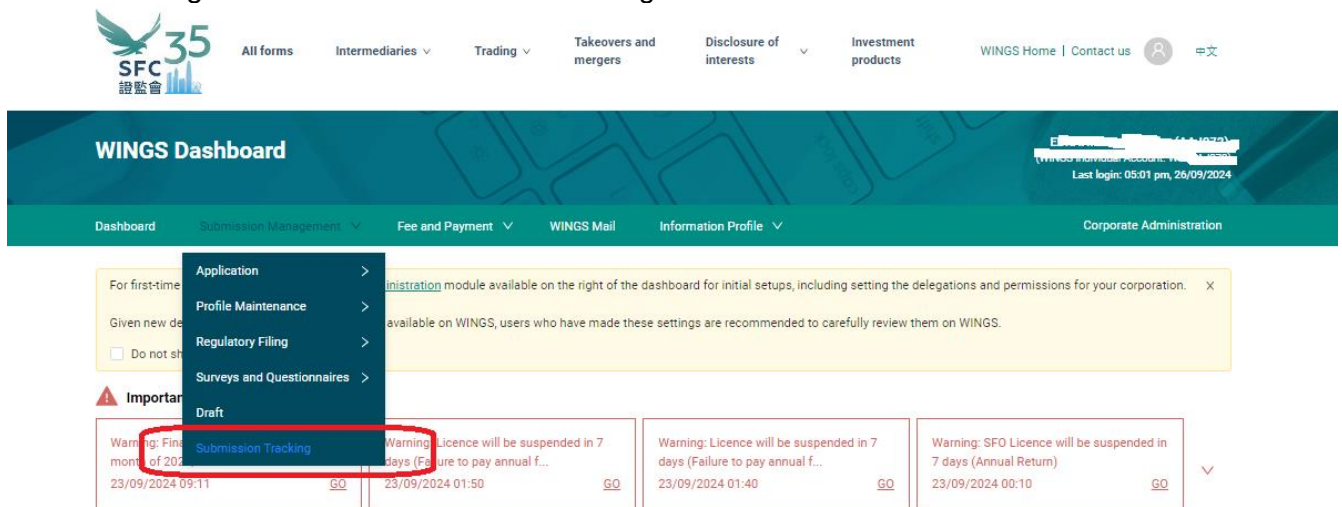
Click the sign in button (the round logo with an arrow) as shown below. Then click “Sign in via QR Code”.



Please refer to the “WINGS Mobile App User Guide” under “User Guide” on the bottom left corner of the WINGS home page for information about using the WINGS mobile app registration and logging in with a QR code.

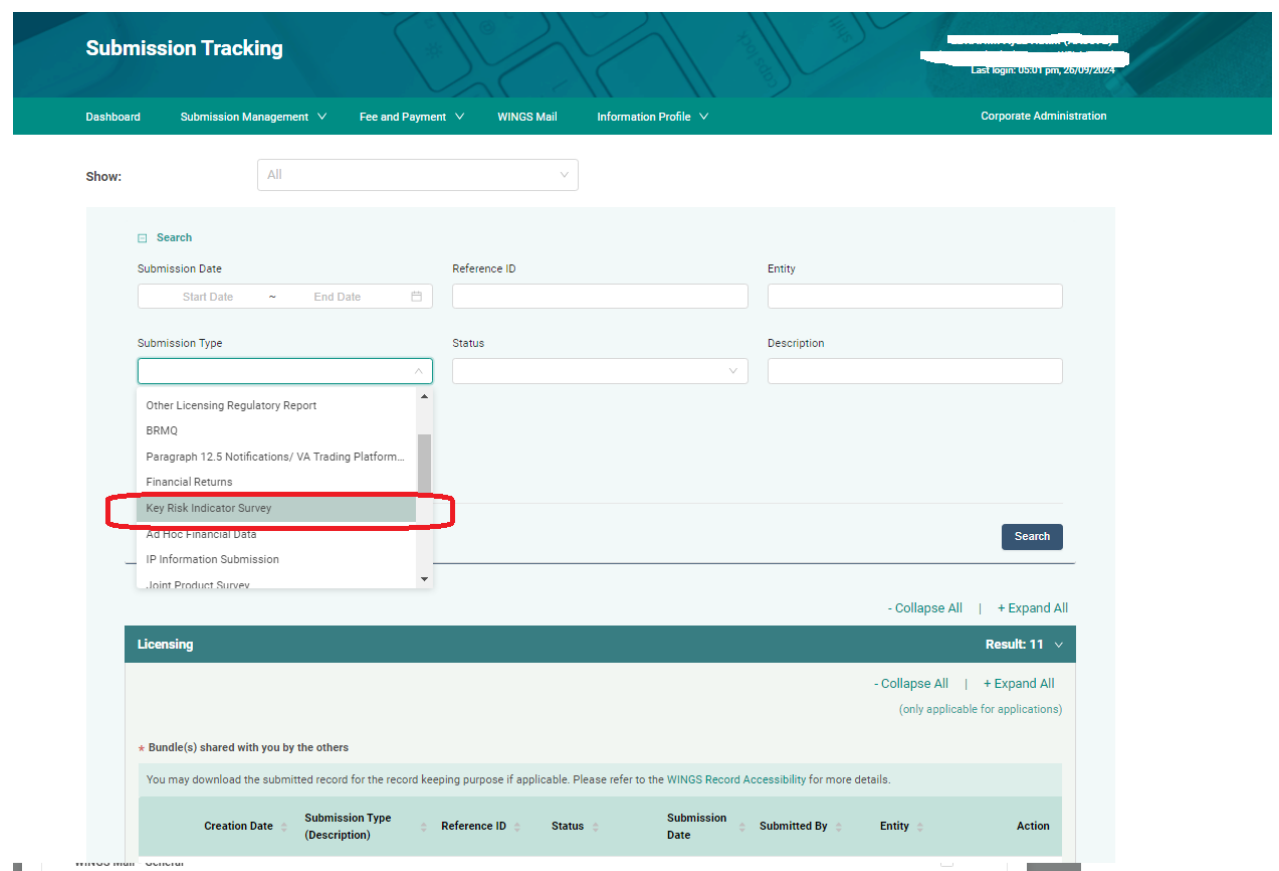
2.3 Inputting KRI data and tracking submissions

To respond to a KRI submission request, log into WINGS and go to the “Submission Tracking” section under Submission Management.



The screenshot shows the WINGS Dashboard with a navigation bar at the top. The 'Submission Management' menu is open, and 'Submission Tracking' is highlighted with a red box. Below the menu, there are several warning messages about license suspension and a table of submission requests.

Using the “Submission Type” drop down menu, choose “Key Risk Indicator Survey” and then click “Search”. All “Key Risk Indicator Survey” requests will be displayed.



The screenshot shows the Submission Tracking page. The 'Submission Type' dropdown menu is open, and 'Key Risk Indicator Survey' is selected and highlighted with a red box. The 'Search' button is visible. Below the search filters, there is a table of submission requests.

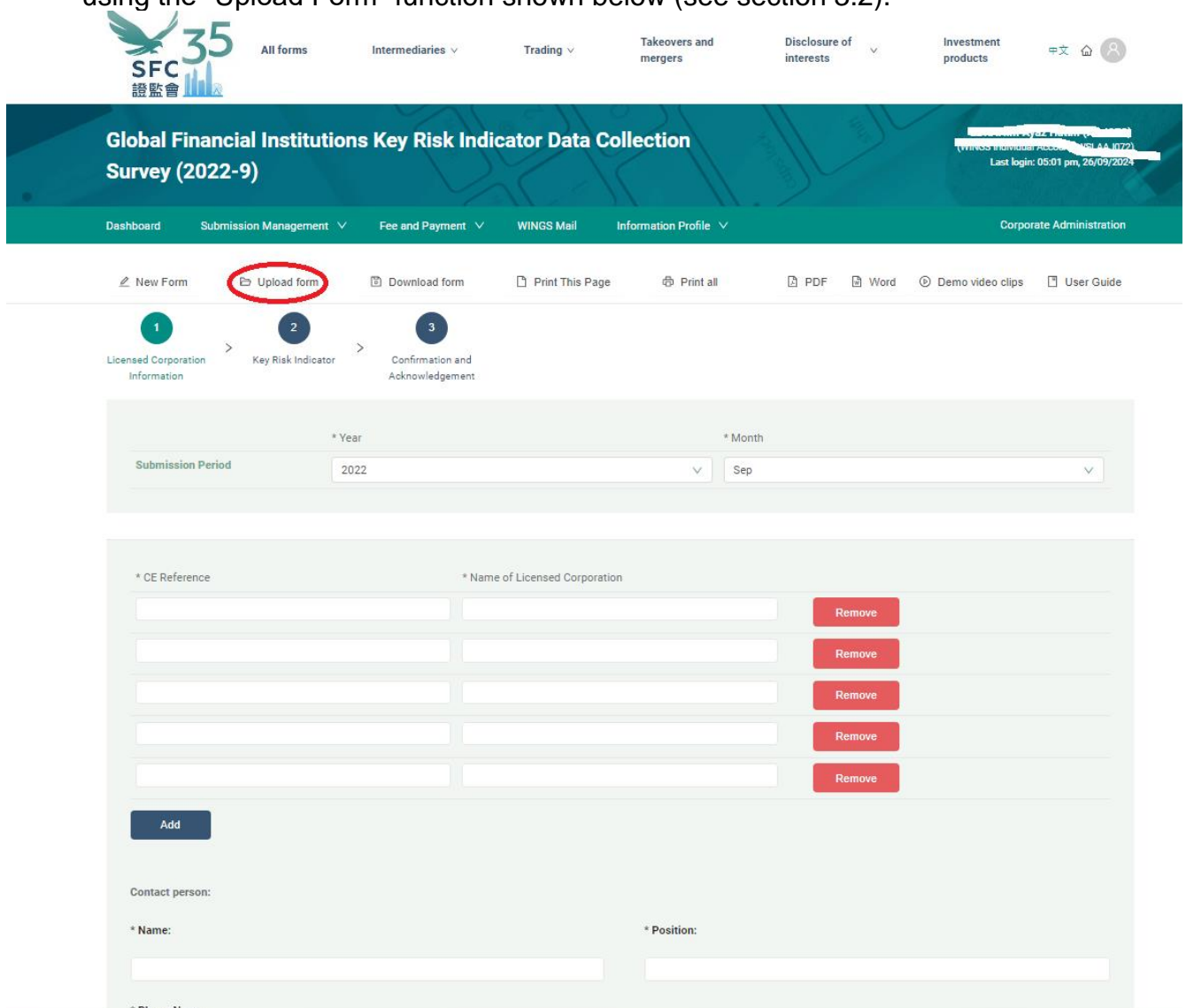
[All](#)
[My Submission](#)
[Citigroup \(CIB\)](#)
[Citigroup Global Markets Asia Limited](#)

Creation Date	Type	Description	Reference No	Status	Date of Submission	Submitted By	Action
27/03/2019	Key Risk Indicators Survey	Citigroup (CIB) Key Risk Indicator Survey 2019 March (Quarterly)	ABAA036200	Pending for submission	-	-	Submit
26/03/2019	Key Risk Indicators Survey	Citigroup (CIB) Key Risk Indicator Survey 2019 March (Quarterly)	ABAA035719	Pending for submission	-	-	Submit
23/03/2019	Key Risk Indicators Survey	Citigroup (CIB) Key Risk Indicator Survey 2019 March (Quarterly)	ABAA035387	Pending for submission	-	-	Submit
22/03/2019	Key Risk Indicators Survey	Citigroup (CIB) Key Risk Indicator Survey 2019 March (Quarterly)	ABAA035050	Pending for submission	-	-	Submit
21/03/2019	Key Risk Indicators Survey	Citigroup (CIB) Key Risk Indicator Survey 2019 March (Quarterly)	ABAA034720	Pending for submission	-	-	Submit
20/03/2019	Key Risk Indicators Survey	Citigroup (CIB) Key Risk Indicator Survey 2019 March (Quarterly)	ABAA034399	Pending for submission	-	-	Submit

Choose the KRI survey request you would like to work on, then press the “Submit” button to proceed. Please note the reporting period for the KRI survey request is clearly stated under the “Description” column. Choose the correct request.

Others								Result: 8
You may download the submitted record for the record keeping purpose if applicable. Please refer to the WINGS Record Accessibility for more details.								
Creation Date	Submission Type (Description)	Reference ID	Status	Submission Date	Submitted By	Entity	Action	
14/10/2022	Key Risk Indicator Survey Key Risk Indicator Survey 2022 September (Quarterly)	ABAA982483	Open	-	-	NAME 6	Submit	
31/08/2022	Key Risk Indicator Survey Key Risk Indicator Survey 2022 August (Monthly)	ABAA944514	Open	-	-	NAME 6		
03/08/2022	Key Risk Indicator Survey Key Risk Indicator Survey 2022 July (Monthly)	ABAA942562	Open	-	-	NAME 6		
20/07/2022	Key Risk Indicator Survey Key Risk Indicator Survey 2022 June (Quarterly)	ABAA819930	Open	-	-	NAME 6		
19/07/2022	Key Risk Indicator Survey Key Risk Indicator Survey 2022 May (Monthly)	ABAA819442	Open	-	-	NAME 6		
19/07/2022	Key Risk Indicator Survey Key Risk Indicator Survey 2022 April (Monthly)	ABAA818810	Open	-	-	NAME 6		
18/07/2022	Key Risk Indicator Survey Key Risk Indicator Survey 2022 March (Quarterly)	ABAA811859	Open	-	-	NAME 6		
15/07/2022	Key Risk Indicator	ABAA811255	Open	-	-	NAME 6		

The user can then proceed to input the KRI data or upload the relevant “.dat” file by using the “Upload Form” function shown below (see section 3.2).



SFC 35 證監會 All forms Intermediaries Trading Takeovers and mergers Disclosure of interests Investment products 中文 家 人

Global Financial Institutions Key Risk Indicator Data Collection Survey (2022-9) (WINGS Individual Account: NSLAA 1072) Last login: 05:01 pm, 26/09/2024

Dashboard Submission Management Fee and Payment WINGS Mail Information Profile Corporate Administration

New Form **Upload form** Download form Print This Page Print all PDF Word Demo video clips User Guide

1 Licensed Corporation Information > 2 Key Risk Indicator > 3 Confirmation and Acknowledgement

Submission Period * Year 2022 * Month Sep

* CE Reference	* Name of Licensed Corporation	
<input type="text"/>	<input type="text"/>	Remove
<input type="text"/>	<input type="text"/>	Remove
<input type="text"/>	<input type="text"/>	Remove
<input type="text"/>	<input type="text"/>	Remove
<input type="text"/>	<input type="text"/>	Remove

Add

Contact person:

* Name: * Position:

* Phone No.:

2.4 Preview submissions

Click the “Preview Your Submission” button under “Confirmation & Acknowledgement”, and the KRI data will be displayed in a pop-up window.

[New Form](#)
[Upload Form](#)
[Download Form](#)
[Print This Page](#)
[Print All](#)
[PDF](#)
[Word](#)
[Training Clips](#)
[User Guide](#)

1 Licensed Corporation Information > 2 Key Risk Indicator > 3 Confirmation & Acknowledgement

Confirmation & Acknowledgement

(i) SFC may request your firm to elaborate/clarify the information provided in this form and/or provide further information.
 (ii) Your firm is expected to produce and retain documentary evidences(s) that substantiates the completion of this form.
 (iii) SFC may validate the information in this form having regard to the abovementioned information provided and other factors. Licensed corporations are expected to provide true and accurate information.

Preview Your Submission

☐ Yes, I fully understand and acknowledge the above.

[Previous](#)
[Submit](#)

Untitled - Google Chrome
 about:blank

Global Financial Institutions Key Risk Indicator Data Collection Survey

Submission Period	
* Year	* Month
2018	Sep

* CE Reference	* Name of Licensed Corporation
AAA123	test1
AAA222	test2
AAA223	test3
AAA224	test4
AAA225	test5

Completed by:

☒ Yes, I fully understand and acknowledge the above.

[Previous](#)
[Submit](#)

2.5 Submitting the KRI survey

Check the box below to indicate that you acknowledge the statement. Press the “Submit” button to complete the submission.

1
Licensed Corporation
Information

>

2
Key Risk Indicator

>

3
Confirmation &
Acknowledgement

Confirmation & Acknowledgement

(i) SFC may request your firm to elaborate/clarify the information provided in this form and/or provide further information.
(ii) Your firm is expected to produce and retain documentary evidences(s) that substantiates the completion of this form.
(iii) SFC may validate the information in this form having regard to the abovementioned information provided and other factors. Licensed corporations are expected to provide true and accurate information.

Preview Your Submission


☒ Yes, I fully understand and acknowledge the above.

Previous

Submit

2.6 Acknowledgement

Upon successful submission, a “Submission Acknowledgment” page with the submission reference will be displayed. The user is reminded to save a copy of submitted KRI data for future reference. Please refer to section 3.4 on how to save the submitted KRI survey.


WINGS
⌵

Global Financial Institutions Key Risk Indicator Data Collection Survey (2019-3)

New Form
Upload Form
Download Form
Print This Page
Print All
Training Clips
User Guide

Submission Acknowledgement

Submission reference	ABAA001326-1
Date and time of submission	20/03/2019 17:57:29
Submitted by	CHAN Iong San

Save Form

Print This Page

Quick Links

Help

- Submission Rights Requirements
- User Guide
- Online Demo
- Security Tips
- System Requirements

Related Sites

- SFC Corporate Website
- The Chin Family
- Public Register of Licensees & Registrants
- List of Investment Products
- SFC Online Portal

2.7 Late submission

In the event the SFC does not receive the KRI survey on time, a reminder will be sent to the email address designated on the SFC Online Portal. A sample reminder email is shown below.

The submission period for the KRI survey is one month after the last day of the reporting period. Reminders will be sent one working day after the due date.

Warning: KRI (Firm A (CIB)) is now overdue



Electronic Submission System e03 <eds-e03@sfc.hk>

Mon 28/01/2019 11:07

To: User52;

Dear Sir/Madam,

KRI (Quarterly - September 2018) of Firm A (CIB) is now overdue.

Please click [here](#) to submit your KRI without further delay.

Yours faithfully,

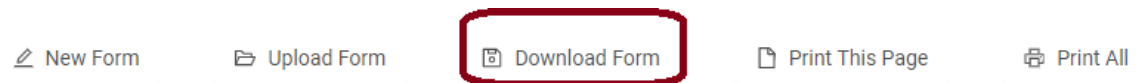
Intermediaries Supervision Department
Intermediaries Division
Securities and Futures Commission

"Consider the environment - think before printing!"

3. Other functions

3.1 Download the KRI survey

To save the current survey, click the “Download Form” button on the top toolbar. The survey will be saved as a “.dat” file.



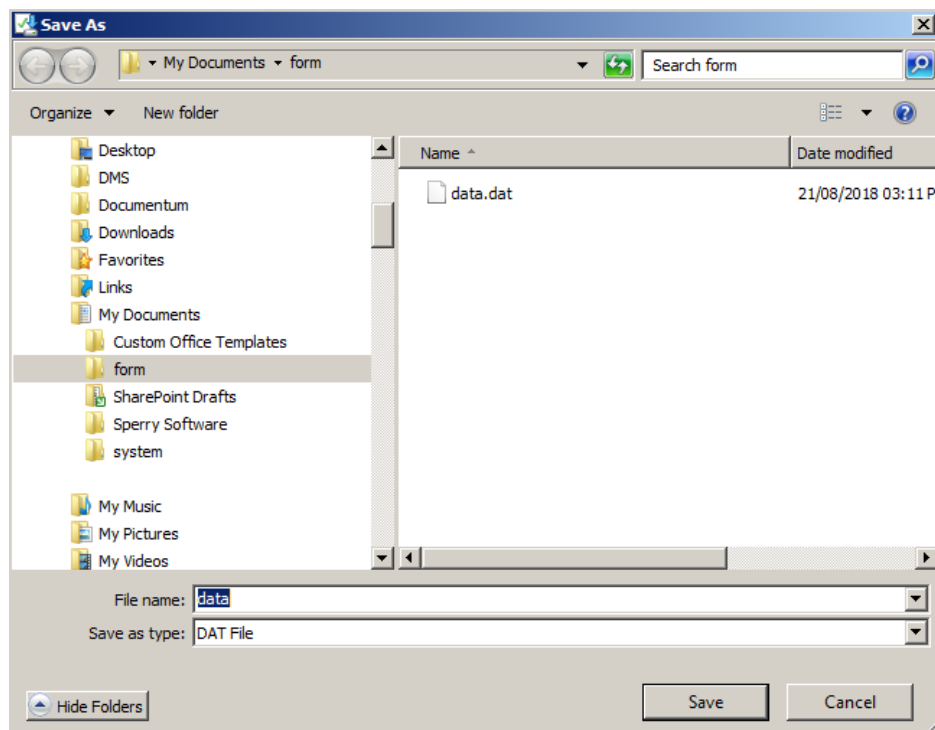
A message will pop up to save this data file to a local drive:



Click on the arrow sign next to the “Save” button and choose “Save as” to save the file on the local drive.



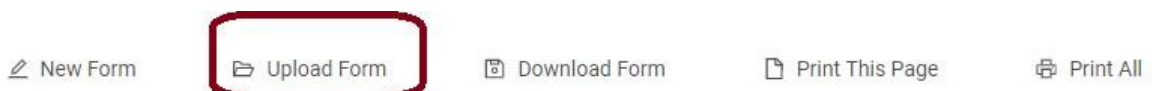
In some browsers, this box will pop up automatically:



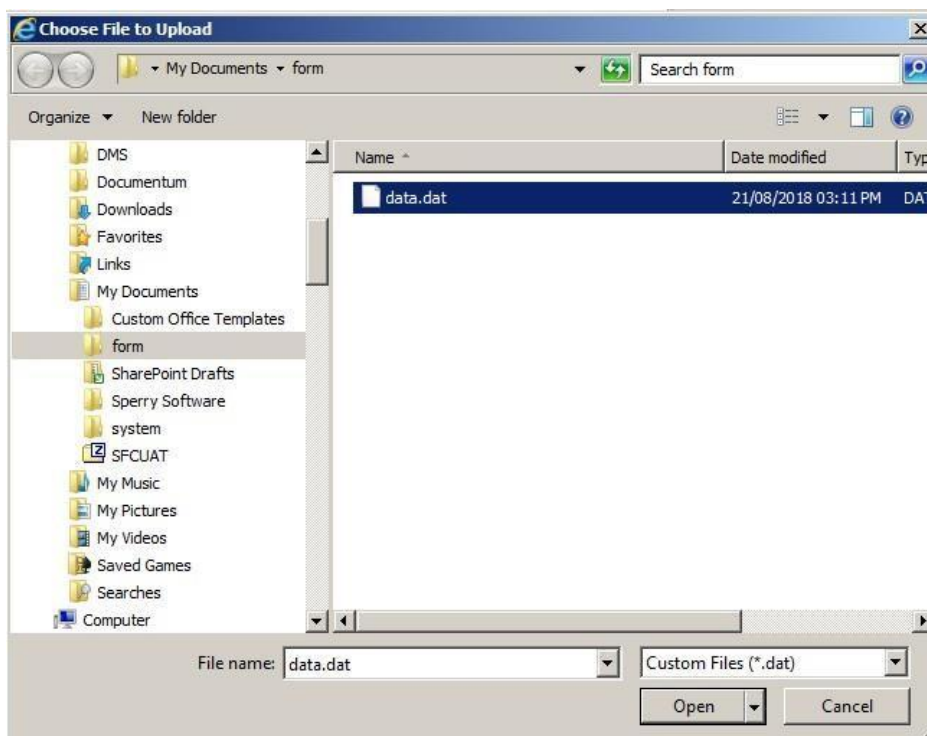
*Please note that you will not be able to edit the “.dat” file. You must use the “Upload Form” function described in section 3.2 to upload the form for further editing.

3.2 Upload the KRI survey

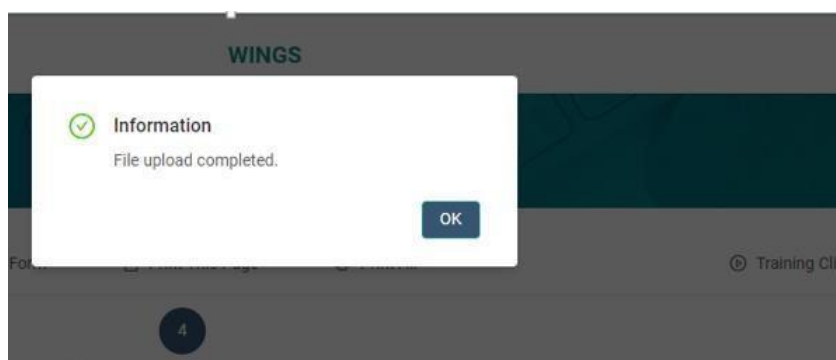
To upload a data file previously saved in your local drive, press the “Upload Form” button on the top toolbar.



Choose a file to upload and press “Open”.



When the file is uploaded successfully, a “File upload completed” message will be displayed. The information from the uploaded “.dat” file will be shown.



3.3 Print functions

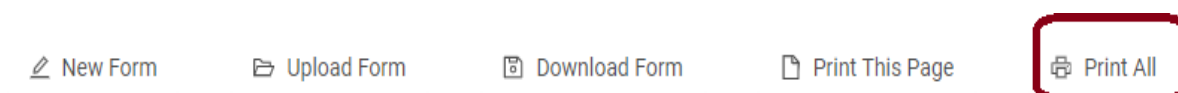
Print current page

Press the “Print This Page” button on the top toolbar to print the current page.

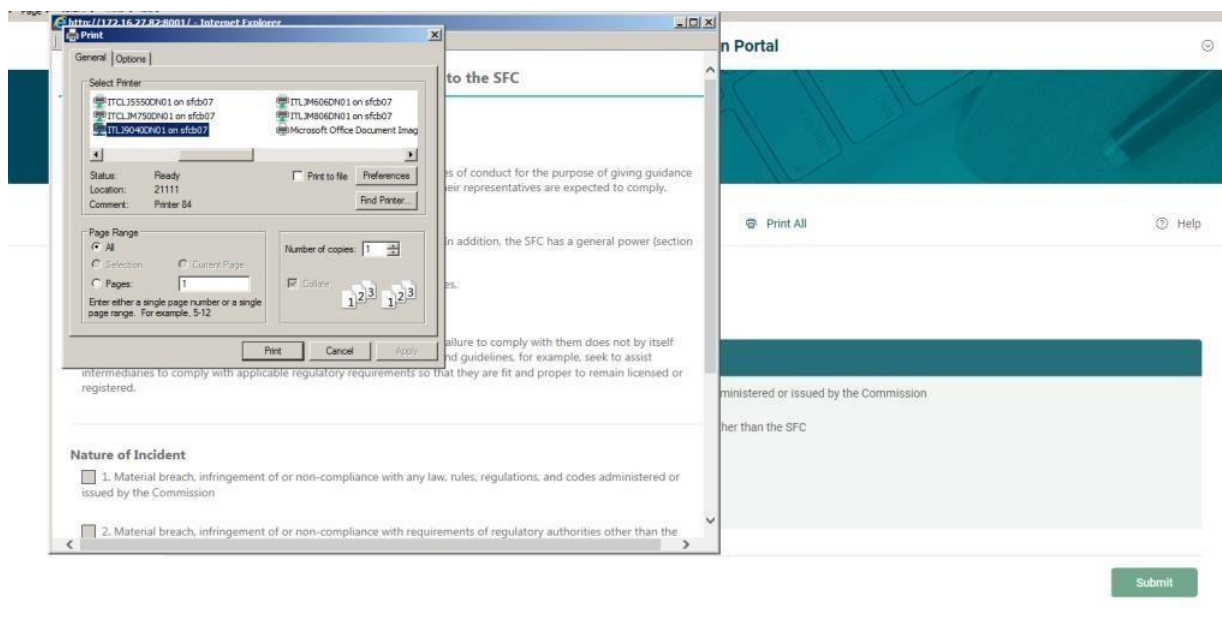


Print all pages

Press the “Print All” button on the top toolbar to print all sections of the KRI survey.



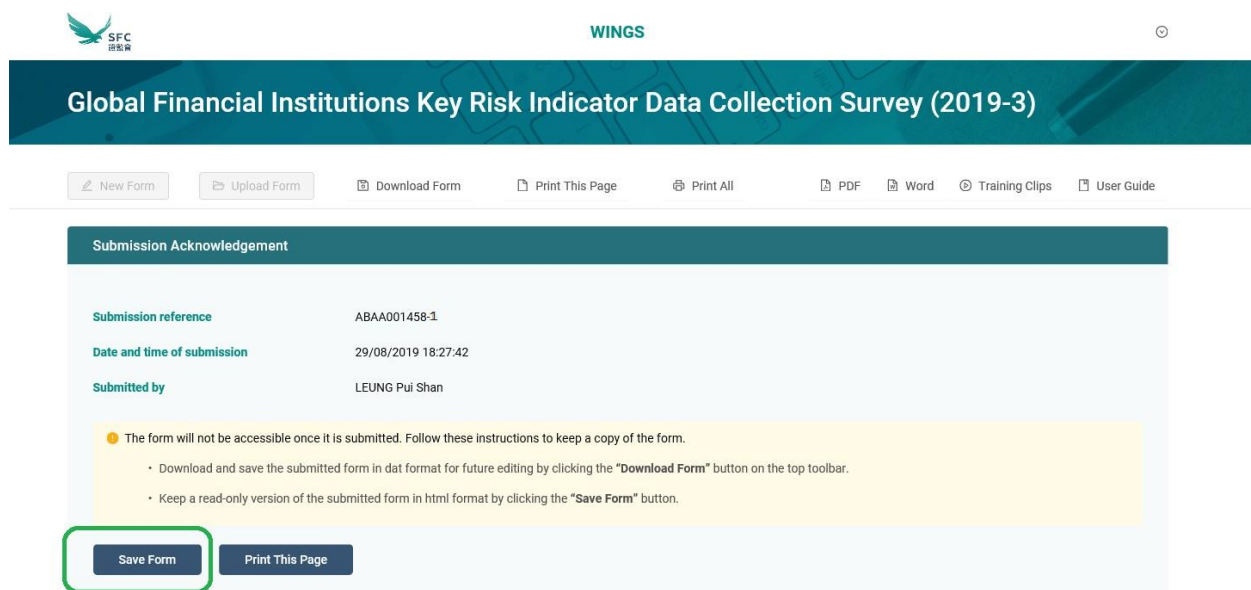
A print window will pop up:



3.4 Print or save a submission for future reference

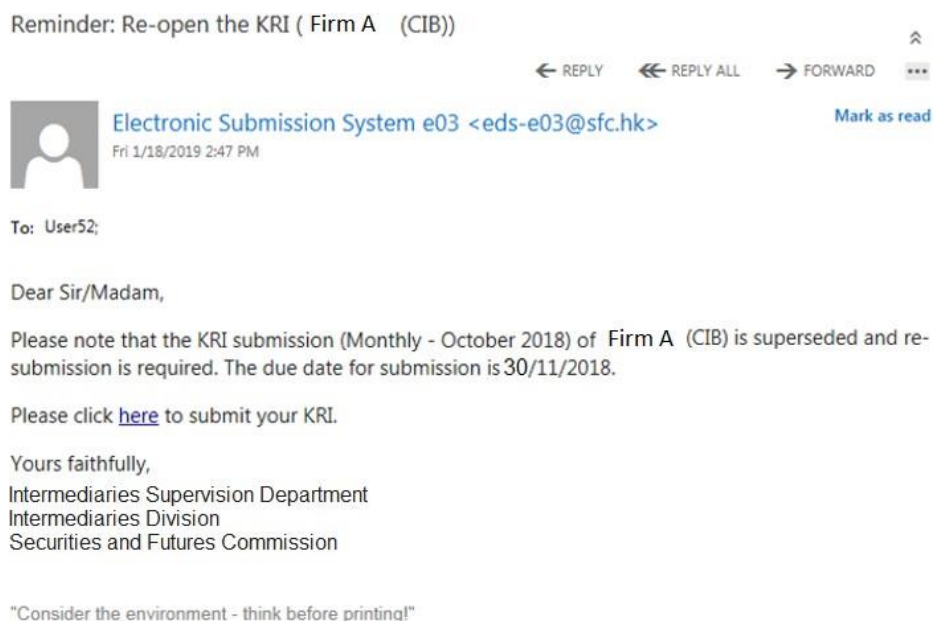
To save the submitted KRI survey (as an “.html” file), press the “Save Form” button on the Submission Acknowledgment page.

To print the Submission Acknowledgment page, press the “Print This Page” button.



3.5 Resubmission

If you would like to resubmit the KRI survey, your SFC case officer can supersede the version you submitted previously. After the case officer reopens the KRI survey, each of the personnel designated to receive emails will receive a request to resubmit it. A sample email request for resubmission is shown below.



3.6 KRI survey submitted by authorised persons

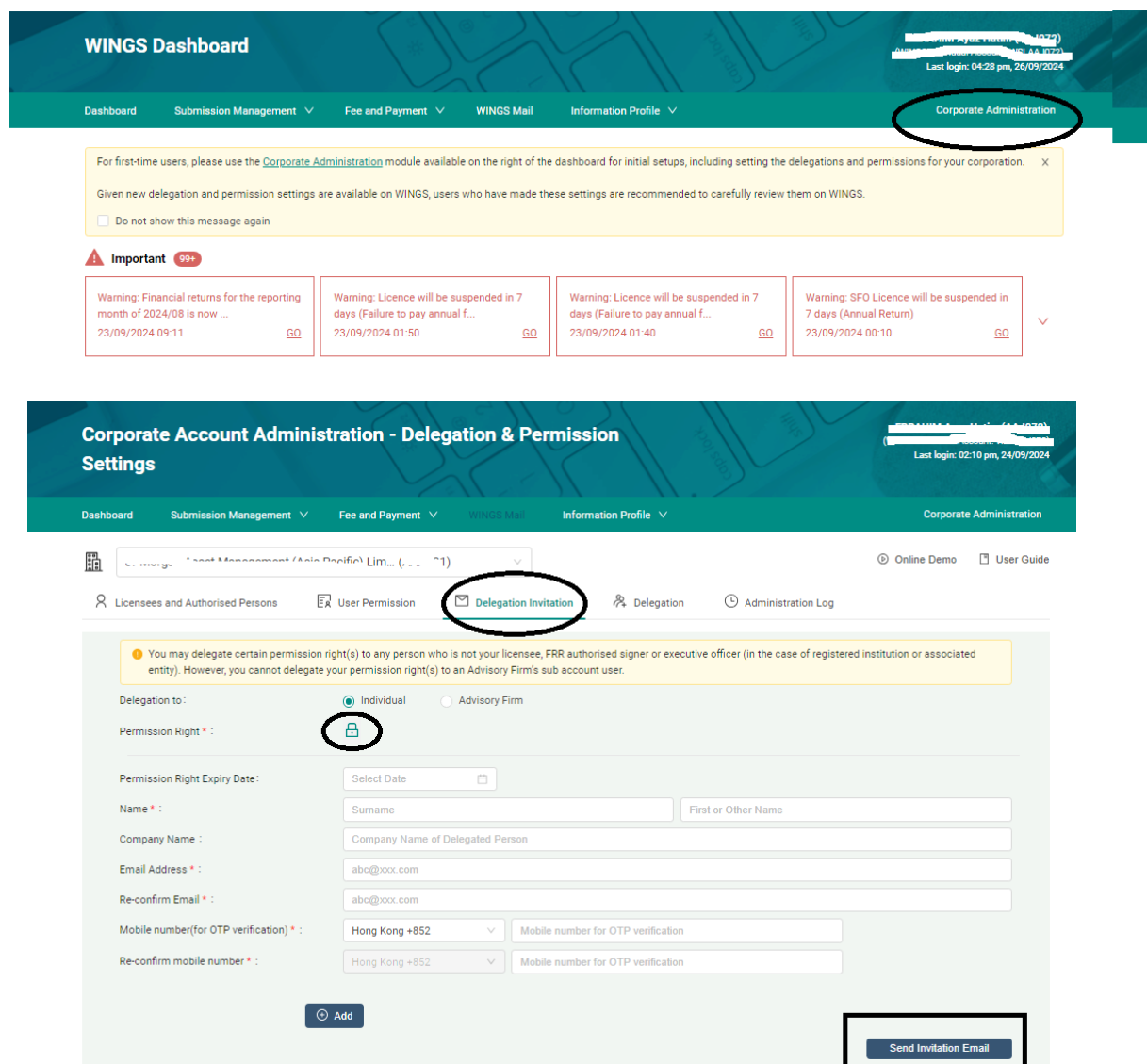
The KRI survey may also be submitted by persons authorised by the boards of directors of the LCs or registered institutions. The Corporate admin of the firm would first need to send delegation invitation to the authorised person via the Corporate Administration function under the Corporate Account. After activating the delegation relationship and logging into WINGS, the authorised person can submit for KRI survey submissions.

Upon receiving the delegation invitation, the intended delegatee will need to confirm the delegation within 30 calendar days, otherwise the delegation invitation will expire and you will need to send a new invitation.

Also, please note the "Permission Right Expiry Date" field on the Delegation Invitation function is not mandatory to set, if no expiry date is set, it means the delegation relationship will not end.

You can also refer to [Corporate Account Administration User Guide \(for Licensing\)](#) for details of the Delegation Invitation.

Corporate Administration -> Delegation Invitation function:



The image shows two screenshots of the WINGS system interface. The top screenshot is the 'WINGS Dashboard' with a navigation bar including 'Dashboard', 'Submission Management', 'Fee and Payment', 'WINGS Mail', 'Information Profile', and 'Corporate Administration' (circled). Below the navigation bar is a message box and a table of warnings. The bottom screenshot is the 'Corporate Account Administration - Delegation & Permission Settings' page. It features a navigation bar with 'Dashboard', 'Submission Management', 'Fee and Payment', 'WINGS Mail', 'Information Profile', and 'Corporate Administration'. Below this is a sub-navigation bar with 'Licensees and Authorised Persons', 'User Permission', 'Delegation Invitation' (circled), 'Delegation', and 'Administration Log'. The main content area contains a form for creating a delegation invitation. The form includes a warning message, a 'Delegation to:' section with 'Individual' selected, a 'Permission Right *' section with a lock icon circled, and a 'Permission Right Expiry Date' section with a date picker. The form also includes fields for 'Name *' (Surname and First or Other Name), 'Company Name *', 'Email Address *', 'Re-confirm Email *', 'Mobile number(for OTP verification) *', and 'Re-confirm mobile number *'. At the bottom right, there is a 'Send Invitation Email' button circled.

X

Please check the box(es) to select the permission for assignment. Once the delegation has been confirmed, the delegated party will be able to access the checked item(s) or act on behalf of your corporation/firm. [Clear All](#)

General (for Corporate Level)
☐

	Enable
Corporate Administration	<input type="checkbox"/>
✓ Fees and Payment	
View the outstanding fees owned by licensed individuals	<input type="checkbox"/>
View the outstanding fees owned by the corporation / firm	<input type="checkbox"/>
View the transaction history and monthly statement	<input type="checkbox"/>
Select the delegating corporation / firm's WINGS Pay account for fees settlement ^②	<input type="checkbox"/>
All Individual Licensee's / Executive Officer's Profiles ^②	<input type="checkbox"/>
HKIDR - Submission of the BCAN-CID Mapping File and Reporting Forms ^②	<input type="checkbox"/>

Submission Type
☐

	Edit	Submit	Access Submission Tracking [^]	Access WINGS Mail [^]
Information Profile	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Annual Returns	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Licensing Application			<input type="checkbox"/>	<input type="checkbox"/>
Other Licensing Regulatory Notifications / Reports ^②	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Paragraph 12.5 Notifications / VA Trading Platform Operator Notifications		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business and Risk Management Questionnaire (BRMQ) & Accounts		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Key Risk Indicator (KRI) Data Collection Survey	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
OTC Securities Transactions Reporting		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Joint Product Survey by the SFC and the HKMA		<input type="checkbox"/>	<input type="checkbox"/>	
Subordinated Loan		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Other WINGS Mail Access Delegation
☐

	Access WINGS Mail [^]
WINGS Mail - Payments related	<input type="checkbox"/>
WINGS Mail - General	<input type="checkbox"/>

[^] display past three years' records

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

Close
Save

