



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

User Guide Licensing Application

Contents

LICENSING APPLICATION BUNDLE

1. Create a Licensing Bundle	3
2. Add Licensing Forms to a Bundle	4
3. Validate Forms and Bundles	6
4. E-signing	7
5. Group Forms (Edit Group)	10
6. Submit Bundles	11

ADDITIONAL FUNCTIONS

7. Share Bundles	12
8. Merge Forms	13
9. Check WINGS Mail History	15
10. Send WINGS Mail in a Bundle	16

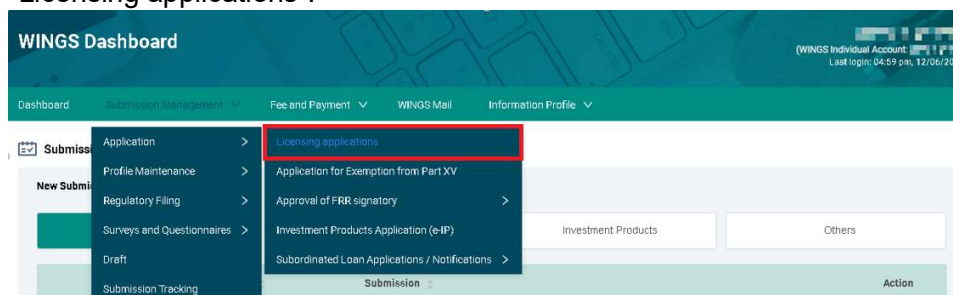
POST-SUBMISSION


11. Submission Tracking	17
12. Application Change	19

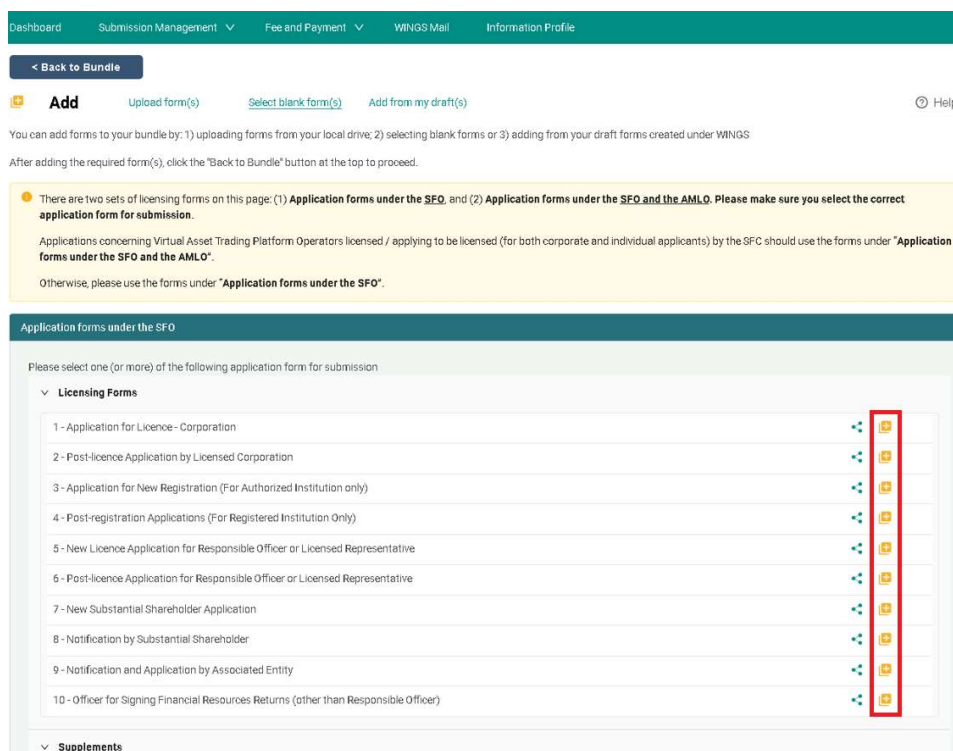
LICENSING APPLICATION BUNDLE


1. Create a Licensing Bundle

- Under “Submission Management”, point to “Application”, then click “Licensing applications”.



- Go to “1. Add” to add blank forms or upload completed forms.
- Select the forms to upload by clicking the “” icon next to the forms.

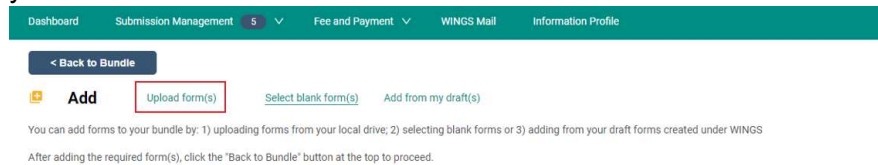


- A licensing bundle will be created. Click the “Back to Bundle” button to view the main page of the bundle. You can then click the “” icon next to the form you want to fill in.

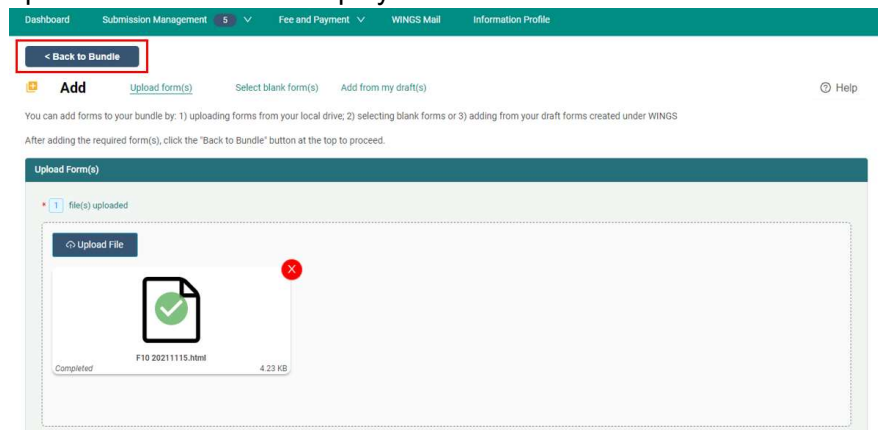
2. Add Licensing Forms to a Bundle

- Upload form(s)

- “Upload form(s)” allows you to upload previously completed forms from your local drive to a bundle on WINGS.

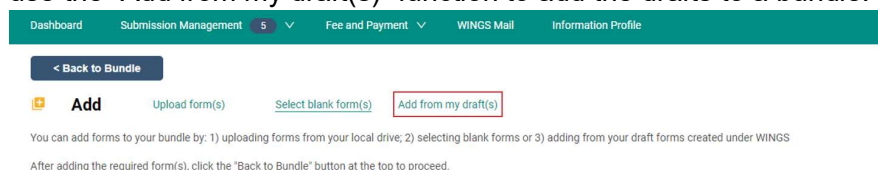


- When finished uploading the forms, click the “Back to Bundle” button to view the main page of the bundle. All the forms including the uploaded forms will be displayed.

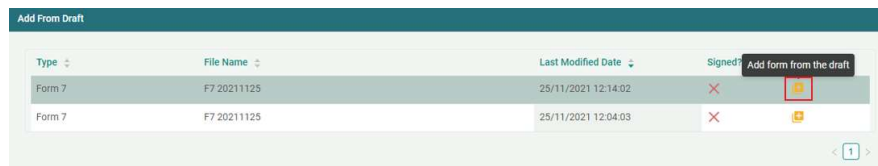


- Add from my draft(s)

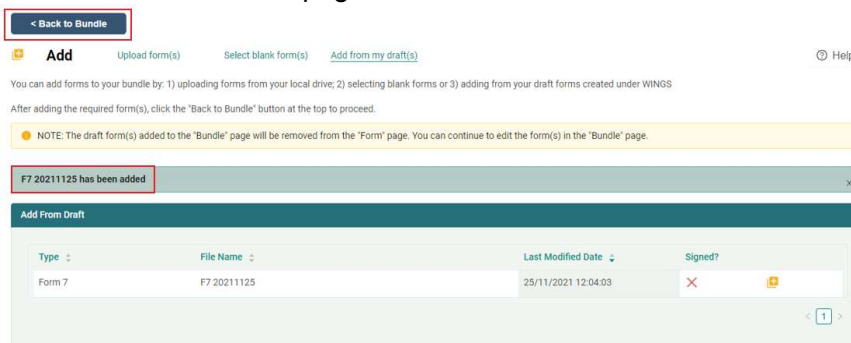
- If you have started filling in or signed a form but only saved it as a draft, use the “Add from my draft(s)” function to add the drafts to a bundle.



- On the “Add from my draft(s)” page, click the icon next to the form you would like to add to a bundle.




- Once you have added the draft forms to a bundle, a notification will be displayed. When finished adding drafts, click the “Back to Bundle” button to view the main page of the bundle.



The screenshot shows the SFC system interface. At the top, there is a navigation bar with the 'Add' button highlighted. Below it, there are instructions on how to add forms to a bundle. A notification banner states: 'NOTE: The draft form(s) added to the "Bundle" page will be removed from the "Form" page. You can continue to edit the form(s) in the "Bundle" page.' Below this, a message box says 'F7 20211125 has been added'. The main content area shows a table with the following data:

Type	File Name	Last Modified Date	Signed?
Form 7	F7 20211125	25/11/2021 12:04:03	<input checked="" type="checkbox"/>



The draft forms added to a bundle will be removed from the “Form” page. You can continue editing the forms on the bundle page.

Note: If you have added the incorrect form into a bundle, you can select the “Move to draft” button () to move the form back to the draft which is under the Submission Management > Draft> Form tab.



The screenshot shows the SFC system interface with a table of forms. The table has columns: Group, Form type and file name, Entity, Last Action, and a set of action buttons. The first row shows a form named 'Form 5 - New Licence Application for Responsible Officer or Licensed Representative' with file name 'F5 20220111'. The 'Last Action' column shows the date '25/01/2022' and time '10:00:12'. The action buttons include a 'Move to draft' button, which is highlighted with a red box and a tooltip that reads: 'Move to draft (under Submission management -> Draft -> Form(s))'.

3. Validate Forms and Bundles

- Completed forms are required to be validated before proceeding to e-signing and submission. To do so, click “2. Validate” on the main page of the bundle.
- On the Validate page, you can validate individual forms one by one by clicking “Validate”  next to the forms, or validate all forms in an application bundle by clicking “Validate Bundle” .

- There are two possible outcomes:



- : The form has successfully passed the validation check.



- : The form has not passed the validation check. An error message will be displayed, showing the parts that require amendments. Specific error messages will be shown next to the fields with problematic inputs. In this case, click the form(s) to make amendments. When finished, click “Save” and re-validate the form(s).

Error Message(s) 6

Part I : Please click here to be redirected for amendment.

Part II : Please click here to be redirected for amendment.


Part III : Please click here to be redirected for amendment.

Part IV : Please click here to be redirected for amendment.

Part V : Please click here to be redirected for amendment.

Part VI : Missing attachment(s). Please attach the required document(s) by editing the form.

- When all forms in the bundle are successfully validated and the above green icon is shown for all forms, click “Validate Bundle”. You will then be able to proceed to e-signing.



Information

You have validated the bundle successfully. You may proceed with e-signature.


Close

4. E-signing

- After successful validation, on the main page of the bundle, click “3. Sign” to proceed to e-signing. There are 2 ways of e-signing: sign forms on your own or route forms to others for signature.

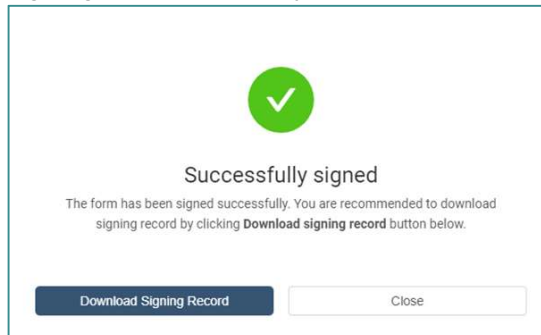
- Sign forms on your own

○ Steps:

- Click the “Sign” button  next to the form you would like to sign.
- A “Sign” pop-up window will display the number of sections that require signature. At the bottom left-hand corner of the window, check the box “Sign on your own”.
- Then, select the section to sign from the drop-down list to proceed.

- Warning messages and specific instructions for different form types will pop up. Read the messages carefully before proceeding.
- At the bottom of the signing page, fill in your information and click “Sign”.
- An Attention window will pop up. You should ensure that you have the relevant authority to sign.

7. If you have successfully signed the section, a “Successfully signed” message will be displayed. You can download the signing record or simply close the window.



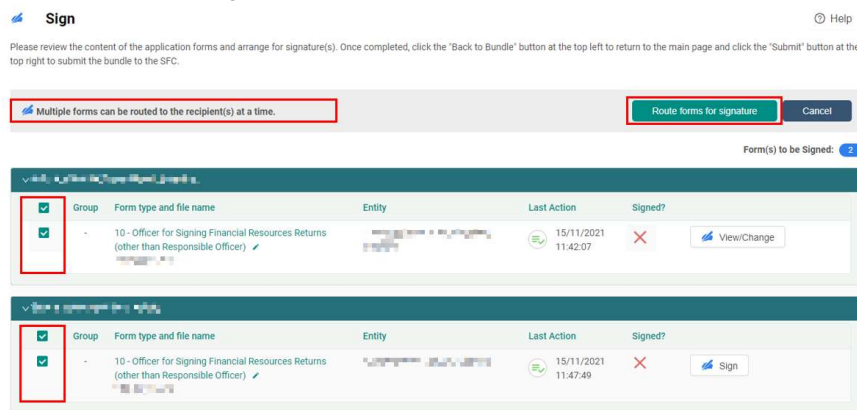
8. Repeat the above steps to sign all sections. Only the sections that are not signed will be shown in the drop-down list mentioned in step (3).

- Route forms for signature

- If you would like to route a form to other signers for signature, select the form by checking the box. Then click “Route forms for signature”.

Route forms for signature

- WINGS allows you to route multiple forms to more than one recipient at a time. To do so, select the forms by checking the boxes and click “Route forms for signature”



Group	Form type and file name	Entity	Last Action	Signed?
<input checked="" type="checkbox"/>	10 - Officer for Signing Financial Resources Returns (other than Responsible Officer)		15/11/2021 11:42:07	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>	10 - Officer for Signing Financial Resources Returns (other than Responsible Officer)		15/11/2021 11:47:49	<input checked="" type="checkbox"/>

- Steps:

1. Fill in the signer's name and e-mail address. The signing request will be sent via e-mail. If you are routing multiple forms to more than one signer, you will need to enter the information for all signers on this page.
2. Enter the signer's name and select the relevant section for the signer to sign in the Section drop down list.

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


Signer Name	E-mail address:
<input type="text"/>	<input type="text"/>
	Confirm e-mail address:
	<input type="text"/>
Section ①:	
<input type="text"/>	

- For data protection, a system-generated verification code will be sent separately to the signer(s). You can choose to send the verification code via SMS or email by selecting “Mobile number” or “E-mail address” respectively from the drop-down list.

Please select the preferred channel:

- Once all the required information is entered, click “Send”.
- The assigned signer(s) will receive an e-mail. He/she should click “Access the e-Signing page” to proceed with e-signing.
- The assigned signer(s) will then receive another e-mail or SMS message with the verification code, depending on the preferred channel chosen by the sender. Enter the verification code in WINGS.

Verification

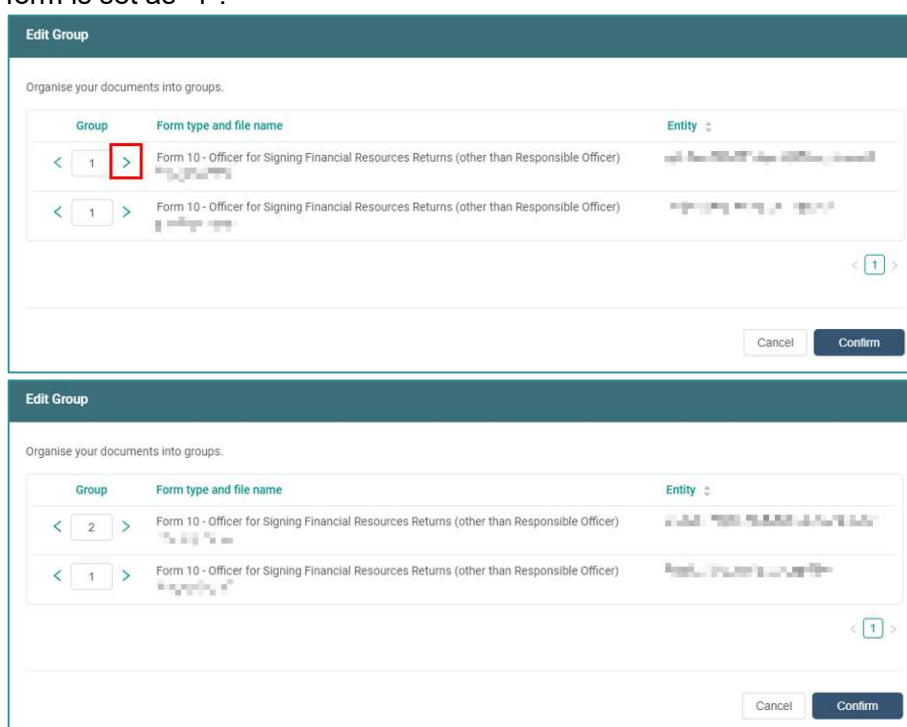
1 You will receive a verification code via your e-mail address:
 670462@...
 You can resend verification code after 1:49.

Please enter the verification code to access the form for e-signing:

- The assigned signer(s) can then sign the form(s) by clicking “Sign”. The remaining signing steps are the same as “Sign form on your own” introduced above.

5. Group Forms (Edit Group)

- If you are submitting more than one application in a bundle (e.g. applying licences for two corporations as a group of companies by submitting two Form 10), you have to group related forms together before submission. Otherwise, a bundle with more than one form may not be able to be submitted. The “Group ID” function allows you to group related forms together.
- You can assign a Group ID for each form by clicking the left or right arrow under “Group” to change the ID number. By default, the Group ID for each form is set as “1”.



Edit Group

Organise your documents into groups.

Group	Form type and file name	Entity
< 1 >	Form 10 - Officer for Signing Financial Resources Returns (other than Responsible Officer)	[Entity Name]
< 1 >	Form 10 - Officer for Signing Financial Resources Returns (other than Responsible Officer)	[Entity Name]

Cancel Confirm

Edit Group

Organise your documents into groups.

Group	Form type and file name	Entity
< 2 >	Form 10 - Officer for Signing Financial Resources Returns (other than Responsible Officer)	[Entity Name]
< 1 >	Form 10 - Officer for Signing Financial Resources Returns (other than Responsible Officer)	[Entity Name]

Cancel Confirm

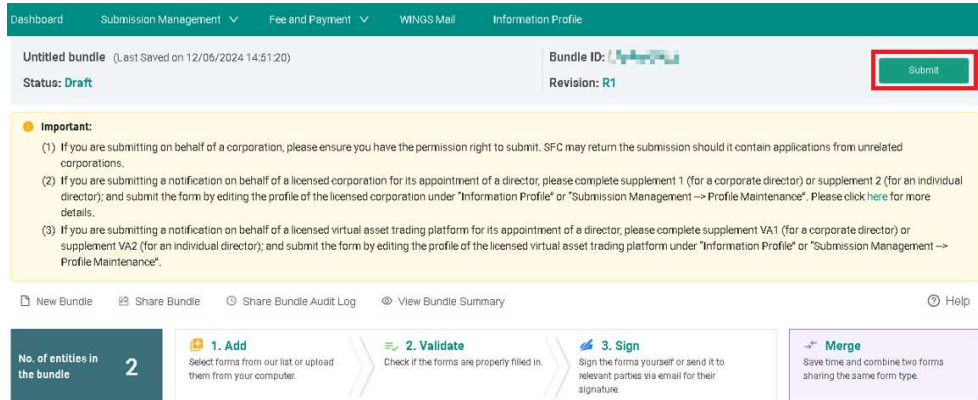
- The updated Group ID will be displayed on the main page of bundle.



Group	Form type and file name	Entity
2	Form 10 - Officer for Signing Financial Resources Returns (other than Responsible Officer) ✓	[Entity Name]
1	Form 10 - Officer for Signing Financial Resources Returns (other than Responsible Officer) ✓	[Entity Name]

6. Submit Bundles

- The “Submit” button will appear only after all forms in the bundle are signed. You will be required to input information of a contact person to submit the bundle.



Dashboard Submission Management Fee and Payment WINGS Mail Information Profile

Untitled bundle (Last Saved on 12/06/2024 14:51:20) Bundle ID: [Redacted] Status: **Draft** Revision: **R1** **Submit**

Important:

- (1) 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.
- (2) If you are submitting a notification on behalf of a licensed corporation for its appointment of a director, please complete supplement 1 (for a corporate director) or supplement 2 (for an individual director); and submit the form by editing the profile of the licensed corporation under "Information Profile" or "Submission Management -> Profile Maintenance". Please click [here](#) for more details.
- (3) If you are submitting a notification on behalf of a licensed virtual asset trading platform for its appointment of a director, please complete supplement VA1 (for a corporate director) or supplement VA2 (for an individual director); and submit the form by editing the profile of the licensed virtual asset trading platform under "Information Profile" or "Submission Management -> Profile Maintenance".

New Bundle Share Bundle Share Bundle Audit Log View Bundle Summary Help

No. of entities in the bundle: **2**

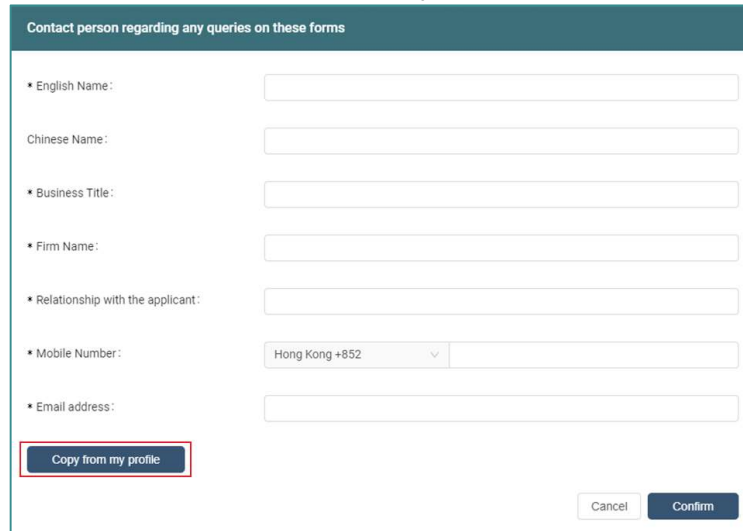
1. Add
Select forms from our list or upload them from your computer.

2. Validate
Check if the forms are properly filled in.

3. Sign
Sign the forms yourself or send it to relevant parties via email for their signature.

Merge
Save time and combine two forms sharing the same form type.

- In the contact person information screen, you may click “Copy from my profile” to populate the information from your account’s profile.



Contact person regarding any queries on these forms

* English Name:

Chinese Name:

* Business Title:

* Firm Name:

* Relationship with the applicant:

* Mobile Number:

* Email address:

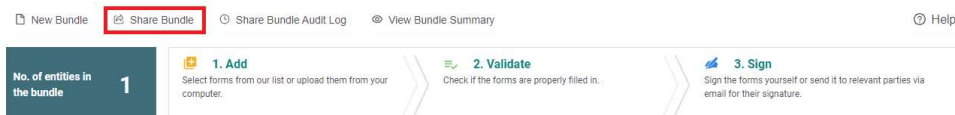
Copy from my profile

Cancel Confirm

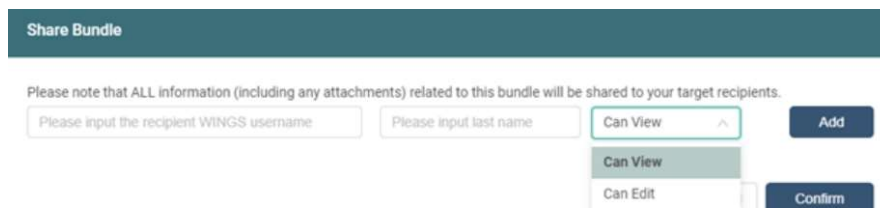
ADDITIONAL FUNCTIONS

7. Share Bundles

- WINGS enables you to share a bundle with other WINGS account users to allow them to view, edit and submit the bundle.

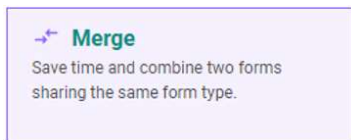


- The “Share Bundle” function on the main page of the bundle allows you to manage your sharing list. You can add new recipients, assign permissions and delete recipients. You can revisit the sharing list anytime.
- You can assign “Can View” or “Can Edit” permission to the target recipients.
 - “Can View” permission allows the target recipients to view forms and bundles, but not edit or submit. Hence, there will be no “Add”, “Validate” or “Sign” buttons on the main page of the bundle.
 - “Can Edit” permission allows the target recipients to view, edit and submit forms and bundles. All “Add”, “Validate” and “Sign” functions will be available for the target recipients.



8. Merge Forms

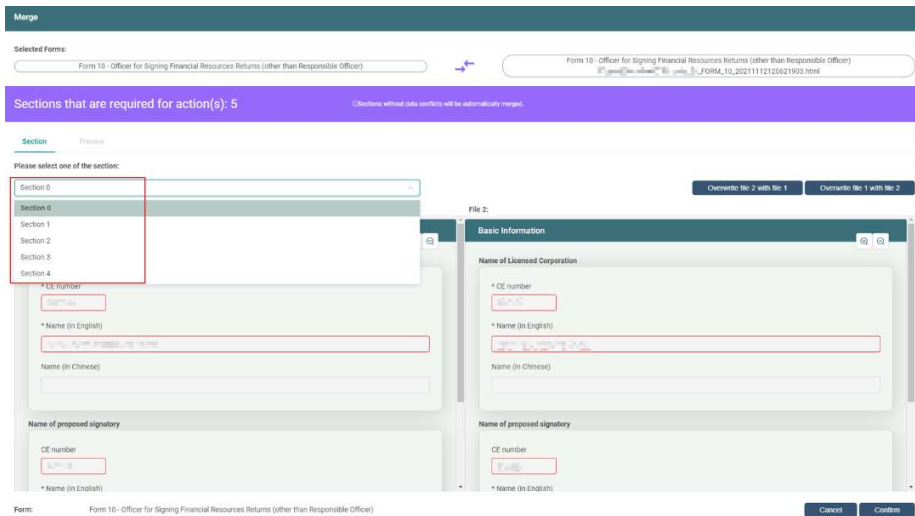
- The system allows you to merge the content of two forms that are of the same form type so that you can make use of the content in a previously downloaded form to save time.



- Steps:
 - On the page of the form you have started editing, click “Merge” and select the other form that you wish to merge with the one you have opened.

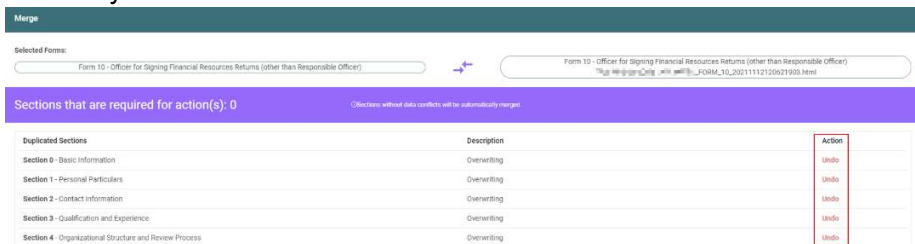


- A window displaying the content of both forms will pop up for comparison. You can compare the two forms on a section-by-section basis by selecting the section number on the drop-down list on the left. For each section, select the way of merging the content by clicking “Overwrite file 2 with 1” or “Overwrite file 1 with 2”.



The screenshot shows a 'Merge' window with two forms side-by-side for comparison. The left form is 'Form 10 - Officer for Signing Financial Resources Returns (other than Responsible Officer)' and the right form is 'Form 10 - Officer for Signing Financial Resources Returns (other than Responsible Officer)'. A dropdown menu on the left allows selecting a section (Section 0, Section 1, Section 2, Section 3, Section 4). Buttons at the top right allow selecting 'Overwrite file 2 with file 1' or 'Overwrite file 1 with file 2'. The forms contain fields for 'Name of Licensed Corporation', 'CE number', 'Name (in English)', 'Name (in Chinese)', and 'Name of proposed signatory'.

- A summary of the merged content will display. You can discard the changes for any section by clicking “Undo” on the right-hand side of the summary.



The screenshot shows a 'Merge' window with a summary table of duplicated sections. The table has columns for 'Section', 'Description', and 'Action'. The 'Action' column contains 'Undo' buttons for each section.

Section	Description	Action
Section 0 - Basic Information	Overwriting	Undo
Section 1 - Personal Particulars	Overwriting	Undo
Section 2 - Contact Information	Overwriting	Undo
Section 3 - Qualification and Experience	Overwriting	Undo
Section 4 - Organizational Structure and Review Process	Overwriting	Undo


- The merged content will then be shown on the form you are working on.



- Please be reminded that you must select the way to merge the content for every section in the forms to complete the merging process.

9. Check WINGS Mail History

- After a bundle is submitted, the “WINGS Mail History” button will appear on the main page of the application bundle. System-generated WINGS mails related to the bundle will be displayed in WINGS Mail History. Bundle submitters and WINGS account users, who have been granted the “Can View” and “Can Edit” permissions, can click “WINGS Mail History” to access the system-generated WINGS mails. Click the mail subject to view the content.

 WINGS Mail History

WINGS Mail History


WINGS Mail related to this bundle (Bundle Ref ID: XXXXXXXXXX)

To	From	Subject	Date	Time
XXXXXXXXXX	Licensing, Intermediaries	Acknowledgement for application submission (Reference ID: XXXXXXXXXX) (提交申請確認書 (參考號: XXXXXXXXXX))	XXXXXXXXXX	XXXXXXXXXX
XXXXXXXXXX	Licensing	Acceptance of application(s)	XXXXXXXXXX	XXXXXXXXXX
XXXXXXXXXX	Licensing, Intermediaries	Acknowledgement for application submission (Reference ID: XXXXXXXXXX) (提交申請確認書 (參考號: XXXXXXXXXX))	XXXXXXXXXX	XXXXXXXXXX

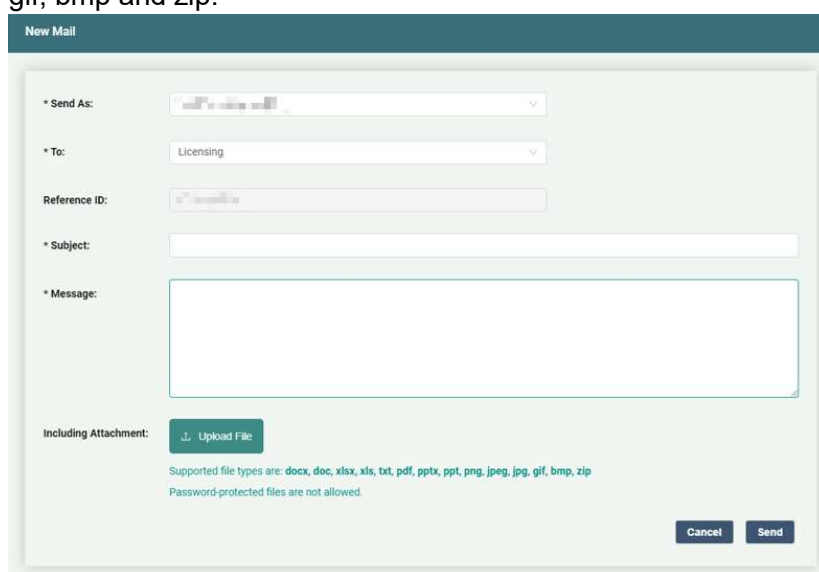
[Back](#)

10. Send WINGS Mail in a Bundle

- "Send WINGS Mail" allows bundle submitters or WINGS account users who have been granted the "Can Edit" permission to send WINGS mails to the SFC regarding the bundle.

 Send WINGS Mail

- In the New Mail window, Reference ID is prefilled. The "Send As" and "To" fields are auto-filled according to the user profile and the type of application of the bundle respectively. You can attach files to your message using "Upload File". Supported file types are docx, doc, xlsx, txt, pdf, pptx, ppt, png, jpeg, jpg, gif, bmp and zip.



The screenshot shows the "New Mail" window with the following fields and controls:

- * Send As:** A dropdown menu with a blurred selection.
- * To:** A dropdown menu with "Licensing" selected.
- Reference ID:** A text field containing a blurred reference ID.
- * Subject:** An empty text field.
- * Message:** A large empty text area for the message body.
- Including Attachment:** A section with an "Upload File" button.
- Supported file types:** A list of supported file types: docx, doc, xlsx, xls, txt, pdf, pptx, ppt, png, jpeg, jpg, gif, bmp, zip.
- Password-protected files:** A note stating "Password-protected files are not allowed."
- Buttons:** "Cancel" and "Send" buttons at the bottom right.

POST-SUBMISSION

11. Submission Tracking

- “Submission Tracking” under “Submission Management” allows you to view submission status. For submissions related to licensing applications, please select “Licensing Application” from the “Submission Type” drop-down menu to search for licensing application submissions, or refer to the submissions under the “Licensing” section, as seen below. Click the “+” button next to the Creation Date for details of a bundle. Depending on the submission type, the Details section might separately show the status of individual forms. If the submission requires payment, “Ready for payment” will be shown.

Submission Tracking

(WINGS Individual Account)
Last login: 10:45 am, 26/06/2024

Dashboard
Submission Management 36
Fee and Payment
WINGS Mail
Information Profile
Corporate Administration

Show: All

Search

Submission Date

Start Date ~ End Date

Reference ID

Entity

Submission Type

Status

Description

Last modified date

Start Date ~ End Date

Reset

Search

Licensing

Result: 2

Bundle(s) shared with you by the others

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
06/06/2024	Licensing Application No. of Application Forms: 5		Submitted	06/06/2024 10:56			<div></div> <div></div>
29/05/2024	Licensing Application No. of Application Forms: 1		In progress	29/05/2024 11:01			<div></div> <div></div>

Total Record(s): 2

<

1



>

Investment Products


Result: 43

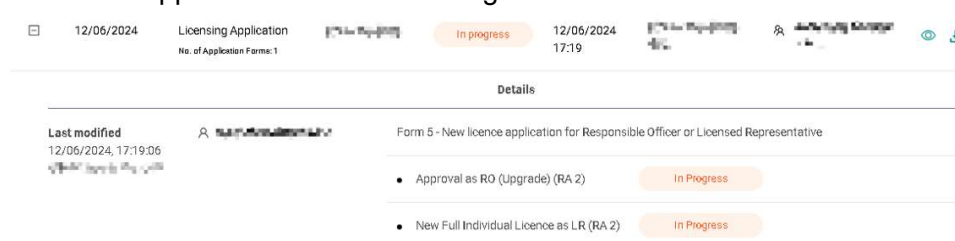
Others

Result: 1

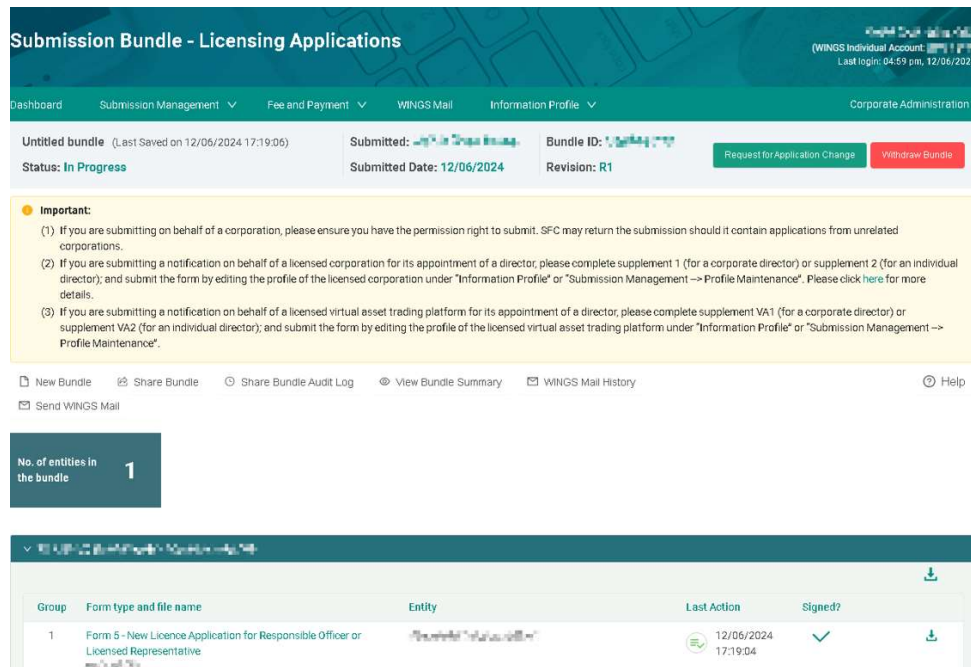
- On this page, you may also find:
 -  : download a zip file which contains copies of the forms and the attachments (such as signed declaration) of the submitted bundle. Files including submitted forms, applicant's declaration and e-signing record will be downloaded in pdf format. The file format for attachments will depend on the original format when they are uploaded to the bundle, which can be png or html.
 -  : go back to the main page of the bundle. The status will be shown as "Submitted". Other functions such as "WINGS Mail History" and "Send WINGS Mail" are available on this page. Please refer to the previous sections in this guide for details.

12. Application Change

- WINGS allows you to make changes to your applications after submission, including withdrawing the whole bundle, adding new forms, removing forms and amending content of submitted forms under certain conditions. Please note that when a task is at the final stage, application changes will not be allowed.
- To make changes to an application, all outstanding invoices related to the application must be paid. The status of the forms will be shown as “in Progress”. You can click the eye icon  to have a detailed view of the submitted application and make changes.



- You will then see the submission details such as submission status, submission date and revision version on the main page of the bundle. On this page, you can withdraw the whole application bundle or make certain amendments.



Group	Form type and file name	Entity	Last Action	Signed?
1	Form 5 - New Licence Application for Responsible Officer or Licensed Representative	[redacted]	12/06/2024 17:19:04	✓




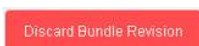

- Withdraw Bundle

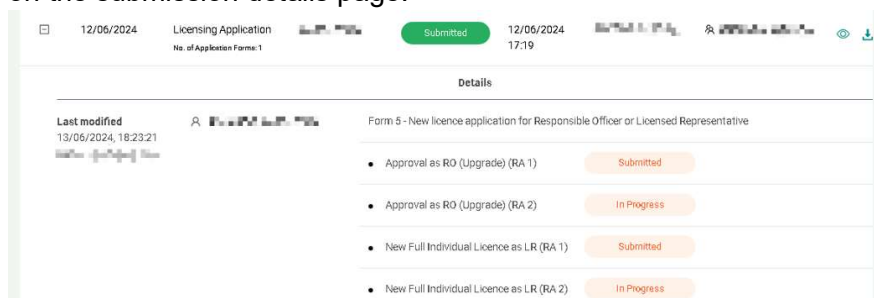
Withdraw Bundle

- This option allows you to withdraw a whole application bundle.
- You have to select the reason of withdrawal in the pop-up window to proceed with the bundle withdrawal.

- Request for Application Change

Request for Application Change

- This option allows you to amend the content of forms, add new forms or remove forms under certain conditions, but not withdrawing a whole application bundle.
- To edit a form, click the pen icon  next to it.
- Amended forms and newly added forms must pass the validation check before proceeding to e-signing and submission.
- On the application bundle submission page, you can:
 -  : undo the changes;
 -  : delete the newly added forms; or
 -  : discard all changes made to the application bundle.
- When finished, click  to submit the revision. The status of the amended forms will be changed from “In Progress” to “Submitted” on the submission details page.



Last modified	Form	Status
13/06/2024, 18:23:21	Approval as RO (Upgrade) (RA 1)	Submitted
	Approval as RO (Upgrade) (RA 2)	In Progress
	New Full Individual Licence as LR (RA 1)	Submitted
	New Full Individual Licence as LR (RA 2)	In Progress