



SECURITIES AND FUTURES COMMISSION

證券及期貨事務監察委員會

8th Floor, Chater House, 8 Connaught Road Central, Hong Kong

香港中環干諾道中八號遮打大廈八樓

e-FRR SYSTEM USER GUIDE

for

Electronic Submission of Financial Return

Version 1.3.1.rev

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1. Introduction

This user guide provides introductory information about the Securities and Futures (Financial Resources) (Amendment) Rules 2008. Also it gives detailed instructions on how to access the e-FRR System and the electronic submission process of financial returns through this system.

2. Background

In November 2007, the SFC issued a consultation paper to seek views from market participants on the amendment of the Financial Resources Rules (“FRR”) to make electronic submission of financial returns mandatory.

The main reasons of the change were to help reduce clerical errors when completing the returns and to minimise undue delays in the analysis of FRR by SFC.

The consultation ended in December 2007 and concluded in March 2008 with general support by the respondents to the proposed amendments. The legislative process of the rules amendment was subsequently completed in June 2008.

With effect from 1 November 2008, the Securities and Futures (Financial Resources) (Amendment) Rules 2008 requires all Licensed Corporations (“LCs”) to submit their financial returns to the SFC electronically by means of an online communication system approved by the SFC, such system is the e-FRR System.

3. System Purpose

The e-FRR System provides a platform for LCs to submit financial returns online by electronically signing the returns with digital certificates issued by the SFC or the Hongkong Post Office.

4. Baseline Specification of Computer System for Electronic Submission

To support the use of the e-FRR System, LCs would need to have computers that meet the baseline requirement specifications as recommended by the SFC.

4.1 Connection Requirement

- Broadband connection to the Internet OR
- Ethernet Service connection to FinNet OR
- Dial-up service connection to FinNet



4.2 Hardware Requirement

- | |
|--|
| <ul style="list-style-type: none">▪ IBM compatible personal computer▪ Pentium IV 2.0 GHz CPU or better▪ 100MB free hard disk space or above▪ 512MB RAM or above (minimum 1GB RAM for Microsoft Vista)▪ USB 2.0 Slot |
|--|

4.3 Software

Operation System	<ul style="list-style-type: none">▪ Microsoft Windows 2000▪ Microsoft Windows XP▪ Microsoft Windows Vista
Internet Browser	<ul style="list-style-type: none">▪ Microsoft Internet Explorer 6.0 or above▪ Firefox 2.0 or above
Java Runtime Environment (JRE)	<ul style="list-style-type: none">▪ Sun JRE 1.3.1/1.4.2/1.5.0/1.6.0+

Exception: Combination of Firefox 2.0.0.x and JRE 1.3.1, and minor release JRE 1.5.0_10 do not support the e-FRR System

4.4 Digital Certificate Requirement

- | |
|---|
| <ul style="list-style-type: none">▪ SFC e-Certificate▪ Hongkong Post e-Cert (Organisational) Certificate |
|---|

Responsible Officers (“RO”) and approved officers for signing financial returns (“AS”) of LCs are required to obtain a digital certificate either from the SFC or from the Hong Kong Post Office for attaching electronic signature onto financial returns before submitting to the SFC.

5. SFC e-Certificate

SFC e-Certificate is a X.509 standard electronic signature key file secured by a personal identification number (“PIN”) and stored in a USB storage device. It is issued by the SFC for the purpose of electronic signing of FRR returns and authentication of the person who signs and submits the returns.

An SFC e-Certificate will only be granted, upon application to the SFC, to an RO or AS approved under section 58(5)(e) of the FRR of a LC.

6. Hongkong Post e-Cert (Organisational) Certificate

RO or AS opting the use of Hongkong Post e-Cert (Organisational) Certificate to provide digital signature on financial returns will need to refer to Hong Kong Post Office (www.hongkongpost.com) in obtaining further information on the application of Hongkong Post e-Cert (Organisational) Certificate and their Certificate Policy of usage.



7. Modes of Accessing the e-FRR System

The e-FRR System can be accessed in 3 modes. The table below shows the matrix of these access modes: -

<i>e-Certs Channels</i>	SFC e-Certificate	Hongkong Post e-Cert (Organisational) Certificate
Internet	Yes ^(Mode A)	No
FinNet	Yes ^(Mode B)	Yes ^(Mode C)

7.1 Mode A: SFC e-Certificate and the Internet

LCs choosing Mode A to access the e-FRR System for electronic submission of financial returns will need to: -

- apply for RO and/or AS an SFC e-Certificate through the SFC. Two SFC e-Certificates will generally be issued to each LC (Please refer to the SFC e-Certificate Application Form for the terms and conditions);
- have the PC(s) for accessing the e-FRR System prepared according to the above section 4. *Baseline Specification of Computer system for Electronic Submission*;
- have the PC(s) connected to the Internet via broadband connection.

(Note: connection to the Internet by using 56kbps modem dial-up in Mode A is NOT recommended)

RO and AS having successfully applied for an SFC e-Certificate will receive: -

- a USB memory device containing the SFC e-Certificate. This will be delivered through courier service via the SFC appointed service provider;
- the associated PIN for the SFC e-Certificate. This will be delivered separately through normal post via the SFC appointed service provider;
- a system login password. This will be delivered through normal post by the SFC.



To access the e-FRR system by Mode A, RO and AS can visit the SFC Website at www.sfc.hk and look for the e-FRR icon depicted on the left and click onto it to access the e-FRR System. Alternatively, the e-FRR System can be accessed directly through <https://efrr.sfc.hk>.






7.2 Mode B: SFC e-Certificate and the FinNet

LCs choosing Mode B to access the e-FRR System for electronic submission of financial returns will need to: -

- apply for RO and/or AS an SFC e-Certificate through the SFC. Two SFC e-Certificates will generally be issued to each LC (Please refer to the SFC e-Certificate Application Form for the terms and conditions);
- have a FinNet Terminal that is connected through the *FinNet Ethernet Link service*¹, or have a *CCASS Terminal in the HKEx CCASS/3 System*².

RO and AS having successfully applied for an SFC e-Certificate will receive: -

- a USB memory device containing the SFC e-Certificate. This will be delivered through courier service via the SFC appointed service provider; 
- the associated PIN for the SFC e-Certificate. This will be delivered separately through normal post via the SFC appointed service provider; 
- a system login password. This will be delivered through normal post by the SFC. 

To access the e-FRR system by Mode B, RO and AS can visit the FinNet Portal at www.finnet.hk by using FinNet or CCASS Terminals and look for the e-FRR icon depicted on the left and click onto it. Alternatively, the e-FRR System can be accessed directly through <https://efrr.finnet.sfc.hk>.



7.3 Mode C: Hongkong Post e-Cert (Organisational) Certificate and the FinNet

LCs choosing Mode C to access the e-FRR System for electronic submission of financial returns will need to: -

- apply for a Hong Kong Post e-Cert (Organisational) certificate;
- subscribe or already has the *FinNet Ethernet Link service* installed by FinNet or a 56kbps modem dial-up account;

¹ Please refer to www.aboutfinnet-hk.net for details in subscribing the service

² Please contact Hong Kong Exchanges and Clearing Limited (HKEx) for more information on CCASS/3 service



- have the FinNet Terminal setup according to the “*FinNet PC Connection Guide*”³ if it is connected through the FinNet Ethernet Link, or according to the “*FinNet Dial-up Configuration Guide for Windows XP/2000*”⁴ if it is connected through a 56kbps modem dial-up access;
- have e-Cert FileGuard⁵ or Crypto Tools software installed on a PC for digitally signing financial returns with Hongkong Post e-Cert.

RO and AS having successfully applied for a Hongkong Post e-Cert (Organisational) certificate should receive the e-Cert and PIN from Hong Kong Post Office directly.

LCs established before 31 August 2008 should have received a corporate login account and password automatically from the SFC. New LCs established on 1 September 2008 onward will be asked by the SFC to indicate FRR submission mode preference. The corporate login account and password will only be issued if Mode C is being selected.



To access the e-FRR system by Mode C, LCs can visit the FinNet Portal at www.finnet.hk by using FinNet (through Ethernet Link or dial-up services) or CCASS Terminals.

8. Security Aspects

The e-FRR System is secured and protected from unauthorised access and hacking by implementing industrial standard security features. A brief description of these security features are listed below as an overview.

8.1 Dual-Factor Authentication

The implementation of the use of the SFC e-Certificate and its PIN and individual Login Password ensures only those who are authorised can accessed the e-FRR System.

For anyone to be able to access the e-FRR System this person will need to be an RO or AS approved by the SFC and has successfully applied for an SFC e-Certificate. The SFC e-Certificate, the PIN and the Login Password are delivered to the authorised person in separate cover by courier and postal services.

Both the SFC e-Certificate (and PIN) and the Login Password must be used at the same time to authenticate the person accessing the e-FRR System.

8.2 Data Encryption

168bits Triple DES (Data Encryption Standard) technology is used to encrypt the FRR file before transmission over the Internet. Also, secured channel is established by the use of 128bits SSL (Secure Socket Layer)

³ Found in www.aboutfinnet-hk.net under Download -> Publication -> Set Up Guide - Client Access (FinNet Only)

⁴ Found in www.aboutfinnet-hk.net under Download -> Publication -> Set Up Guide - FinNet :. Dial Up Access

⁵ Can be downloaded from www.hongkongpost.com



protocol, which provides data packets encryption between the client PC and the server.

8.3 Application Program Protection

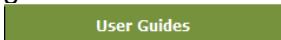
The Java Applet (the Application Program) is signed by Code Signing Digital Certificate/ID for secure delivery over the Internet.

The system also automatically disconnects idle sessions that are more than 15 minutes to safeguard those who have forgotten to logout from the System.

8.4 Network Protection

Multi-layer firewalls protection is built into the system architecture securing unauthorised access and hacking activities.

8.5 Security Tips

A separate guideline providing security tips and best practise on how to protect your interests when using the e-FRR System is available for download. Please refer to the guideline titled “**Security Tips For Using The e-FRR System**” under the  section.

9. Contact Us

If you encounter any problem when using the e-FRR System or should you have any other matter relating to the system, please feel free to contact us by the following: -

Contact	: e-FRR System Helpdesk
E-mail	: e-frrhelp@sfc.hk
Telephone	: (852) 2283 6883
Fax	: (852) 2293 5824
Normal Service Hours:	
Monday to Friday (except Hong Kong SAR public holidays)	
9:00am to 12:30pm and 2:00pm to 6:00pm	

10. Scope of the User Guide

The instructions provided in this user guide for using the e-FRR System will only apply to the version by Mode A and Mode B accesses. For the e-FRR



System version in Mode C access, please download and refer to the user guide provided in FinNet.

11. Access the e-FRR System

The client-side program is a “Java Applet” which automatically downloads onto your PC when you access the e-FRR System the first time or when there is new release. Please make sure your PC allows the downloading of this applet.

11.1 Installing the Program

The client-side program code (the Java Applet) has been digitally signed by VeriSign’s code signing digital ID. Please make sure the security warning indicates the program being downloaded is distributed by “Securities and Futures Commission”.

Before entering the login page, a “Warning – Security” prompt will appear (Figure 1):

- You may click to accept the program this time, but this prompt will appear next time when entering the login page again.
- Instead, you may click to accept the program and this prompt will not appear in the next login.

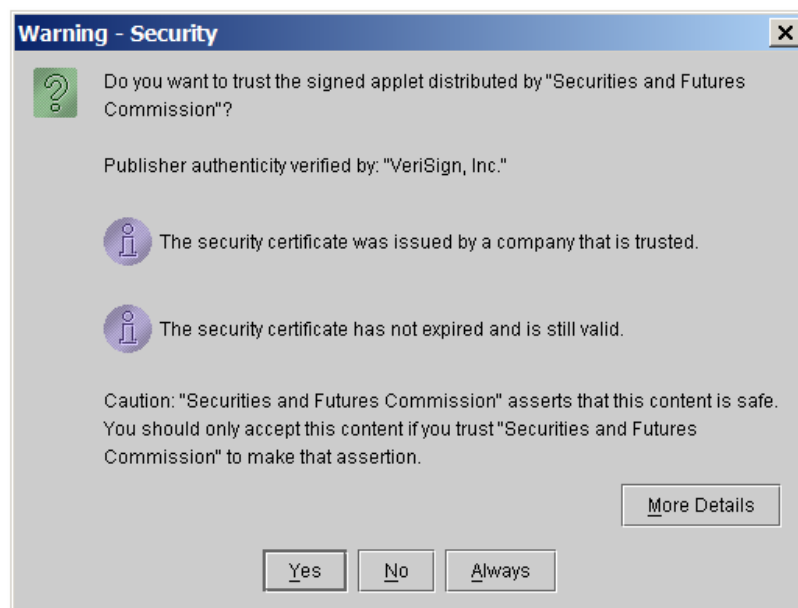


Figure 1: Security Warning Prompt

- Once the security warning prompt has been acknowledged, the checking of prerequisite installation of software components will begin, such as browser and JRE version in used and installed on your PC.
- If version does not comply with the baseline specification standard as specified in section 4 *Baseline Specification of Computer System for Electronic Submission*, a warning window will prompt to give brief



description of the issue, please read message and comply with the standard if so.

11.2 Checking the Baseline Specification of Computer System

11.2.1 Invalid Browser

- If you are using an Internet browser other than the ones specified in section 4 *Baseline Specification of Computer System for Electronic Submission* to access the e-FRR System, you will be prompted with a recommendation (Figure 2).
- The system will allow you to continue if you wish to despite a different browser is being used, however, since the non-standard browser were not tested; you might encounter unexpected errors or problems when using the system.

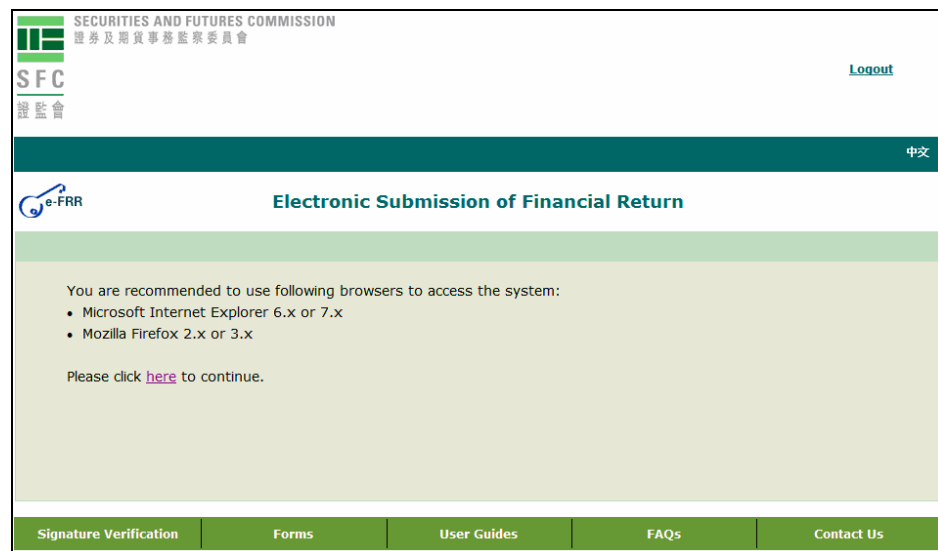


Figure 2: Invalid Browser Warning

11.2.2 Invalid JRE Version / Developer

- If you are using a JRE version not covered under section 4 *Baseline Specification of Computer System for Electronic Submission* or a JRE developed by other software vendor such as Microsoft or IBM to access the e-FRR System, you will be prompted with a recommendation (Figure 3).
- The system will allow you to continue if you wish to despite a different JRE is being used, however, since the non-standard JRE were not tested; you might encounter unexpected errors or problems when using the system.

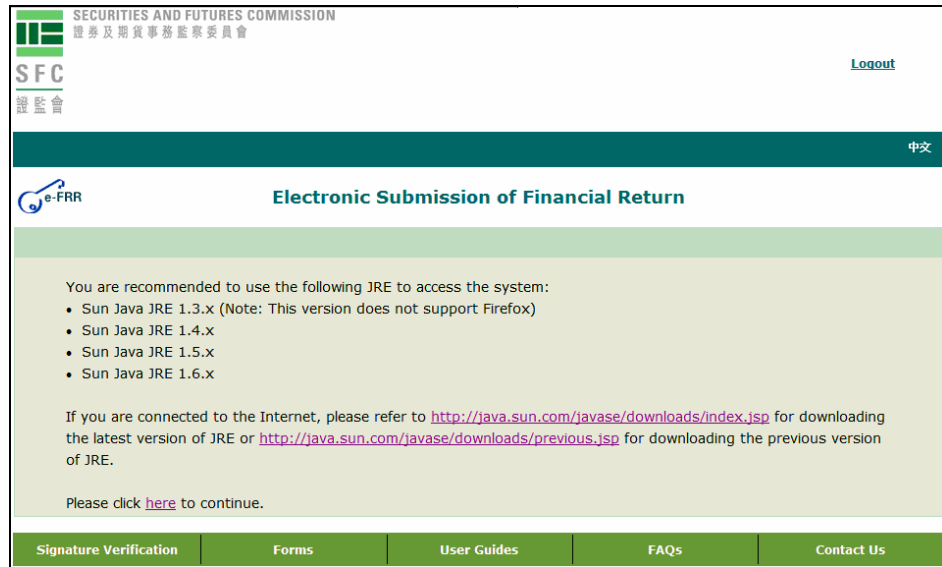


Figure 3: Invalid JRE Version / Developer Warning

11.2.3 No JRE Installed or Enabled

- If the PC you are using to access the e-FRR System has not been installed with a JRE complying with a version under section 4 *Baseline Specification of Computer System for Electronic Submission* or that you have installed a correct version of JRE but has not enabled the browser to use it, you will be prompted with a recommendation (Figure 4).
- In such case, you are required to install or enable JRE before you can continue to access the e-FRR System.

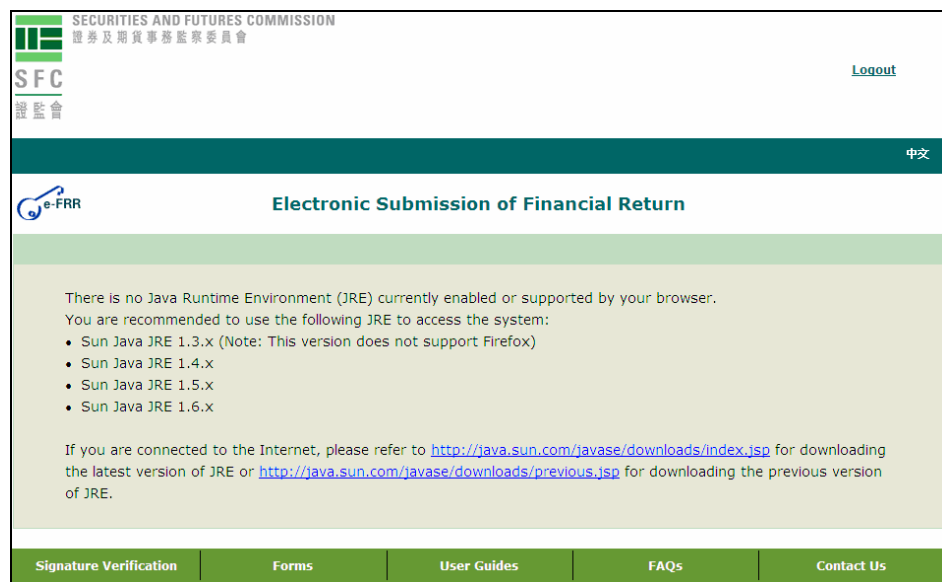


Figure 4: No JRE Installed or Enabled Warning

12. System Login

Once the checking of the required system components has been verified to be correct, the “Login” screen will appear (Figure 5).

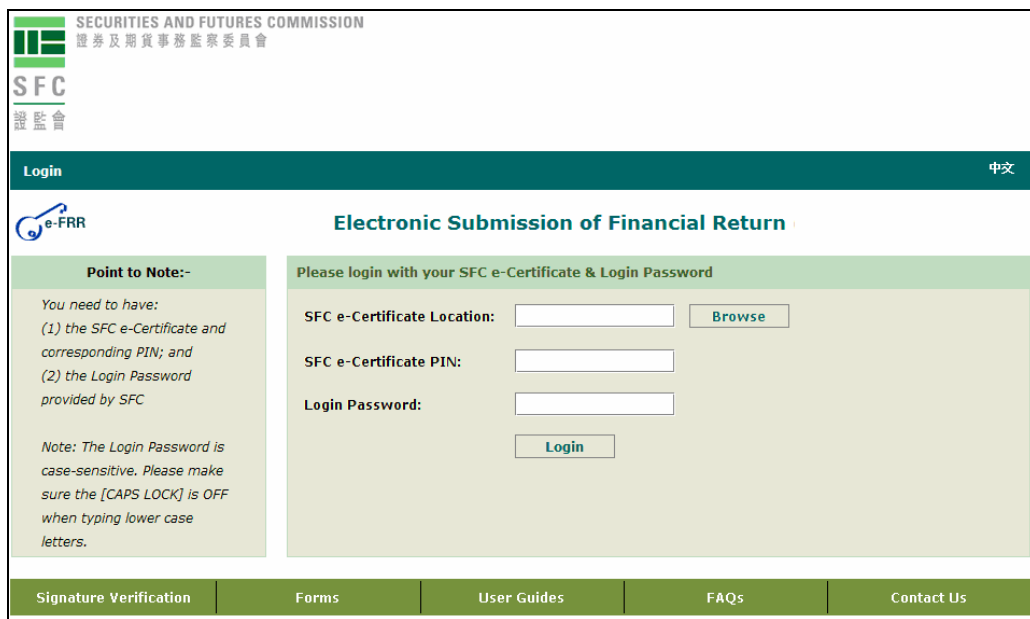


Figure 5: e-FRR System Login Screen

- **Location of SFC e-Certificate** – first locate the SFC e-Certificate which is stored in the USB memory device. Click the **Browse** button to locate the SFC e-Certificate, the extension of the e-Cert file is of **p12** type (Figure 6),

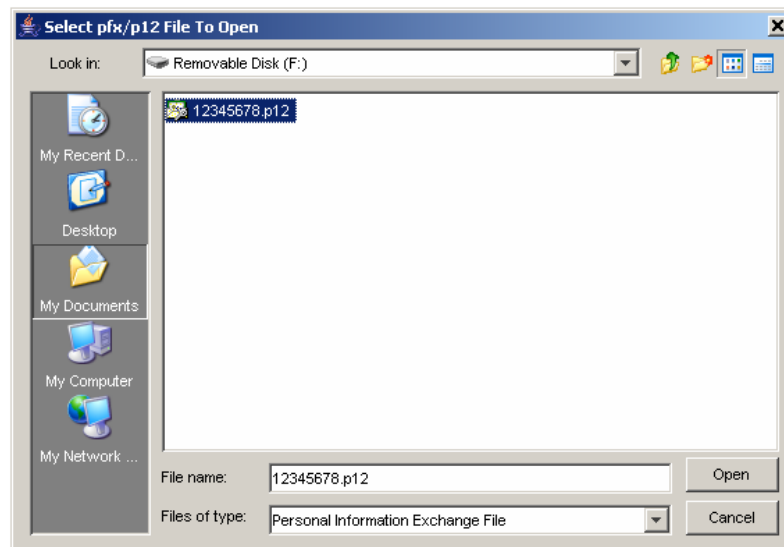


Figure 6: Browse for SFC e-Certificate

- **SFC e-Certificate PIN** – type in the SFC e-Certificate PIN next. The PIN is found in the PIN Mailer. The default original PIN is of 8 characters long, made up of the alphabets “A” to “F” (in upper-case) and the numbers “0” to “9”.
- **Login Password** – type in the Login Password. The Login Password is found in the letter sent by the SFC. The original Login Password is of 8 characters long, made up of the alphabets “a” to “z”, “A” to “Z” and the numbers “0” to “9”.



Important: You are advised to change your PIN and Login Password immediately after your first successful logon. For steps in how to change your PIN and Login Password, you may refer to section 16 – *Change Password / PIN* for details.

Note: Please take care when entering PIN and Login Password that contains the letter “O” and the number “0”, the letter “I” and the number “1”, and the letter “B” and the number “8”.

- Click the button to proceed (Figure 7). If the credentials are correct and valid, you will then be logged into the system.

Please login with your SFC e-Certificate & Login Password

SFC e-Certificate Location:

SFC e-Certificate PIN:

Login Password:

Figure 7: Proceed to Login

13. System Entry

After a successful login, depending on the association between RO/AS and licensed firms/entities, different entry screens may display. This section describes the different scenarios when entering the system.

13.1 Scenario 1: RO / AS representing single licensed firm / entity

13.1.1 With one pending financial period

- Normally, there should be only one outstanding submission period, when this is so, you will be brought directly into the “Submit FRR” screen (Figure 8).

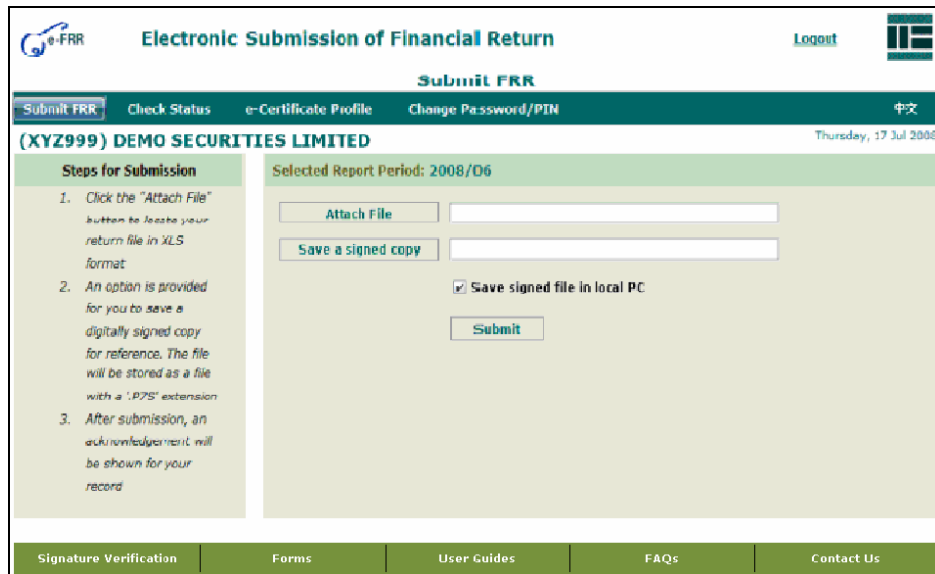


Figure 8: Submission Screen

- At the “Submit FRR” screen, the name of the licensed firm/entity associated to the RO/AS (Figure 9) and the pending submission period (Figure 10) are displayed for verification purpose.

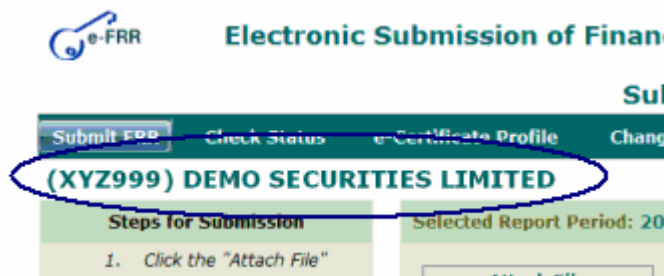


Figure 9: Name of Licensed Firm/Entity for FRR Submission

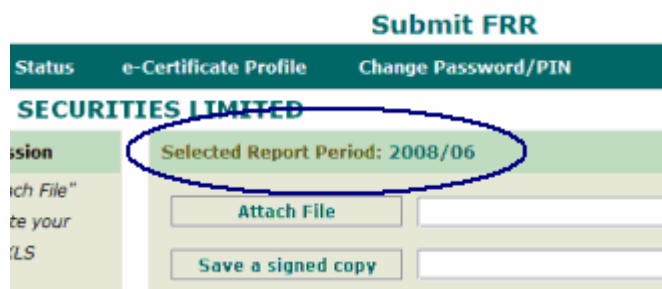


Figure 10: Submission Period

- If the name of the licensed firm/entity is incorrect or that the pending submission period is not the one you are expecting, please contact your SFC Case Officer immediately for assistance.

13.1.2 With multiple pending financial periods

- In the case when your licensed firm or entity has more than one reporting periods pending submission, the entry screen will indicate this (Figure 11).

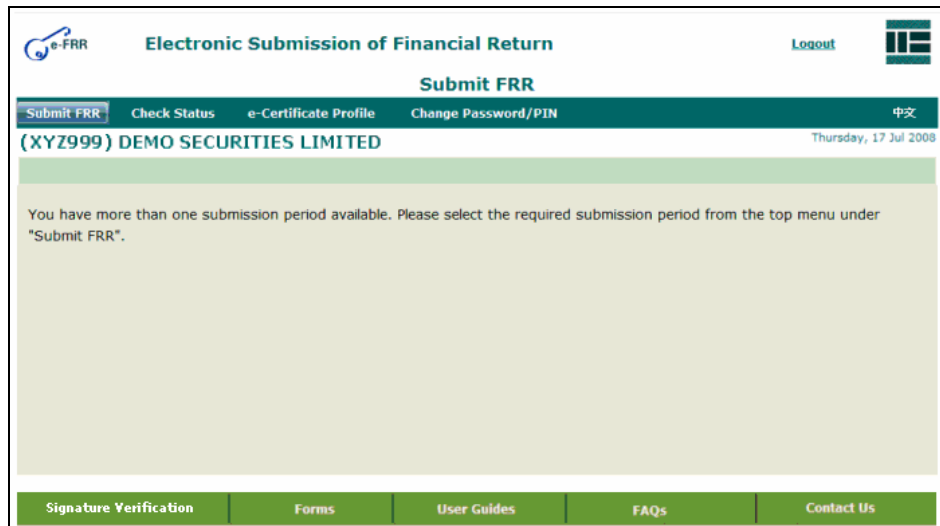


Figure 11: Multiple pending financial periods

- For multiple reporting periods pending submission, you will need to select the appropriate period by clicking the **Submit FRR** option from the top menu bar. This will pull down the available list of periods for selection (Figure 12).

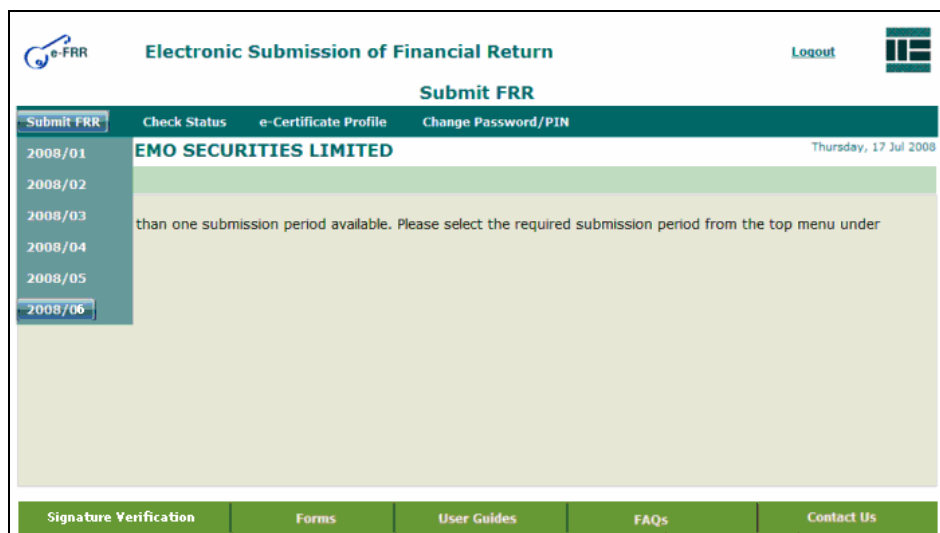


Figure 12: Pull down list with available financial periods

13.1.3 With no pending financial period

- When all pending FRR have been submitted, the entry screen will display a message indicating this (Figure 13).

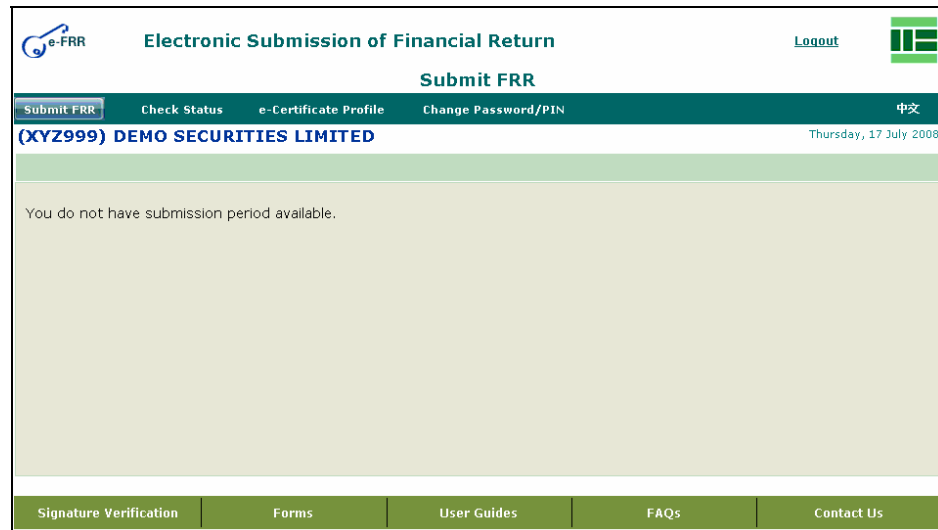


Figure 13: No pending financial period available

13.2 Scenario 2: RO / AS representing multiple licensed firms / entities

- When more than one firm or entity is associated with the RO / AS, the list of the associated firms or entities will be available for selection at the entry screen (Figure 14).

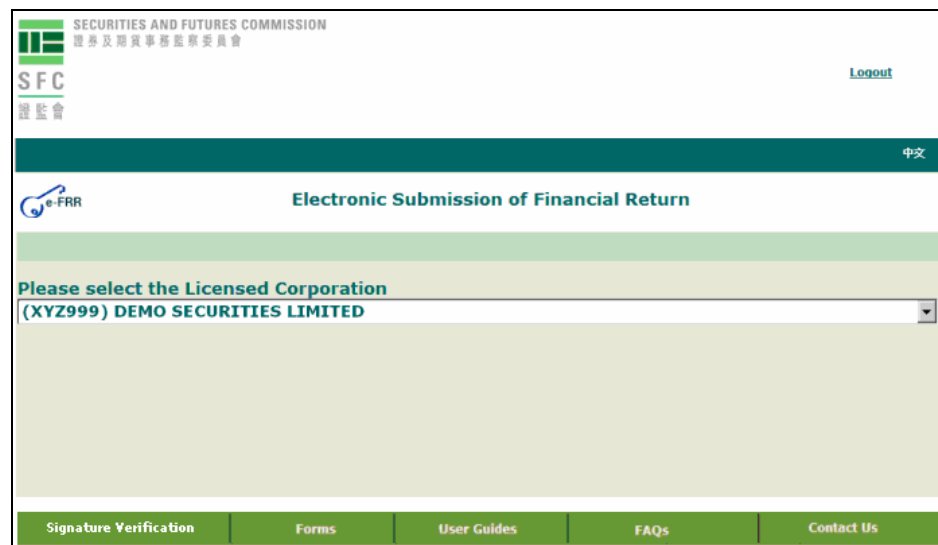


Figure 14: Multiple firms or entities for selection

- To select the relevant firm or the entity for the submission of financial return, click onto the down arrow at the drop down box (Figure 15) to display the list of associated firms or entities (Figure 16).





Figure 15: Pull down box

Figure 16: Pull down list of associated firms / entities

- Click onto the firm / entity being selected, this will bring you to the “Submit FRR” screen (Figure 17). This example shows that “(XYZ999) DEMO SECURITIES LIMITED” has been selected.

Figure 17: Submission screen for multiple firms / entities

- You may change to another associated firm or entity anytime by clicking the pull down box to display the list (Figure 18).



Electronic Submission of Financial Return

Submit FRR

Submit FRR | Check Status | e-Certificate Profile | Change Password/PIN | 中文

Current Selected Company: Thursday, 17 Jul 2008

(XYZ999) DEMO SECURITIES LIMITED

(XYZ999) DEMO SECURITIES LIMITED

(ABC111) DEMO FINANCE LIMITED

button to locate your return file in XLS format

2. An option is provided for you to save a digitally signed copy for reference. The file will be stored as a file with a '.P7S' extension

3. After submission, an acknowledgement will be shown for your record

Attach File

Save a signed copy

Save signed file in local PC

Submit

Signature Verification | Forms | User Guides | FAQs | Contact Us

Figure 18: Pull down firms / entities list at Submit FRR screen

14. Types of FRR Submission

There are three types of FRR submission available in the e-FRR System:

- *Normal FRR Submission* – for monthly submission or semi-annual submission.
- *Rejected FRR* – for re-submitting FRR which is rejected by the system.
- *Request for FRR Revision* – for revision of completed FRR submitted in last three reporting periods. You will need to provide the reason(s) before a request for revision can be made for the SFC to process.

Note: The next financial reporting period pending for submission is available from the 3rd working day of every month (for monthly submission), and the 3rd working day of January and 3rd working day of July for bi-annually submissions.

14.1 Normal FRR Submission

You should conduct the following to submit FRR for a required reporting period.

- At the “Submit FRR” screen (Figure 19), ensure that the reporting period is correct, e.g. 2008/06 means the month of June of year 2008.

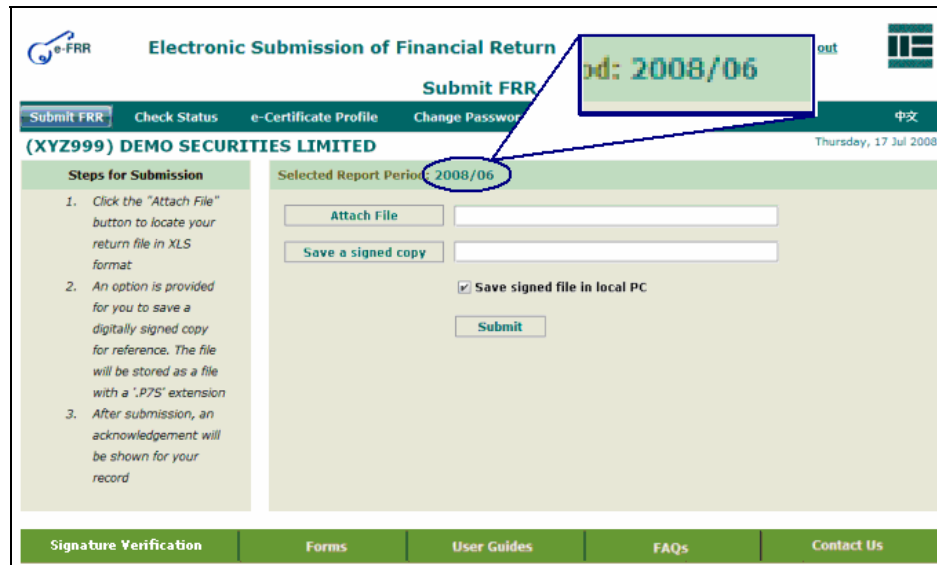


Figure 19: Submission period

- Click on the **Attach File** button to locate your FRR file (in **xls** format). A “Select File to Submit” window will display. Navigate to the folder containing the FRR file then select and open the file. Figure 20 shows an example of a FRR file selection.

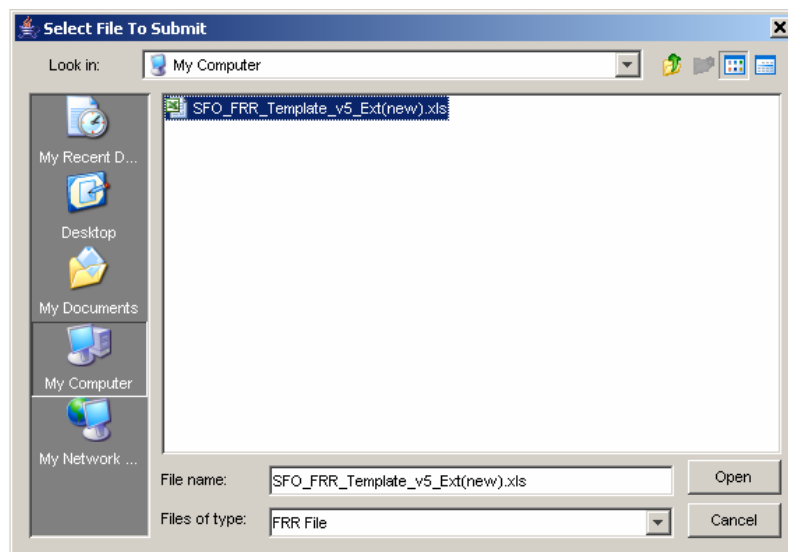


Figure 20: Select File to Submit window

- Ensure the “Save signed file in local PC” option is checked **Save signed file in local PC** if you wish to make a copy of the electronically signed version of the FRR being submitted for reference. This option is selected by default.
- The default path for storing the signed copy is the same location of the unsigned FRR file (Figure 21). Optionally you can uncheck this option if you do not required such copy, but please take note that once the submission is completed, you will not be able to retrieve the signed copy via the online system. You may contact your SFC Case Officer to obtain past copies.



The screenshot shows a web form with the following elements:

- Attach File** button next to a text input field containing: `C:\SFC_FRR_Template_v5_Ext(new).xls`
- Save a signed copy** button next to a text input field containing: `C:\SFC_FRR_Template_v5_Ext(new).xls.p7s`
- A checked checkbox labeled **Save signed file in local PC**
- A **Submit** button at the bottom.

Figure 21: Files path

Note: to verify the electronic signature of the signed copy saved on your PC, a utility tool to check the signature and extract the original version of the financial return is available in the e-FRR System. Please refer to section 18.1 *Signature Verification* on the instruction to use the utility tool.

- Click **Submit** to begin the submission process. Your FRR file will be:
 - i. digitally signed by the SFC e-Certificate; and
 - ii. compressed to make the size smaller for quicker delivery; and
 - iii. encrypted for additional safety; and
 - iv. transmitted through a secured channel to the SFC for verification and process.
- Once the FRR has been successfully transmitted, an acknowledgment screen indicating details of the submission will display, including a transaction number, reporting period and submitted date and time etc. as reference (Figure 22).
- You can click **Print** to print out a paper copy of the acknowledgement provided a printer is connected to your PC, or click **Save** to download a text copy of the acknowledgement for your record (Figure 23).

Note, if you encounter messages other than the acknowledgement screen, please contact our e-FRR System Helpdesk Hotline for assistance.



Electronic Submission of Financial Return

Submit FRR Check Status e-Certificate Profile Change Password/PIN 中文

(XYZ999) DEMO SECURITIES LIMITED Thursday, 17 Jul 2008

Steps for Submission

1. Click the "Attach File" button to locate your return file in XLS format
2. An option is provided for you to save a digitally signed copy for reference. The file will be stored as a file with a ".P7S" extension
3. After submission, an acknowledgement will be shown for your record

FRR Submission Acknowledgement

Transaction Number:	SIT135
Reporting Period:	2008/06
Status:	In Progress
Name of Licensed Corporation:	DEMO SECURITIES LIMITED
CE Reference Number:	XYZ999
Submitted By:	PQR888
Submitted Time:	17 Jul 2008 02:42 PM

Signature Verification Forms User Guides FAQs Contact Us

Figure 22: Submission successful acknowledgement (on screen)

```
Electronic submission of Financial Return
Transaction Number : SIT135
Reporting Period : 2008/06
Status : In Progress
Name of Licensed Corporation : DEMO SECURITIES LIMITED
CE Reference Number : XYZ999
Submitted By : PQR888
Submitted Time : 17 Jul 2008 02:42 PM
```

Figure 23: Submission successful acknowledgement (on file)

- The immediate status of a successful submission is indicated as "Submitted". This means that the submitted FRR has been received by the e-FRR System.
- The system will normally take 30 to 60 minutes to validate the submitted FRR. When the initial stage of validations has been passed, you may check the status of the submission via the function (Please refer to section 15 *Check Status* for more details).

Important: There are a few important points to note in minimising validation error after submission of financial return.

- i. Use the original financial return template. You can download the latest version from the e-FRR System or from the SFC Website⁶
- ii. Do not set your own password protection on the copy of financial return being submitted

⁶ <http://www.sfc.hk/sfc/html/EN/forms/supervision/return/return.html>



- iii. Do not compress the size of financial return, e.g. do not use file archivers such as WinZip and WinRAR etc. to compress financial return
- iv. Do not change the file extension of financial return. The correct format of financial return is **xls** (Microsoft Office Excel)
- v. The financial return form has built-in validation checks to ensure you have correctly inputted the necessary information. Although the form will allow file saving even when errors are found, make sure all validations have been passed before making submission.

14.2 Rejected FRR

- In the event that a FRR for a particular period is rejected by the SFC, you will be notified by SFC Case Officer and you are required to perform a re-submission of the concerned FRR. This can be observed by checking the status of your submissions through the **Check Status** function at the top menu bar (Please refer to section 15 *Check Status* for more details).
- Rejected FRR is indicated as “For Re-submission” status (Figure 24).

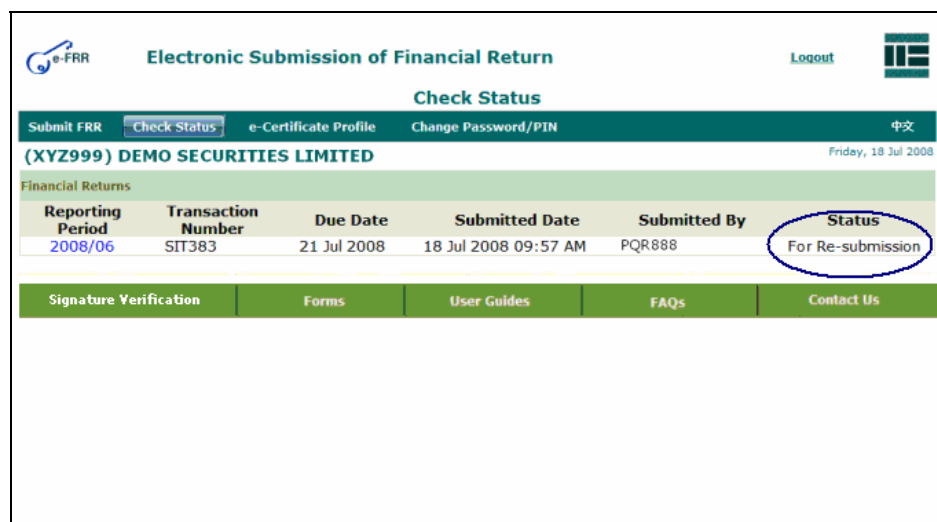


Figure 24: Rejected FRR shown in Check Status Screen

- In the above example, the FRR for the reporting period 2008/06 was rejected by the SFC and is required for amendment and re-submission.
- To learn about the rejected reason, click on **Submit FRR** from the top menu bar to pull down the list of pending periods for FRR submission (Figure 25).



Figure 25: Select reporting period

- Click on the concerning reporting period, e.g. 2008/06 in this case. This will bring you to the “Submit FRR” screen where the rejected reason is stated for your appropriate action (Figure 26).

Rejected Reason: Fail to pass 2nd Level data validation, Please check. Your CE Reference Number should be DM0002 You should submit the reporting period of 2008/05

Selected Report Period: 2008/06

Rejected Reason: Fail to pass 2nd Level data validation, Please check. Your CE Reference Number should be DM0002 You should submit the reporting period of 2008/05

Steps for Re-submission

1. Click the “Attach File” button to locate your return file in XLS format
2. An option is provided for you to save a digitally signed copy for reference. The file will be stored as a file with a ‘.P7S’ extension
3. After submission, an acknowledgement will be shown for your record

Save signed file in local PC

Signature Verification | Forms | User Guides | FAQs | Contact Us

Figure 26: Reason for Rejected FRR

- Fix and revise the concerning FRR accordingly and re-submit the amended FRR via the “Submit FRR” screen. You may follow the steps described in section 14.1 Normal FRR Submission to re-submit your FRR.

14.3 Request for FRR Revision

In the event that you need to revise a submitted FRR, you can do so by making a request for revision.

There are two ways in making a request, i) contact your SFC Case Officer and ii) via the e-FRR System.

The conditions under a Request for Revision scenario via the e-FRR System:

- The status of the FRR requiring revision is “Submitted”.
- The FRR requiring revision is within the last three reporting periods.
- A valid justification of a revision request is provided.

The following instructions will show you how to make a request for revision via the e-FRR System.



- Click on the **Check Status** function from the top menu bar to bring up the “Check Status” screen (Figure 27). This screen will display the list of all previous submissions for the licensed firm / entity.

Reporting Period	Transaction Number	Due Date	Submitted Date	Submitted By	Status
2008/06	SIT1637	21 Jul 2008	21 Jul 2008 05:04 PM	PQR888	Submitted
2008/05	SIT1504	21 Jun 2008	20 Jun 2008 04:33 PM	PQR888	Submitted
2008/04	SIT1336	21 May 2008	21 May 2008 08:18 PM	PQR888	Submitted
2008/03	SIT1005	21 Apr 2008	19 Apr 2008 12:02 PM	PQR888	Submitted
2008/02	SIT0899	21 Mar 2008	20 Mar 2008 03:12 PM	PQR888	Submitted
2008/01	SIT0505	21 Feb 2008	17 Feb 2008 11:53 AM	PQR888	Submitted

Figure 27: Check Status screen

- Select the concerning submission by clicking on the appropriate reporting period (Figure 28).

Reporting Period	Transaction Number	Due Date
2008/06	SIT1637	21 Jul 2008
2008/05	SIT1504	21 Jun 2008

Figure 28: Selecting reporting period

- The details of the selected record will be displayed (Figure 29). Submissions made in the last three periods will have a **Request Revision** button available. Other submissions made earlier than 3 months ago will not have this button.

Transaction Number:	SIT1504
Reporting Period:	2008/05
Status:	Completed
Name of Licensed Corporation:	DEMO SECURITIES LIMITED
CE Reference Number:	XYZ999
Date of return received:	29 Jul 2008
Submitted By:	PQR888
Submitted Time:	29 Jul 2008 05:11 PM

To apply for a new revision, please click this button: **Request Revision**

Figure 29: Check Status – Request for Revision



- Click onto the **Request Revision** button to start the request process. The “Request Revision” page will display showing the same details as the “Check Status” screen with an additional field for inputting the reason of the revision (or amendment) request (Figure 30).

Figure 30: Request for Revision page

- Type in the reason in the “Revision Reason / Amendment Description” box (Figure 31).

Figure 31: Input reason for revision request

- Click **Submit** to send the request to the SFC. An acknowledge screen (Figure 32) will display indicating that the request has been submitted.

Figure 32: Request for Revision acknowledgement



- The time taken by the SFC to process your request will depend on the validity of your justification. Should you have question about requesting for revision, please contact your SFC Case Officer for assistance.
- Once the revision request is approved by the SFC, the concerning reporting period will reappear in the pull down list under **Submit FRR** with a * beside the reporting period during your next logon to the e-FRR System (Figure 33).

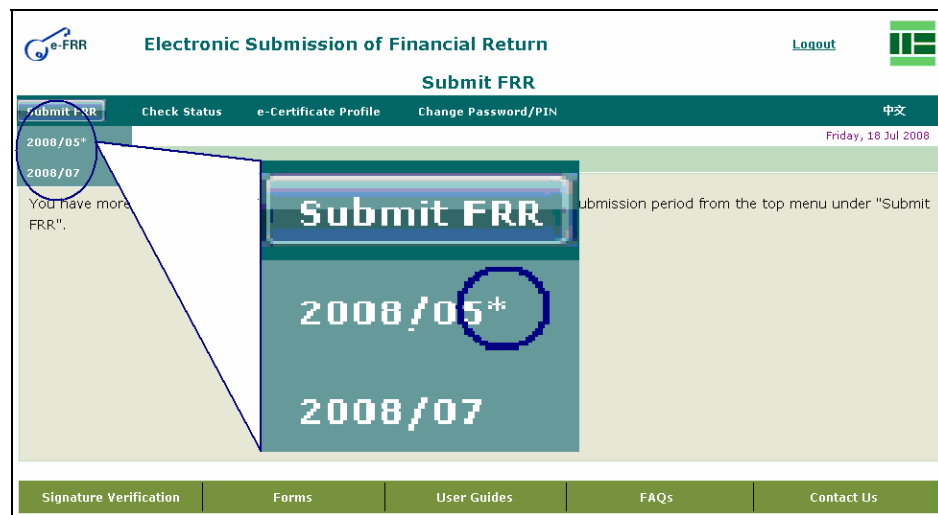


Figure 33: Report period for revision

- Revise and prepare your concerning FRR for re-submission. Click to select the revision reporting period, e.g. 2008/05*, to bring up the “Submit FRR” screen (Figure 34).

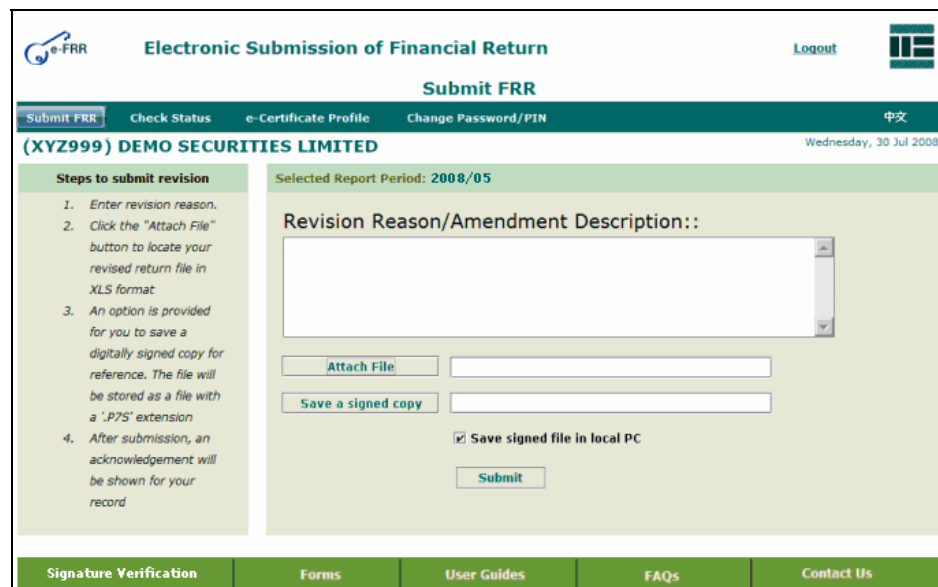


Figure 34: Submission for Revised FRR screen

- At the “Revision Reason / Amendment Description” box, type in the amendments made to the revised FRR before attaching the file for re-submission.



- Click on the **Attach File** button to locate your revised FRR file (in *xls* format). Ensure the “Save signed file in local PC” option is checked **Save signed file in local PC** if you wish to make a copy of the electronically signed version of the FRR being submitted for reference. Click **Submit** to begin the submission process (For more comprehensive submission steps, please refer section 14.1 *Normal FRR Submission* for more details).
- Once the FRR has been successfully transmitted, an acknowledgment screen indicating details of the submission will appear.

Note: Please take note of the Transaction Number (Figure 35). The convention of the Transaction Number for a re-submission is based on the initial number generated from the first submission; an extension of a running digit is attached to the end.

For example, if the original Transaction Number is SIT1504, then the Transaction Number for this particular revision submission will be SIT1504-01. If this particular submission is to be revised again, then the Transaction Number for the next revision submission will be SIT1504-02 and so on.

- You can click **Print** to print out a paper copy of the acknowledgement provided a printer is connected to your PC, or click **Save** to download a text copy of the acknowledgment for your record (Please refer section 14.1 *Normal FRR Submission* for more details).

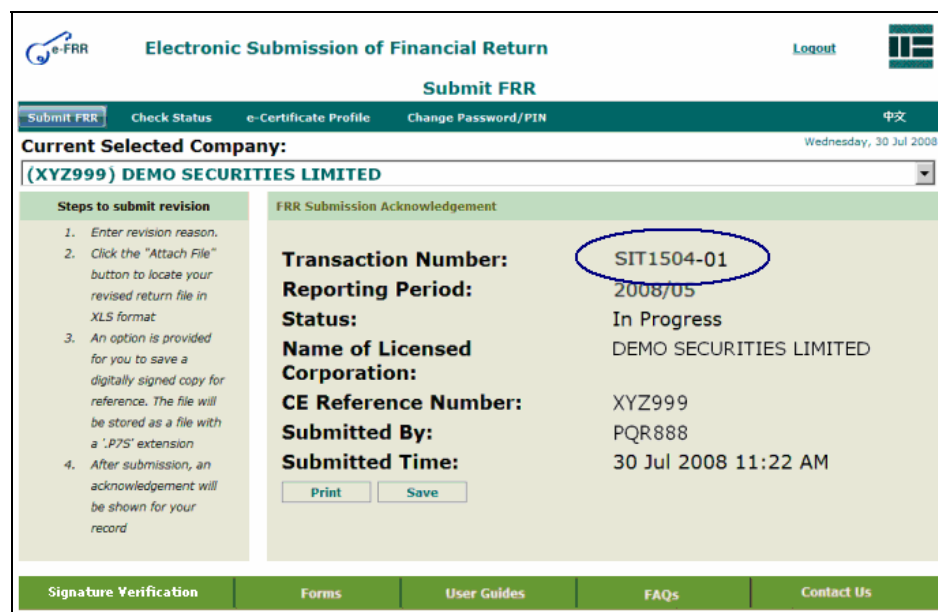



Figure 35: Acknowledgement screen for submission of revised FRR

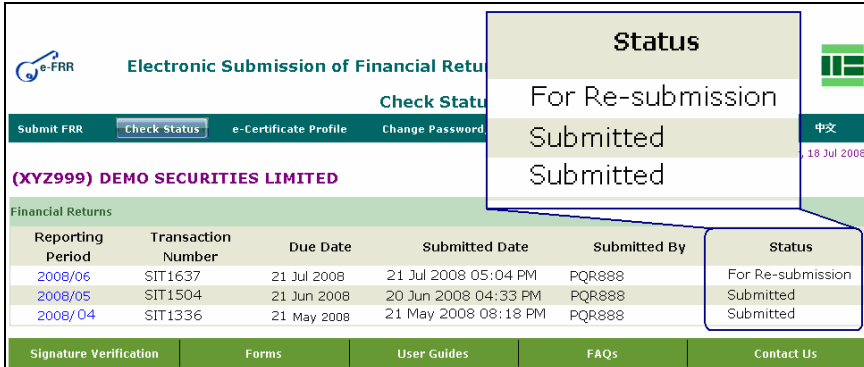
15. Check Status

The **Check Status** function provides you with the history of all the FRRs submitted to the SFC and the status of these submissions.



15.1 View Submission Information

- To access the “Check Status” screen, click on the  button at the top menu bar.
- The information found in this screen (Figure 36) include: -
 - *Reporting Period*: Reporting period of the FRR submitted.
 - *Transaction Number*: Unique transaction number of each submission.
 - *Due Date*: The due date of each reporting period. Normally, it is the 21st calendar day of each month for monthly submission and the 21st calendar day of January and June for bi-annually submission.
 - *Submitted Date*: Date and time of the submission received and stamped by the system.
 - *Submitted by*: The Central Entity (CE) number of the person signing the FRR and making the submission.
 - *Status*: The status of submissions. There are two types of status: -
 - *Submitted*: the financial return has been submitted.
 - *For Re-submission*: the submission has been rejected by the system. Re-submission of the rejected FRR is required.





The screenshot shows the 'Check Status' screen for 'Electronic Submission of Financial Returns'. The user is logged in as '(XYZ999) DEMO SECURITIES LIMITED'. A table displays the following data:

Reporting Period	Transaction Number	Due Date	Submitted Date	Submitted By	Status
2008/06	SIT1637	21 Jul 2008	21 Jul 2008 05:04 PM	PQR888	For Re-submission
2008/05	SIT1504	21 Jun 2008	20 Jun 2008 04:33 PM	PQR888	Submitted
2008/04	SIT1336	21 May 2008	21 May 2008 08:18 PM	PQR888	Submitted

A status pop-up window is shown over the first row, displaying the status 'For Re-submission', 'Submitted', and 'Submitted'.

Figure 36: Check Status screen

- You may click into each record to view the information in a separate window.

Note: 10 records per screen will be displayed at a time. You can click  on top right corner of the “Check Status” screen to display the next 10 records and so on, or click  to go back 10 records.

15.2 Request for FRR Revision



- The function also provides a feature where you can make requests for revision of the FRRs submitted in the last three reporting periods. For details of how to make a revision request, please refer to section 14.3 *Request for FRR Revision* for instructions.

16. e-Certificate Profile

The **e-Certificate Profile** is a function to enquire the licensees associated with the licensed firm / entity who have obtained an SFC e-Certificate and are active for signing and submitting FRRs.

This information provided by this function is maintained by the SFC.

- To access the function, please click on the **e-Certificate Profile** button at the top menu bar to bring up the “e-Certificate Profile” screen.
- Four pieces of information for each signer are displayed (Figure 37): -
 - *Name*: The name of the RO or AS holding a valid SFC e-Certificate for signing FRRs for the associated licensed firm / entity.
 - *CE Number*: The Central Entity (CE) number assigned by the SFC to the RO or AS.
 - *Certificate Serial Number*: The unique serial number of the SFC e-Certificate issued to the RO or AS.
 - *Expiry Date*: The expiry date of the corresponding SFC e-Certificate. SFC e-Certificates are valid for 3 year.

The screenshot shows the 'e-Certificate Profile' screen for 'DEMO SECURITIES LIMITED'. It features a navigation bar with 'Submit FRR', 'Check Status', 'e-Certificate Profile', and 'Change Password/PIN'. Below the company name, there is a table titled 'Signer(s) of the financial returns' with the following data:

Name	CE Number	Certificate Serial Number	Expiry Date
CHAN Tai Man, Peter	XYZ999	2000000903	31 Aug 2011
DOLE, John	PQR888	2000000928	31 Aug 2011

The bottom of the screen has a green navigation bar with links for 'Signature Verification', 'Forms', 'User Guides', 'FAQs', and 'Contact Us'.

Figure 37: e-Certificate Profile screen

17. Change Password / PIN

For security and protection reasons, you are recommended to change your Login Password and SFC e-Certificate PIN immediately upon your first



successful logon. Also, it is a good practise to change the PIN and password periodically.

- To change the Login Password and SFC e-Certificate PIN, please click on the **Change Password/PIN** button at the top menu bar to pull down the available options (Figure 38).



Figure 38: Change Password/PIN menu

17.1 Change SFC e-Certificate PIN

- To change the SFC e-Certificate PIN, please select **Change SFC e-Certificate PIN** to access the “Change SFC e-Certificate PIN” screen (**Error! Reference source not found.**).

- Enter the following: -

- Your current PIN
- The new PIN
- Re-enter the new PIN

Note: the new PIN should be alphanumeric (A-Z, a-z, 0-9). Please refer to section 17.2 SFC e-Certificate PIN Policy.

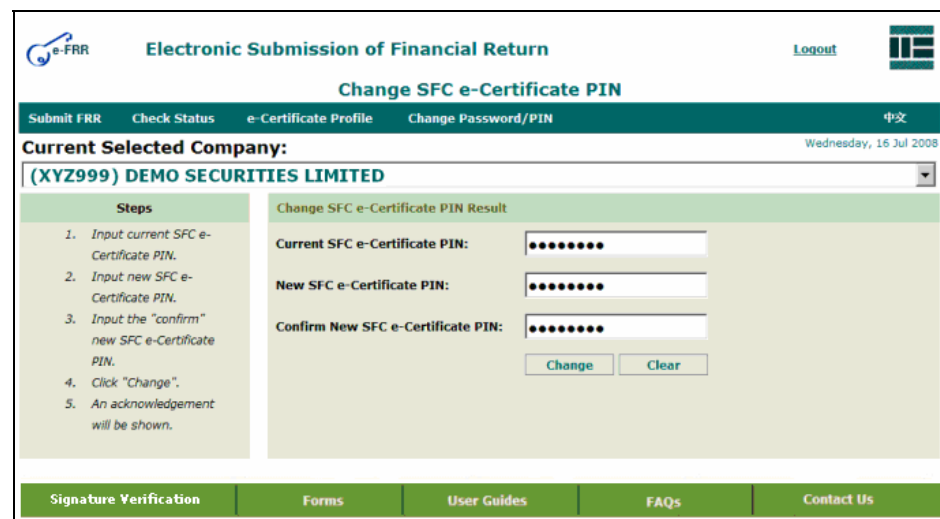


Figure 39: Change SFC e-Certificate PIN screen

- Click **Change** to proceed with the PIN change, or click **Clear** to clear out what you have entered if you wish to start over the process from the beginning.



- If the PIN change is successful, you will receive a successful PIN change notification screen (**Error! Reference source not found.**).



Figure 40: Change SFC e-Certificate PIN successful screen

17.2 SFC e-Certificate PIN Policy

- ✓ between 8 and 16 characters
- ✓ alphanumeric only
- ✓ at least one alpha character and one numeric character
- ✓ case sensitive
- ✓ the new PIN must not equals old PIN

17.3 Change Login Password

- To change the Login Password, please select **Change Login Password** to access the “Change Login Password” screen (Figure 41).
- Enter the following: -
 - Your current password **Current Login Password:** [password field]
 - The new password **New Login Password:** [password field]
 - Re-enter the new Password **Confirm New Login Password:** [password field]

Note: the new password should not equal to the current password. Please refer to section 17.4 Login Password Policy.



Figure 41: Change Login Password screen

- Click to proceed with the password change, or click to clear out what you have entered if you wish to start over the process from the beginning.
- If the password change is successful, you will receive a successful password change notification screen (Figure 42).

Figure 42: Change Login Password successful screen

17.4 Login Password Policy

- ✓ between 8 and 16 characters
- ✓ alphanumeric only
- ✓ at least one alpha character and one numeric character
- ✓ case sensitive
- ✓ the new password must not equals old password



18. Help Cabinets

A number of help utilities have been put together to assist LCs in using the e-FRR System for the submission of financial returns (Figure 43).

Figure 43: Help Utilities

18.1 Signature Verification

The **Signature Verification** function is a utility tool for verifying electronically signed financial returns that were created and saved to submitter's PC after submission (please refer to section 14.1 *Normal FRR Submission* for how to submit FRR).

- Click on the **Signature Verification** function to start process. The "Signature Verification" screen will display (Figure 44).

Figure 44: Signature verification screen

- Click the **Attach signed e-FRR copy** button to bring up the "Select File To Verify" window (Figure 45) for locating the signed copy of the financial return (file in *p7s* format).

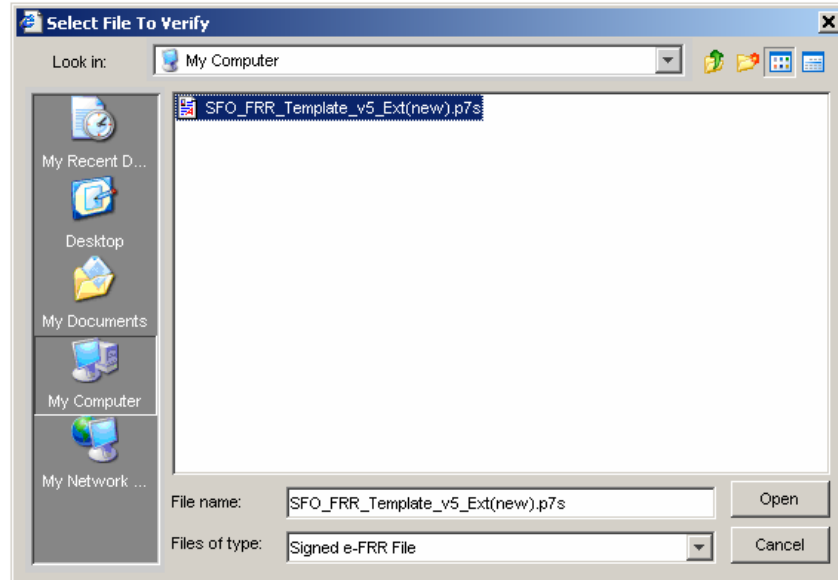


Figure 45: Browse for an electronically signed copy

- Select and open the signed financial return file. The location path of where the original (i.e. unsigned financial return in **xls** format) file will be extracted is defaulted to the same location of where the signed copy is found.
- You may click on the **Extract e-FRR file to** button to change the location path for saving the extracted original financial return copy (Figure 46).

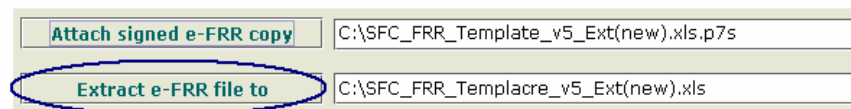


Figure 46: Location of the original FRR after extraction

- To start verifying the electronic signature and extraction of the original financial return, click on the **Verify and Extract e-FRR** button.
- Upon successful verification, the details of the signer, the signer's CE number and the signature creation date will be displayed in the status window (Figure 47). The original copy of the financial return should be saved in the location as specified.

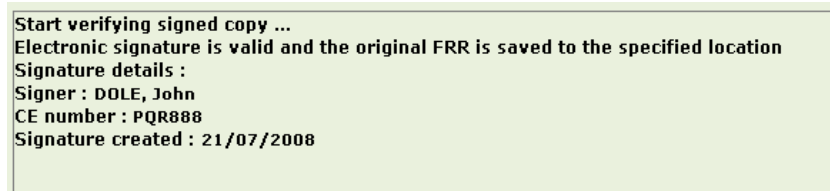


Figure 47: Status window



18.2 Forms

The **Forms** utility is a centralised cabinet providing relevant forms for download. Forms including:

- SFC e-Certificate Application
- Financial Return Template
- e-FRR Briefing Session Application

18.3 User Guides

The **User Guides** section provides detailed instructions on how to use the e-FRR System. Two versions are available for user to download, a User Quick Reference guide and a full User Guide.

18.4 FAQs

The **FAQs** section provides a list of Frequently Asked Questions and answers about the e-FRR System to help users to understanding common issues.

The list of FAQs will be updated regularly; however, if you cannot find the answers you wanted in this section, you may contact our e-FRR System Helpdesk hotline for assistance.

18.5 Contact Us

The **Contact Us** section provides contact information and service hours for LCs to seek assistance in relation to the e-FRR System (Figure 48).

Contact Us

Contact	: e-FRR System Helpdesk
E-mail	: e-frrhelp@sfc.hk
Telephone	: (852) 2283 6883
Fax	: (852) 2293 5824

Normal service hours:
Monday to Friday (except for Hong Kong SAR public holidays)
9:00am to 12:30pm and 2:00pm to 6:00pm

Figure 48: Contact Us screen