

G.N. 7318

SECURITIES AND FUTURES ORDINANCE (Chapter 571) (The ‘Ordinance’)  
(Notice under section 402)

NOTICE SPECIFYING THE FORMS TO BE SUBMITTED UNDER SECTION 156 OF  
THE ORDINANCE (AS AMPLIFIED BY SECTION 3 OF THE SECURITIES AND  
FUTURES (ACCOUNTS AND AUDIT) RULES (Chapter 571P) (‘THE RULES’))

Notice is hereby given that pursuant to section 402 of the Ordinance, the Securities and Futures Commission (the ‘Commission’) specifies that the following electronic forms published on the Commission’s online portal, WINGS (<https://wings.sfc.hk>), shall be used for the purpose of submitting the business and risk management questionnaires to the Commission required under section 156 of the Ordinance (as amplified by section 3 of the Rules) with effect from 1 December 2023:—

1. Business and risk management questionnaire for licenced corporation
2. Business and risk management questionnaire for associated entity.

The electronic forms should be completed and submitted by licensed corporations and associated entities for financial years ending on or after 30 November 2023 and shall supersede the electronic forms specified in the notice gazetted on 4 January 2019 (G.N. 45) for the same purpose (the ‘equivalent forms’). This notice, however, does not affect the Commission’s acceptance of the equivalent forms required to be submitted to the Commission by licensed corporations and associated entities for financial years ending before 30 November 2023.

The abovementioned electronic forms will be accessible through the following internet addresses with effect from 23 December 2022:—

Electronic form for the business and risk management questionnaire for licensed corporation

<https://wings.sfc.hk/brmq-v2/?type=LC>

Electronic form for the business and risk management questionnaire for associated entity

<https://wings.sfc.hk/brmq-v2/?type=AE>

19 December 2022

Julia LEUNG *Deputy Chief Executive Officer and  
Executive Director, Intermediaries  
Securities and Futures Commission*