

Pre-registration and change request form

Scheme for quarantine-free travel to Mainland China
(updated as of 13 December 2021)

This form should be completed by the Manager-In-Charge (MIC) of the compliance function of the sponsoring licensed corporation of the sponsored executive(s).

All pre-registrations, including the completed form and the required supporting documents, should be submitted to the Securities and Futures Commission (SFC) by email at etravel@sfc.hk by 17 December 2021. Subsequent pre-registrations and changes (i.e. substitution of a sponsored executive) should be submitted to the same email within the first five business days of each calendar month, starting February 2022. If no update is submitted, the most recently registered sponsored executives will continue to be eligible.

The SFC will notify a licensed corporation when the registration with the Office of the Government Chief Information Officer (OGCIO) is completed. Successful registration as an eligible individual on the list maintained by OGCIO enables a sponsored executive to then apply for quarantine-free travel to Guangdong Province under the scheme.

If you have any enquiries, please contact your case officer in the Licensing Department of the SFC.

Part I: Pre-registration and change request

Please state the English name of the sponsored executive(s) for pre-registration and/or removal of registration as an eligible individual under the scheme.

	Sponsored executive 1	Sponsored executive 2
Pre-registration as eligible individual*		
Removal of registration as eligible individual**		

** After taking into account of removal of registration as eligible individual(s) submitted in this form, if the licensed corporation is sponsoring more than two executives, whether they are pre-registering or have previously been registered as eligible individuals, the pre-registration will not be processed.*

*** Please complete Part III only if you do not wish to pre-register any sponsored executive(s) as eligible individual(s) in this form.*

Part II: Pre-registration details

Particulars of sponsoring licensed corporation	Name:
	CE number:
Contact person of sponsoring licensed corporation	Name:
	Job title:
	Mobile number:
	Email address:
Particulars of sponsored executive 1	Full English Name***:
	Full Chinese Name (if available)***:
	Hong Kong identity card / passport number:
	<i>For non-Hong Kong identity card holder only</i>
	Date of Birth:
	Passport issuing country and date of issuance:
	Job title (specifying regional role):
Mobile number:	
Particulars of sponsored executive 2	Full English Name***:
	Full Chinese Name (if available)***:
	Hong Kong identity card / passport number:
	<i>For non-Hong Kong identity card holder only</i>
	Date of Birth:
	Passport issuing country and date of issuance:
	Job title (specifying regional role):
Mobile number:	

*** As it appears on the sponsored executive's Hong Kong identity card or passport

Part III: Declaration by sponsoring licensed corporation

1. To the best of my knowledge, I certify that,
- the sponsored executive(s) is/are responsible for regional duties and the activities to be carried out during the course of travel by the sponsored executive(s) under pre-registration are for the management of the sponsoring licensed corporation's Mainland business in Guangdong Province for which the sponsored executive(s) has/have responsibility;
 - all information including the documents provided in support of this pre-registration is true, accurate and complete; and
 - the sponsoring licensed corporation will inform the SFC in a timely manner if any of the information provided in connection with this pre-registration is no longer valid or accurate. The sponsoring licensed corporation acknowledges that the SFC reserves the right to take any appropriate actions, including legal actions, against the sponsoring licensed corporation for providing false or inaccurate information in support of this pre-registration.
2. On behalf of the sponsored executive(s), I confirm that the sponsored executive(s)' consent is granted to the SFC's disclosure of the information provided in support of this pre-registration under section 378(3)(k) of the Securities and Futures Ordinance for the purposes of administering the scheme.

Name of MIC of compliance
function of sponsoring
licensed corporation

Signature

Date

Part IV: Checklist of supporting documents to enclose

- Copies of the sponsored executive(s)' identity documents including:
 - Hong Kong residence document, i.e. Hong Kong identity card, visa or entry permit issued by the Immigration Department; and
 - document for travelling to the Mainland, i.e. Mainland Travel Permit, Residence Permit or passport photo page with a valid Chinese visa.
- Documents to demonstrate that the sponsored executive(s) is/are responsible for regional duties.
- Documents to demonstrate the main purpose of travelling is for the management of the firm's Mainland business in Guangdong Province, e.g. address proof of a registered office in Guangdong Province (if any) / business contracts with corporations located in Guangdong Province / invitations by corporations located in Guangdong Province****.

**** Delete as appropriate

Personal Information Collection Statement

1. This Personal Information Collection Statement (PICS) is made in accordance with the guidelines issued by the Office of the Privacy Commissioner for Personal Data. The PICS sets out the policies and practices of the Securities and Futures Commission (SFC) with regard to your personal data¹ and what you are agreeing to with respect to the SFC's use of your personal data for the purposes identified below.

Purpose of collection

2. The personal data provided in this form and the supporting documents will be used by the SFC for one or more of the following purposes:
 - to process pre-registrations for the scheme for quarantine-free travel to the Mainland ;
 - for the purposes of performing the SFC's statutory functions under the relevant Ordinances;
 - for research or statistical purposes; and
 - other purposes as permitted by law.
3. Failure to provide the requested personal data may result in the SFC being unable to process your pre-registration under the scheme or perform its statutory functions under the relevant Ordinances.

Transfer of personal data

4. Personal data may be disclosed by the SFC to the Financial Services and Treasury Bureau, health authorities (including the Food and Health Bureau, Centre for Health Protection, the Department of Health and the Hospital Authority), the Office of the Government Chief Information Officer and other government bureaux, departments or bodies in Hong Kong, law enforcement agencies and local courts and tribunals for purposes related or incidental to administering the scheme (including pre-registrations for the scheme), or as required by law.
5. Personal data may be disclosed by the SFC to other financial regulators in Hong Kong (including the Hong Kong Exchanges and Clearing Limited, Insurance Authority and the Hong Kong Monetary Authority), Hong Kong Police Force, the Customs and Excise Department, overseas regulatory bodies and other government bodies as required under the law or pursuant to any regulatory or investigatory assistance arrangements between the SFC and other local or overseas regulators.

Access to data

6. You have the right to request access to and correction of your personal data in accordance with the provisions of the PDPO. Your right of access includes the right to obtain a copy of your personal data provided in this pre-registration form. The SFC has the right to charge a reasonable fee for processing any data access requests.

¹ As defined in the Personal Data (Privacy) Ordinance, Cap 486 (PDPO).



Enquiries

7. Any enquiries regarding the personal data provided in this form, or requests for access to personal data or correction of personal data, should be addressed in writing to:

The Data Privacy Officer
Securities and Futures Commission
54/F, One Island East
18 Westlands Road
Quarry Bay
Hong Kong

A copy of the Privacy Policy Statement adopted by the SFC is available on the SFC's website at <https://www.sfc.hk/en/Quick-links/Others/Privacy-policy-statement>.