



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

OTCR WebApp and OTCR SFTP Services Quick start guide

December 2022

New to Over-the-counter Securities Transactions Reporting (OTCR)?

Use this quick start guide to learn the basics.

1

Validate OTCR Reporting File

Validate OTCR Reporting File only

1. Visit WINGS

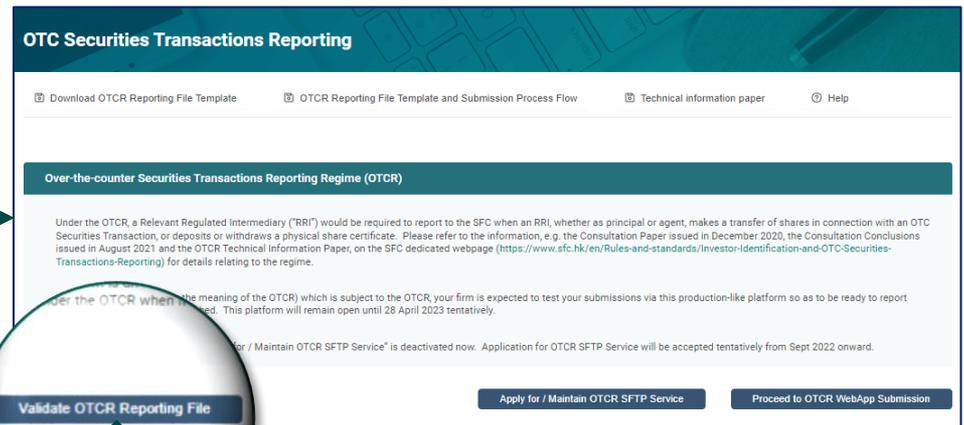
Open a browser and go to <https://wings.sfc.hk>

1.1 Click on **Trading**.



The screenshot shows the WINGS website home page. A callout box labeled "1.1 Click on Trading" points to the "Trading" menu item in the top navigation bar. The page features the SFC logo, navigation links for "All forms", "Intermediaries", "Takeovers and mergers", and "Dissemination", and a "Sign in" button. The main content area includes a "WINGS" header, a sub-header "A common platform for SFC electronic forms and submission services", and several service icons. A callout box labeled "1.2 Click on OTC Securities Transactions Reporting" points to the "OTC Securities Transactions Reporting" icon.

1.2 Click on **OTC Securities Transactions Reporting**



The screenshot shows the "OTC Securities Transactions Reporting" page. It includes a header with the title and a navigation bar with links for "Download OTCR Reporting File Template", "OTCR Reporting File Template and Submission Process Flow", "Technical information paper", and "Help". The main content area features a section titled "Over-the-counter Securities Transactions Reporting Regime (OTCR)" with a detailed description of the regime. At the bottom of the page, there are two buttons: "Apply for / Maintain OTCR SFTP Service" and "Proceed to OTCR WebApp Submission". A callout box labeled "1.3 Click on Validate OTCR Reporting File" points to the "Validate OTCR Reporting File" button.

1.3 Click on **Validate OTCR Reporting File**.



2

Sign-in to WINGS

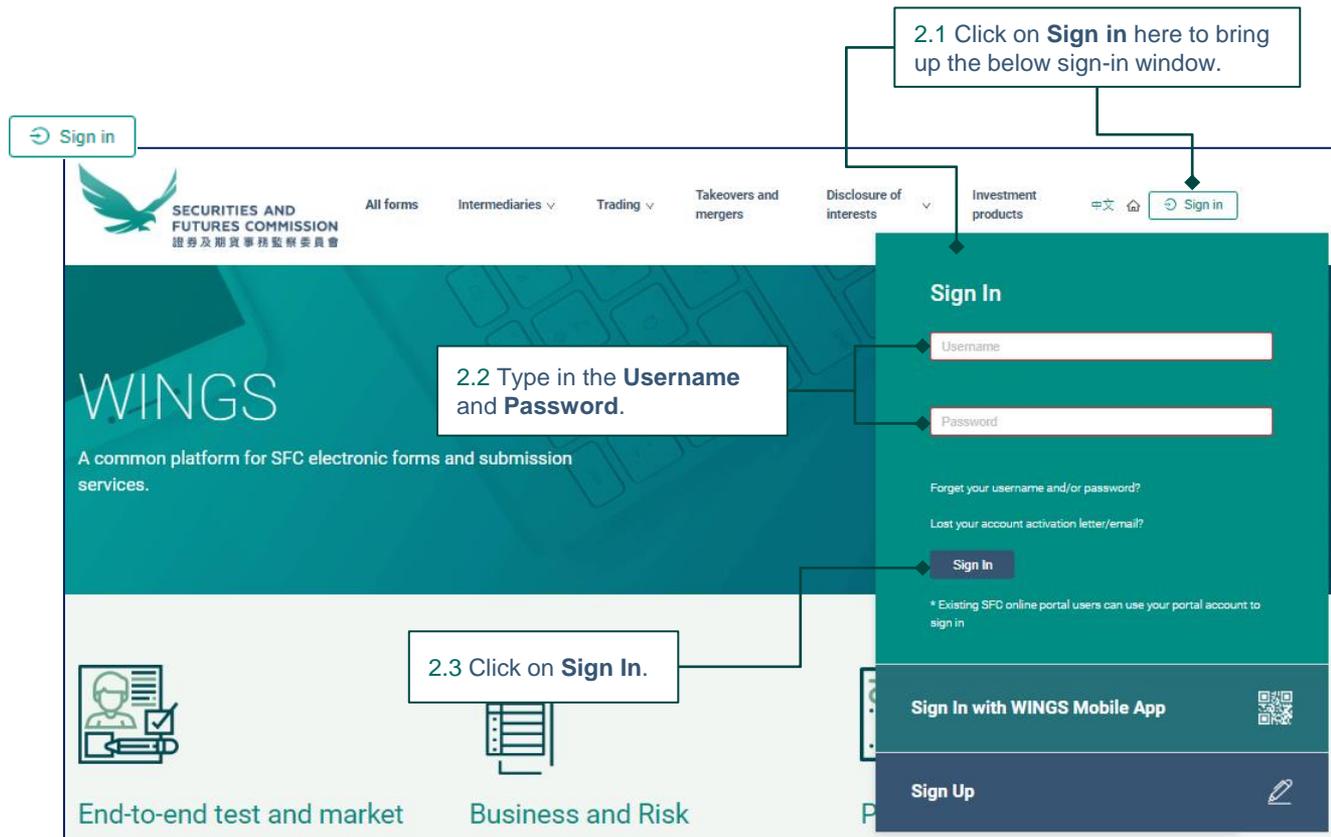
Sign-in to WINGS

1. Visit WINGS

Open a browser and go to <https://wings.sfc.hk>

2. Sign in to WINGS

[Sign in](#)



The screenshot shows the WINGS sign-in interface. At the top left, there is a 'Sign in' button. The main header includes the SFC logo and navigation links: 'All forms', 'Intermediaries', 'Trading', 'Takeovers and mergers', 'Disclosure of interests', and 'Investment products'. A 'Sign in' button is also present in the top right. The main content area features the 'WINGS' logo and the text 'A common platform for SFC electronic forms and submission services.' Below this, there are icons for 'End-to-end test and market' and 'Business and Risk'. A 'Sign In' modal window is open on the right, containing 'Username' and 'Password' input fields, a 'Sign In' button, and links for 'Forget your username and/or password?' and 'Lost your account activation letter/email?'. A note at the bottom of the modal states: '* Existing SFC online portal users can use your portal account to sign in'. Below the modal, there are options for 'Sign In with WINGS Mobile App' (with a QR code) and 'Sign Up'.

2.1 Click on **Sign in** here to bring up the below sign-in window.

2.2 Type in the **Username** and **Password**.

2.3 Click on **Sign In**.



3

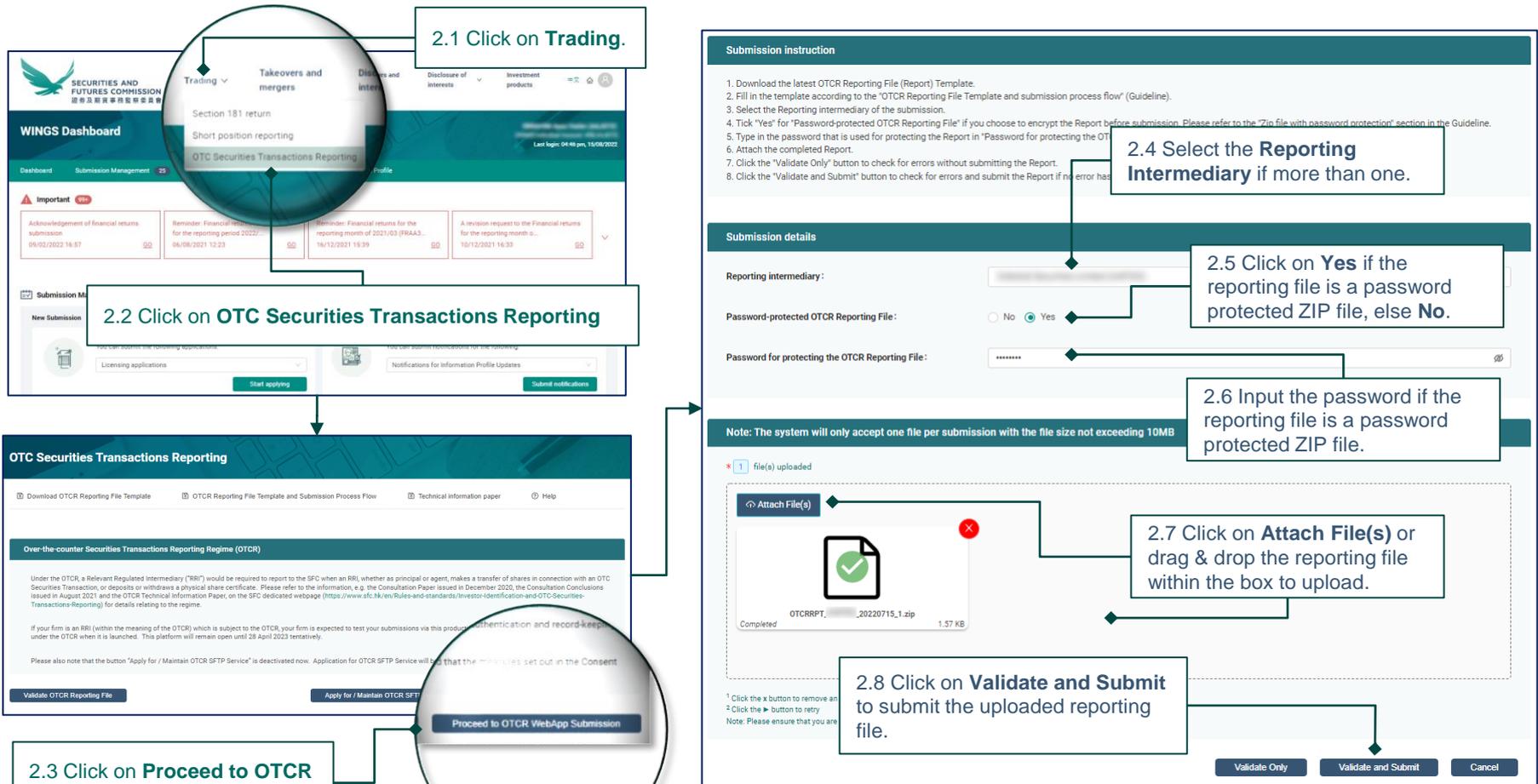
Submit report via OTCR WebApp

Submit report via OTCR WebApp

1. Sign in to WINGS

Refer to page 6.

2. Submit reporting file via the OTCR WebApp channel



2.1 Click on Trading.

2.2 Click on OTC Securities Transactions Reporting

2.3 Click on Proceed to OTCR WebApp Submission.

2.4 Select the Reporting Intermediary if more than one.

2.5 Click on Yes if the reporting file is a password protected ZIP file, else No.

2.6 Input the password if the reporting file is a password protected ZIP file.

2.7 Click on Attach File(s) or drag & drop the reporting file within the box to upload.

2.8 Click on Validate and Submit to submit the uploaded reporting file.

Submission instruction

1. Download the latest OTCR Reporting File (Report) Template.
2. Fill in the template according to the "OTCR Reporting File Template and submission process flow" (Guideline).
3. Select the Reporting intermediary of the submission.
4. Tick "Yes" for "Password-protected OTCR Reporting File" if you choose to encrypt the Report before submission. Please refer to the "Zip file with password protection" section in the Guideline.
5. Type in the password that is used for protecting the Report in "Password for protecting the OTCR Reporting File".
6. Attach the completed Report.
7. Click the "Validate Only" button to check for errors without submitting the Report.
8. Click the "Validate and Submit" button to check for errors and submit the Report if no error has occurred.

Submission details

Reporting intermediary: [Dropdown menu]

Password-protected OTCR Reporting File: No Yes

Password for protecting the OTCR Reporting File: [Password field]

Note: The system will only accept one file per submission with the file size not exceeding 10MB

1 file(s) uploaded

Attach File(s)

Completed OTCRRPT_20220715_1.zip 1.57 KB

1 Click the x button to remove an uploaded file.
2 Click the > button to retry.
Note: Please ensure that you are logged in.

Validate Only Validate and Submit Cancel



4

Enquire submission history

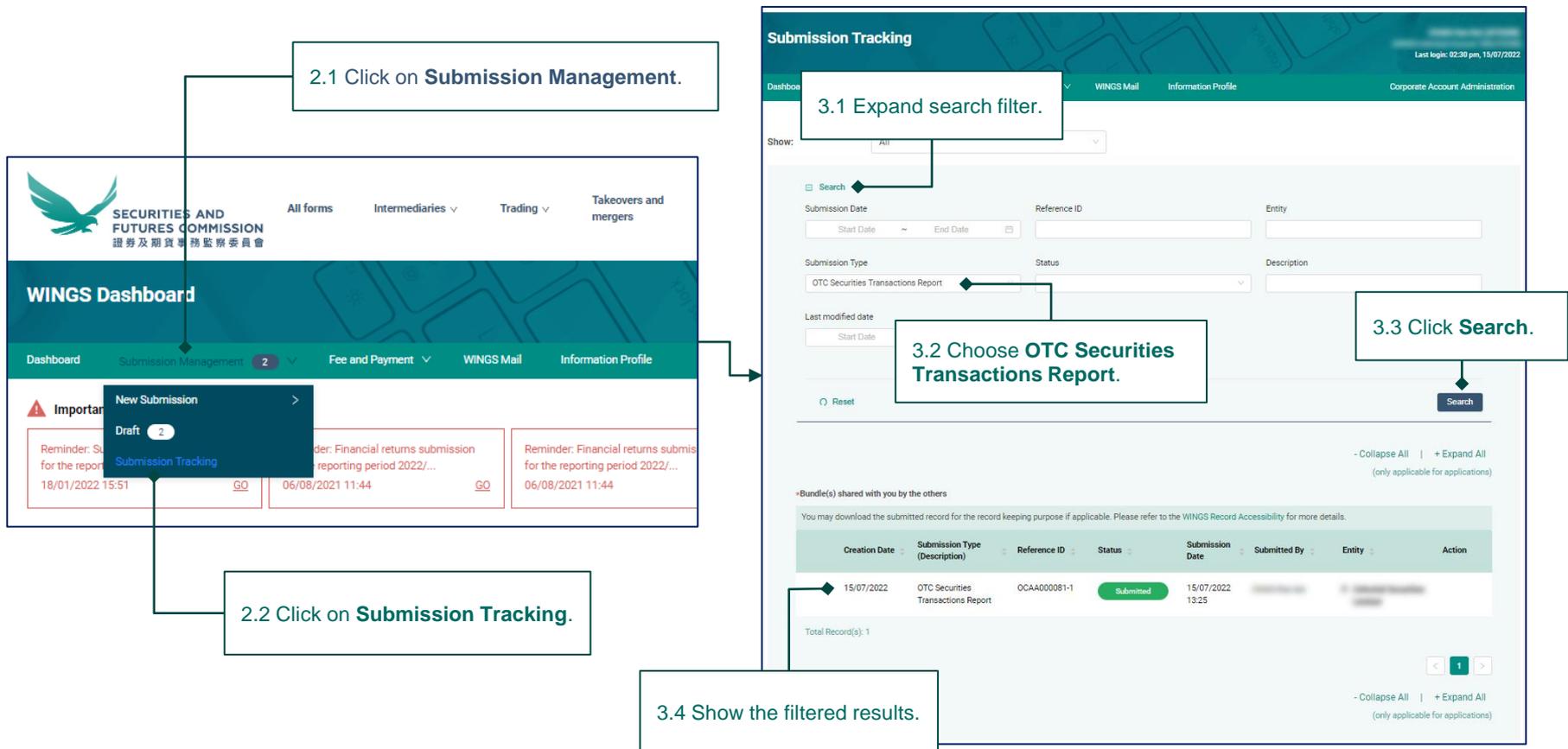
Enquire submission history

1. Sign in to WINGS

Refer to page 6.

2. Go to Submission Tracking

3. Search for OTC Securities Transactions Report records



The image shows a sequence of steps to search for OTC Securities Transactions Report records in the WINGS system. It includes a dashboard view and a detailed submission tracking view.

2.1 Click on Submission Management.

2.2 Click on Submission Tracking.

3.1 Expand search filter.

3.2 Choose OTC Securities Transactions Report.

3.3 Click Search.

3.4 Show the filtered results.

Creation Date	Submission Type (Description)	Reference ID	Status	Submission Date	Submitted By	Entity	Action
15/07/2022	OTC Securities Transactions Report	OCAA000081-1	Submitted	15/07/2022 13:25			



5

Read OTCR-related messages on WINGS Mail

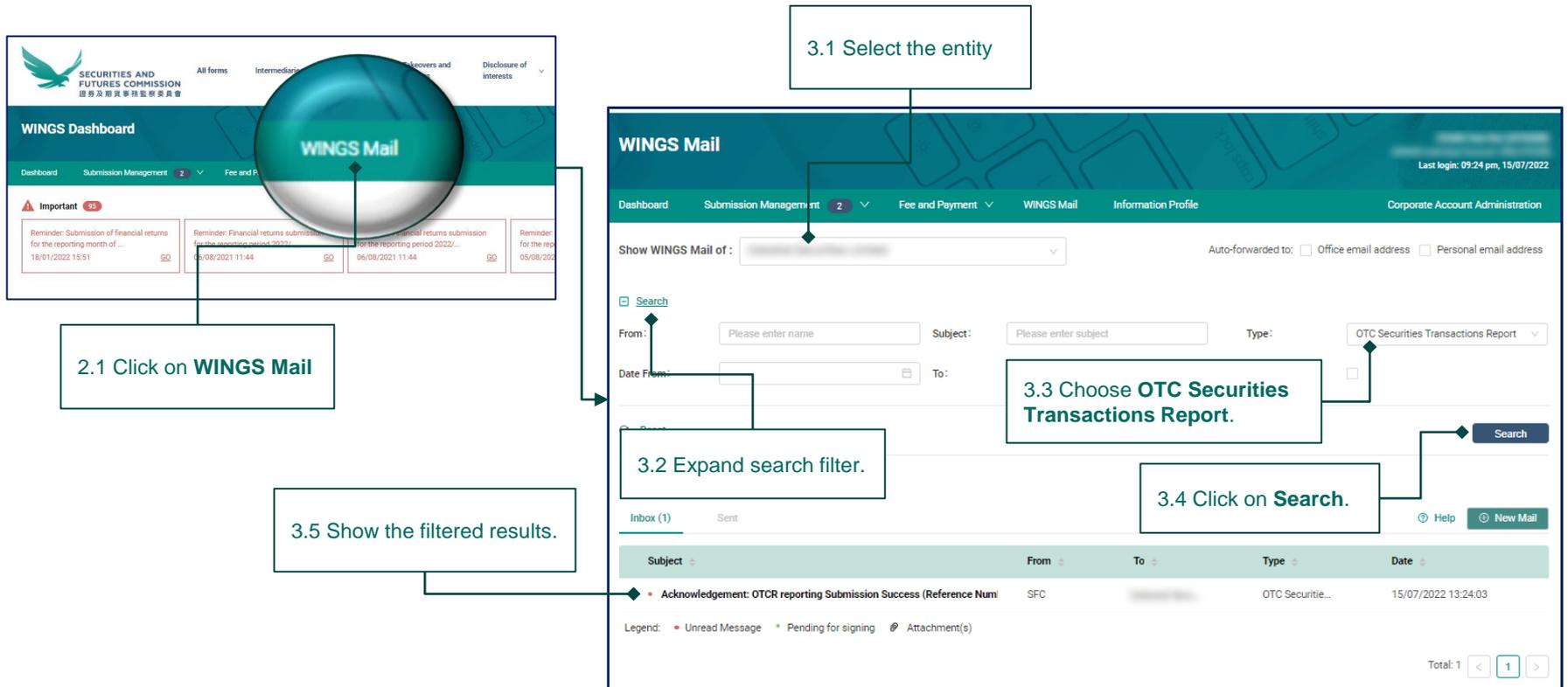
Read OTCR-related messages on WINGS Mail

1. Sign in to WINGS

Refer to page 6.

2. Go to WINGS Mail

3. Search for OTC Securities Transactions Report messages



The screenshot illustrates the process of searching for OTC Securities Transactions Report messages in WINGS Mail. It is divided into two parts: the WINGS Dashboard and the WINGS Mail interface.

WINGS Dashboard: A callout box labeled "2.1 Click on WINGS Mail" points to the "WINGS Mail" link in the top navigation bar.

WINGS Mail Interface:

- 3.1 Select the entity:** A callout box points to the "Show WINGS Mail of:" dropdown menu.
- 3.2 Expand search filter:** A callout box points to the "Search" button in the search filter section.
- 3.3 Choose OTC Securities Transactions Report:** A callout box points to the "OTC Securities Transactions Report" dropdown menu in the search filter section.
- 3.4 Click on Search:** A callout box points to the "Search" button at the bottom right of the search filter section.
- 3.5 Show the filtered results:** A callout box points to the search results table.

Search Results Table:

Subject	From	To	Type	Date
Acknowledgement: OTC reporting Submission Success (Reference Num	SFC		OTC Securite...	15/07/2022 13:24:03

Legend: • Unread Message * Pending for signing 📎 Attachment(s)

Total: 1 1



6

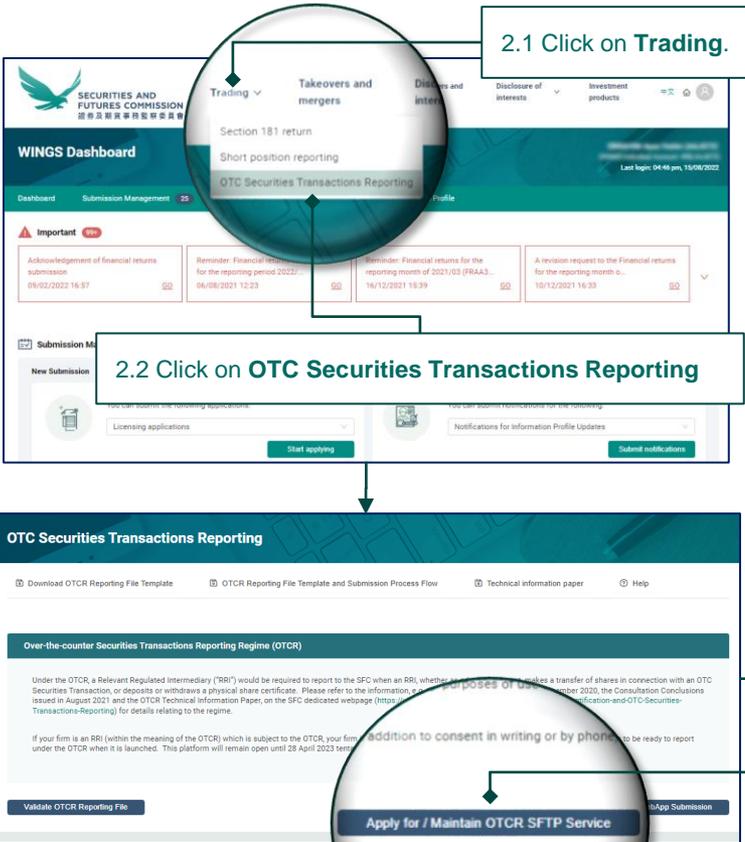
Apply for OTCR SFTP Service

Apply for OTCR SFTP Service

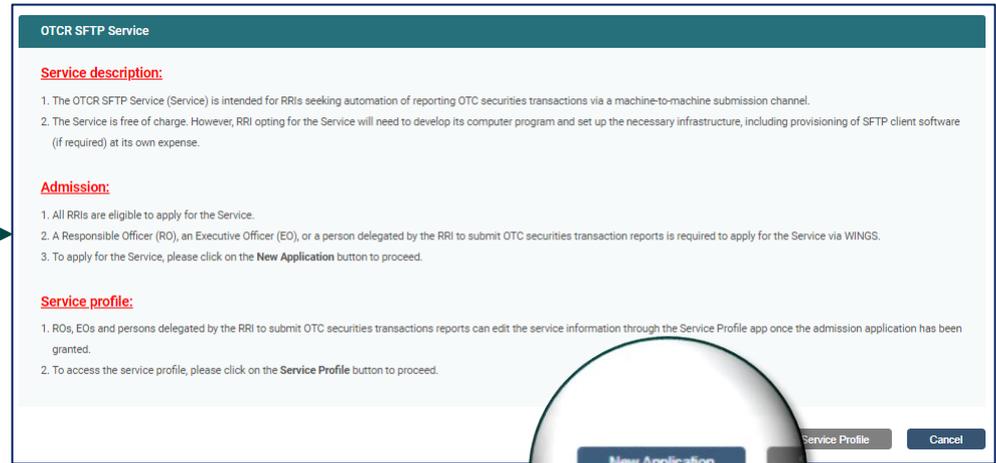
1. Sign in to WINGS

Refer to page 6.

2. Apply for admission to the service



The screenshot shows the WINGS Dashboard with the 'Trading' menu highlighted. A callout box labeled '2.1 Click on Trading.' points to the 'Trading' dropdown. Below the dashboard, a callout box labeled '2.2 Click on OTC Securities Transactions Reporting' points to the 'OTC Securities Transactions Reporting' link in the left sidebar. The main content area shows the 'OTC Securities Transactions Reporting' page with a callout box labeled '2.3 Click on Apply for / Maintain OTCR SFTP Service.' pointing to the 'Apply for / Maintain OTCR SFTP Service' button at the bottom.



The screenshot shows the 'OTCR SFTP Service' page with the following content:

OTCR SFTP Service

Service description:

1. The OTCR SFTP Service (Service) is intended for RRI's seeking automation of reporting OTC securities transactions via a machine-to-machine submission channel.
2. The Service is free of charge. However, RRI opting for the Service will need to develop its computer program and set up the necessary infrastructure, including provisioning of SFTP client software (if required) at its own expense.

Admission:

1. All RRI's are eligible to apply for the Service.
2. A Responsible Officer (RO), an Executive Officer (EO), or a person delegated by the RRI to submit OTC securities transaction reports is required to apply for the Service via WINGS.
3. To apply for the Service, please click on the **New Application** button to proceed.

Service profile:

1. ROs, EOs and persons delegated by the RRI to submit OTC securities transactions reports can edit the service information through the Service Profile app once the admission application has been granted.
2. To access the service profile, please click on the **Service Profile** button to proceed.

Buttons: **New Application**, **Service Profile**, **Cancel**

2.3 Click on Apply for / Maintain OTCR SFTP Service.

2.4 Click on New Application.

Apply for OTCR SFTP Service (cont'd)

3. Complete the online application form

New Application

3.1 Select Name of Intermediary applying for the service.

3.2 Input the technical Contact person details.

3.3 Input the IP address of the computer accessing the service.

3.4 Attach the Public key file and copy & paste the Fingerprint. Please refer to **Section 8 – Generate SSH key pair and fingerprint** for details.

3.5 Click on Submit.

OTCR SFTP Service Admission Form

Admission notes:

1. All fields are mandatory.
2. We will send the setup instructions to the provided email address upon admission to the OTCR SFTP Service has been granted.
3. Before submitting the OTCR SFTP Service Admission Form, please read all notes and the 'Terms and conditions'.
4. If you have any questions regarding the admission requirement or usage of the OTCR SFTP Service (Service), please contact us at TechEnquiries@wings.sfc.hk

Terms and conditions:

1. Any abusive use of the Service may result in suspension of the Service.
2. Please follow the specifications defined in the OTCR Technical Information Paper for the format of the file to be submitted under the OTCR.
3. The size of file to be submitted each time under the Service should not be more than 10MB.

Name of Intermediary:

Name of applicant:

Contact person details (Note #1)

Name:

Email address:

Re-confirm email address:

Phone number: Hong Kong +852

IP address (Note #2)

Public IP address:

Add IP Address. (Limit to five IP Addresses)

Public key and fingerprint (Note #3)

Public key:

Fingerprint:

Note #1: The contact person should possess IT knowledge including Secure File Transfer Protocol (SFTP).
Note #2: The public IP address of the computer connecting to the Service.
Note #3: The public key is required to be renewed every two years. Please keep your private key safe and DO NOT disclose it to anyone.

By submitting this form, you agree to our [Personal Information Collection Statement](#).



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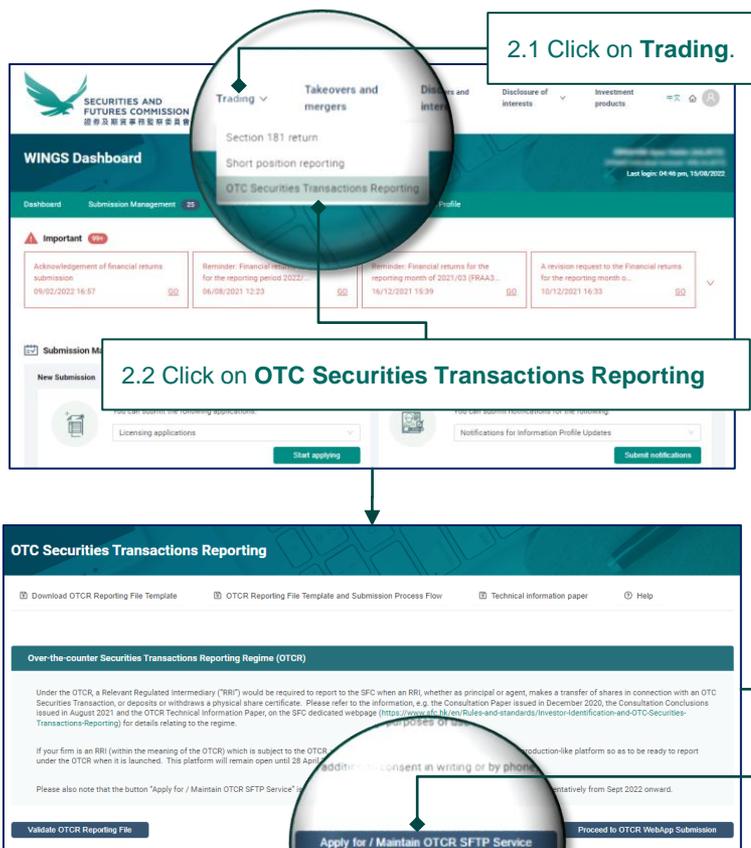
Maintain OTCR SFTP Service profile

Maintain OTCR SFTP Service profile

1. Sign in to WINGS

Refer to page 6.

2. Edit the OTCR SFTP Service profile



2.1 Click on Trading.

2.2 Click on OTC Securities Transactions Reporting

Apply for / Maintain OTCR SFTP Service

The screenshot shows the WINGS Dashboard with the 'Trading' menu item highlighted in a callout box. Below it, the 'OTC Securities Transactions Reporting' menu item is also highlighted in a callout box. At the bottom of the dashboard, the 'Apply for / Maintain OTCR SFTP Service' button is highlighted in a callout box.



OTCR SFTP Service

Service description:

1. The OTCR SFTP Service (Service) is intended for RRI's seeking automation of reporting OTC securities transactions via a machine-to-machine submission channel.
2. The Service is free of charge. However, RRI opting for the Service will need to develop its computer program and set up the necessary infrastructure, including provisioning of SFTP client software (if required) at its own expense.

Admission:

1. All RRI's are eligible to apply for the Service.
2. A Responsible Officer (RO), an Executive Officer (EO), or a person delegated by the RRI to submit OTC securities transaction reports is required to apply for the Service via WINGS.
3. To apply for the Service, please click on the **New Application** button to proceed.

Service profile:

1. ROs, EOs and persons delegated by the RRI to submit OTC securities transactions reports can edit the service information through the Service Profile application once the application has been granted.
2. To access the service profile, please click on the **Service Profile** button to proceed.

Service Profile

The screenshot shows the OTCR SFTP Service page with the 'Service Profile' button highlighted in a callout box.

2.3 Click on Apply for / Maintain OTCR SFTP Service.

2.4 Click on Service Profile.

Maintain OTCR SFTP Service profile (cont'd)

3. Edit the service profile

Service Profile

3.1 Select **Name of Intermediary** to bring up the profile details.

3.2 Select checkbox to edit the technical **Contact person details**.

3.3 Select checkbox to add/remove **IP address** of the computer accessing the service.

3.4 Select checkbox to renew the **Public key and Fingerprint**. Please refer to **Section 8 – Generate SSH key pair and fingerprint** for details.

Note: The Public key and Fingerprint will have a validity period of 24 months from the upload date.

3.5 Click on **Submit**.

OTCR SFTP Service Profile

Important notes:

- All fields are mandatory.
- Please provide a valid and correct email address under the "Contact person details" section. We will send the setup instructions to this email address upon admission to the OTCR SFTP Service has been granted.
- After clicking the Submit button, changes to the profile will take immediate effect and are unrecoverable.
- Please ensure that changes to the IP addresses, the public key or the fingerprint align with your system configurations.

Name of intermediary:

Name of applicant:

Update contact person detail (Note #1)

Name:

Email address:

Re-confirm email address:

Phone number:

Update IP addresses (Note #2)

Public IP address:

<input type="text" value="110"/>	<input type="text" value="100"/>	<input type="text" value="123"/>	<input type="text" value="1"/>
<input type="text" value="110"/>	<input type="text" value="100"/>	<input type="text" value="200"/>	<input type="text" value="10"/>
<input type="text" value="110"/>	<input type="text" value="100"/>	<input type="text" value="201"/>	<input type="text" value="2"/>

Update / renew public key and fingerprint (Note #3) **This public key has an expiration date of 15 July 2024.**

Public key:

```
-----BEGIN SSH2 PUBLIC KEY-----
Comment: "rsa-key_20220601"
AAAAB3NzaC1yc2EAAAABJQAAAQEAH5s7JdTB6hFXAg2FIFHDeG+3Vg0oDjmA0c
xmmlDZiRv+Vv5f9jgkV3TR7Wim3beuHCLbmlLnO+C1U0sgT6iaZmk3mogUA95qo4I
MVPeD8ZuM8LzqjBQhQzZVNAKCREgppSPXh3DfZU--+HYf08JyV4oPglNpbF4eAgJU
M+R08IA0Uj9CmLFh4q3IAA5SMUIT6qJhK6f9DzscgV8OZG7oIH7uD0pvar3eZu
NwRP6eC0dIRSHJUB1X1C2bcxglmviYgyW+57xOvXYEiBy6aMk2IcNLDY9RulthEqdF
vRzopndEK0U0ubkmi6WbHLHZbKZKIP1YgQdrendOG7jv6OQ==
-----END SSH2 PUBLIC KEY-----
```

Note #2: The public IP address of the computer connecting to the Service.
Note #3: The public key is required to be renewed every two years. Please keep your private key safe and DO NOT disclose it to anyone.

By submitting this form, you agree to our [Personal Information Collection Statement](#).

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Generate SSH key pair and fingerprint

Generate SSH key pair and fingerprint

Option 1: Using PuTTYgen

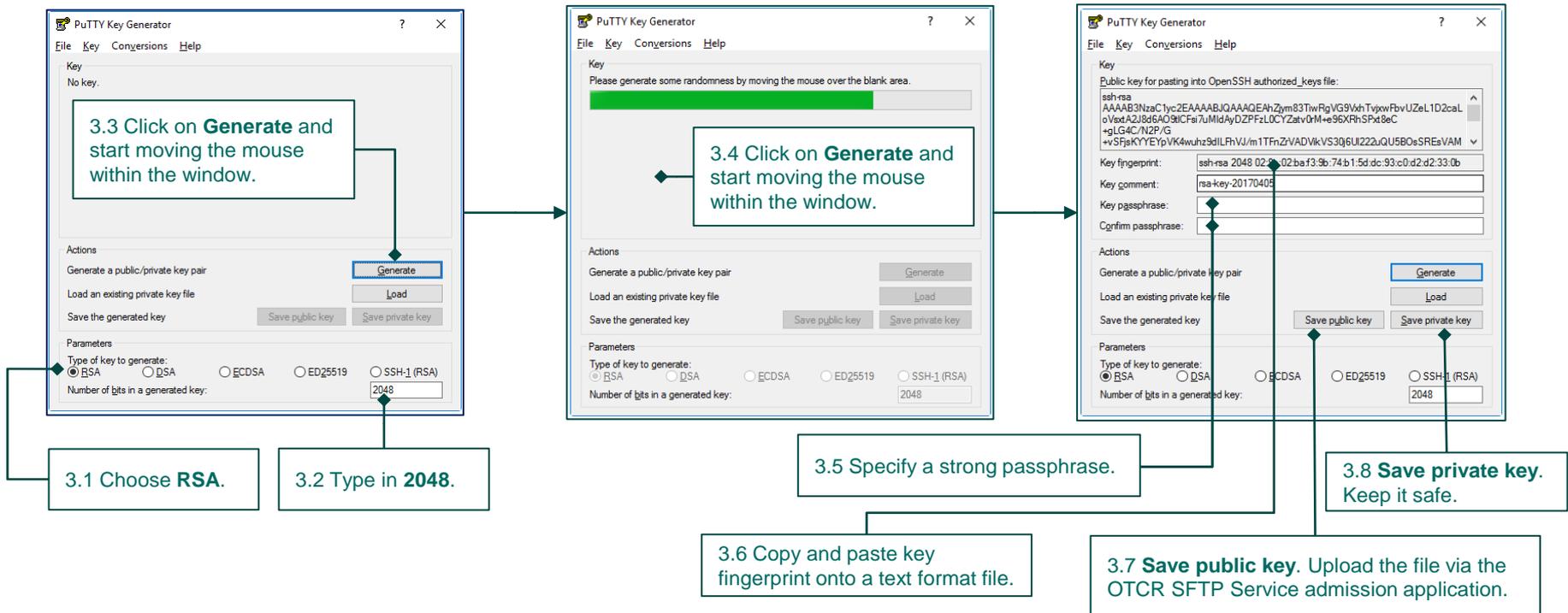
1. PuTTYgen download and install

Download and install PuTTYgen from [SSH.com](https://www.puttygen.com/)

2. Running PuTTYgen

Go to Windows Start menu -> All Programs -> PuTTY -> PuTTYgen

3. Creating a new key pair for authentication



Generate SSH key pair and fingerprint

Option 2: Using Windows Command Prompt

1. Run Windows Command Prompt

Click **Start** -> Type **cmd** -> Click **Run as administrator**

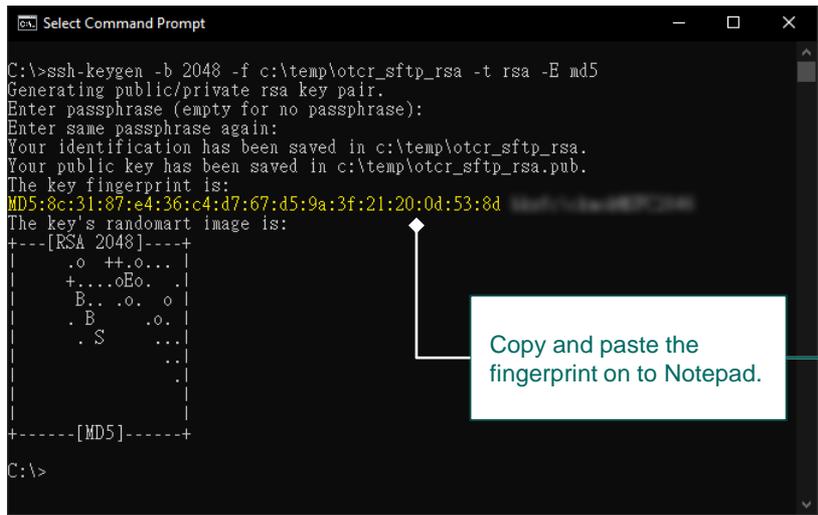
2. Run ssh_keygen

Type **ssh-keygen -b 2048 -f c:\temp\otcr_sftp_rsa -t rsa -E md5**

3. Enter a passphrase

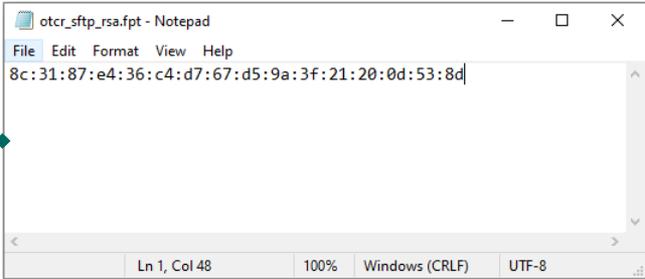
4. Private Key *otcr_sftp_rsa* and Public Key *otcr_sftp_rsa.pub* are saved in *c:\temp* in this example

5. Copy the fingerprint and paste it on to a Notepad file. Save the file as a .fpt, e.g. *c:\temp\otcr_sftp_rsa.fpt*



```
Select Command Prompt
C:\>ssh-keygen -b 2048 -f c:\temp\otcr_sftp_rsa -t rsa -E md5
Generating public/private rsa key pair.
Enter passphrase (empty for no passphrase):
Enter same passphrase again:
Your identification has been saved in c:\temp\otcr_sftp_rsa.
Your public key has been saved in c:\temp\otcr_sftp_rsa.pub.
The key fingerprint is:
MD5:8c:31:87:e4:36:c4:d7:67:d5:9a:3f:21:20:0d:53:8d
The key's randomart image is:
+---[RSA 2048]---+
.o ++.o... |
+...oEo. .|
B..o.o. |
.B ..o. |
.S ... |
. |
+-----[MD5]-----+
C:\>
```

Copy and paste the fingerprint on to Notepad.



```
otcr_sftp_rsa.fpt - Notepad
File Edit Format View Help
8c:31:87:e4:36:c4:d7:67:d5:9a:3f:21:20:0d:53:8d
Ln 1, Col 48 100% Windows (CRLF) UTF-8
```

Delegate the reporting role

Delegate the reporting role

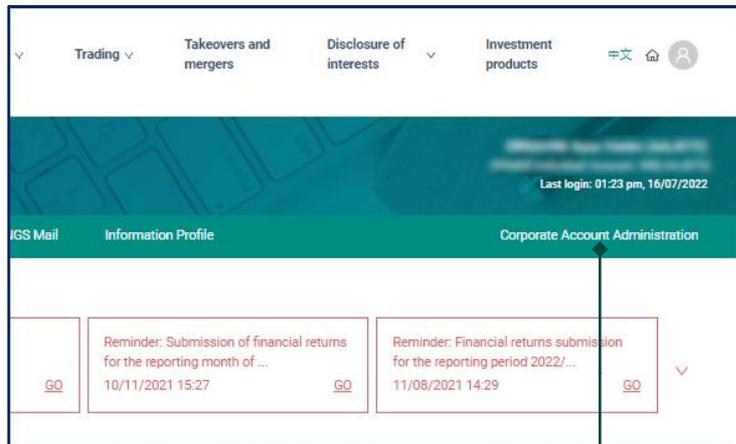
1. Visit WINGS

Open a browser and go to <https://wings.sfc.hk>

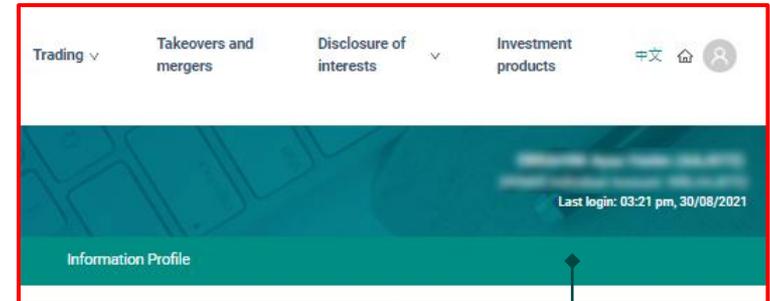
2. Sign in to WINGS

Refer to page 6. Note: Sign in with a Corporate Account or a WINGS account who is also an administrator of the Corporate Account (i.e. Corporate Administrator)

3. Navigate to Corporate Account Administration



3.1 Click on **Corporate Account Administration**.

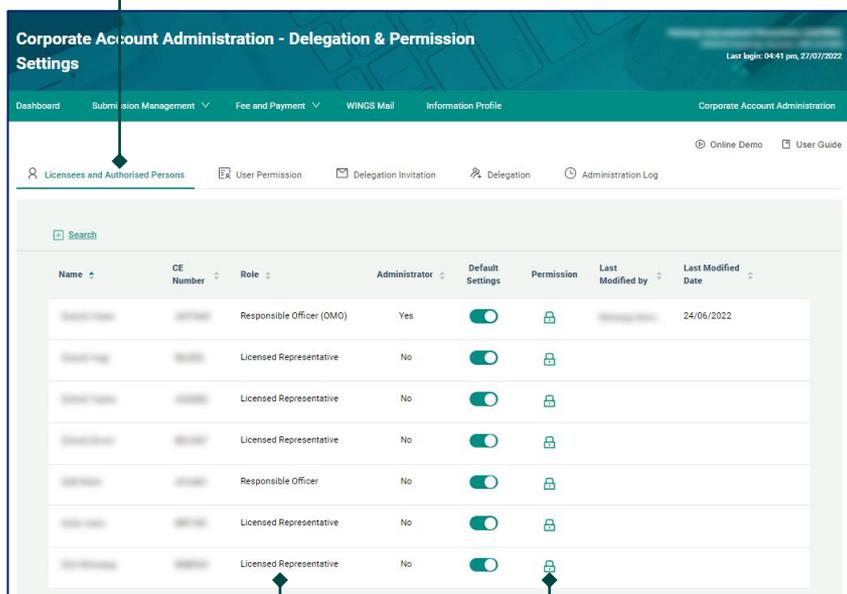


If the signed in user is not a Corporate Administrator, then the option "Corporate Account Administration" will not show.

Delegate the reporting role (cont'd)

4. Delegate a licensee or an authorised person with the reporting role

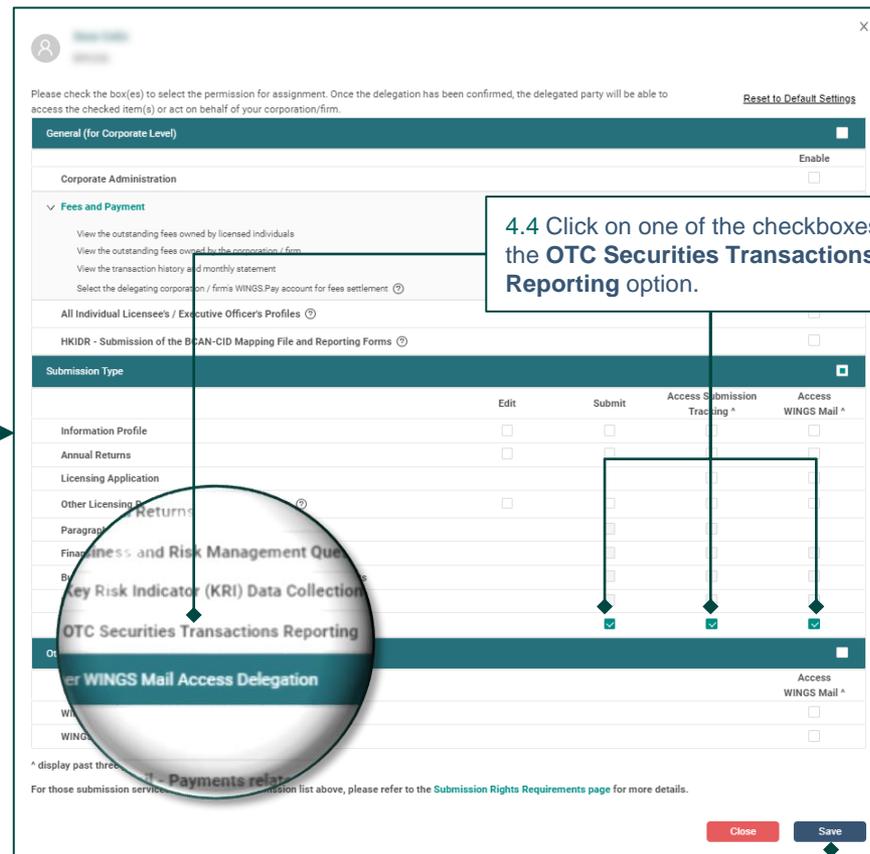
4.1 Click on **Licensees and Authorised Persons**.



Name	CE Number	Role	Administrator	Default Settings	Permission	Last Modified by	Last Modified Date
[Redacted]	[Redacted]	Responsible Officer (OMO)	Yes	<input checked="" type="checkbox"/>		[Redacted]	24/06/2022
[Redacted]	[Redacted]	Licensed Representative	No	<input checked="" type="checkbox"/>		[Redacted]	
[Redacted]	[Redacted]	Licensed Representative	No	<input checked="" type="checkbox"/>		[Redacted]	
[Redacted]	[Redacted]	Licensed Representative	No	<input checked="" type="checkbox"/>		[Redacted]	
[Redacted]	[Redacted]	Responsible Officer	No	<input checked="" type="checkbox"/>		[Redacted]	
[Redacted]	[Redacted]	Licensed Representative	No	<input checked="" type="checkbox"/>		[Redacted]	
[Redacted]	[Redacted]	Licensed Representative	No	<input checked="" type="checkbox"/>		[Redacted]	

4.2 Find the delegatee.

4.3 Click on the padlock icon under **Permission**.



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. [Reset to Default Settings](#)

General (for Corporate Level)

Corporate Administration

Fees and Payment

- View the outstanding fees owned by licensed individuals
- View the outstanding fees owned by the corporation / firm
- View the transaction history and monthly statement
- Select the delegating corporation / firm's WINGS Pay account for fees settlement

All Individual Licensee's / Executive Officer's Profiles

HKIDR - Submission of the BEAN-CID Mapping File and Reporting Forms

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"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other Licensing Returns	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Paragr... Financial and Risk Management Que... Key Risk Indicator (KRI) Data Collection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OTC Securities Transactions Reporting	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other WINGS Mail Access Delegation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
WINGS Mail Access Delegation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

* display past three months of submission list above, please refer to the [Submission Rights Requirements](#) page for more details.

[Close](#) [Save](#)

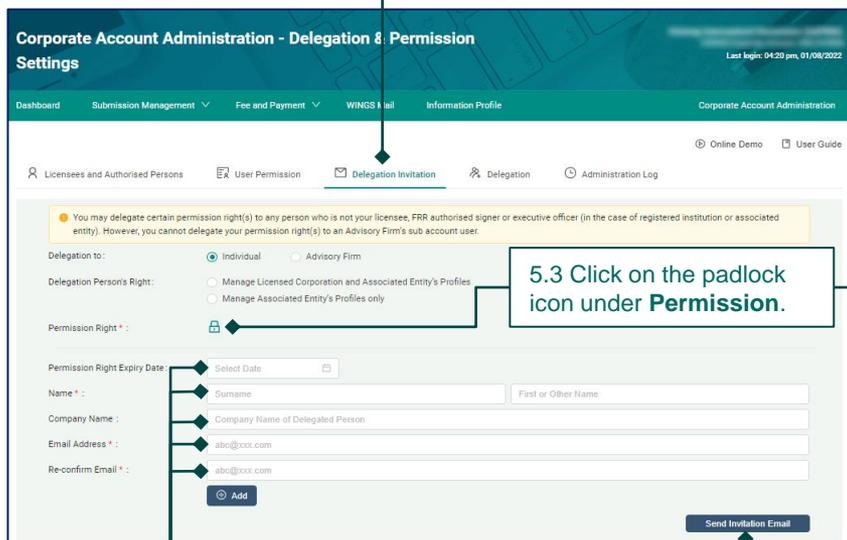
4.4 Click on one of the checkboxes for the **OTC Securities Transactions Reporting** option.

4.5 Click on **Save**.

Delegate the reporting role (cont'd)

5. Delegate a non-licensee with the reporting role

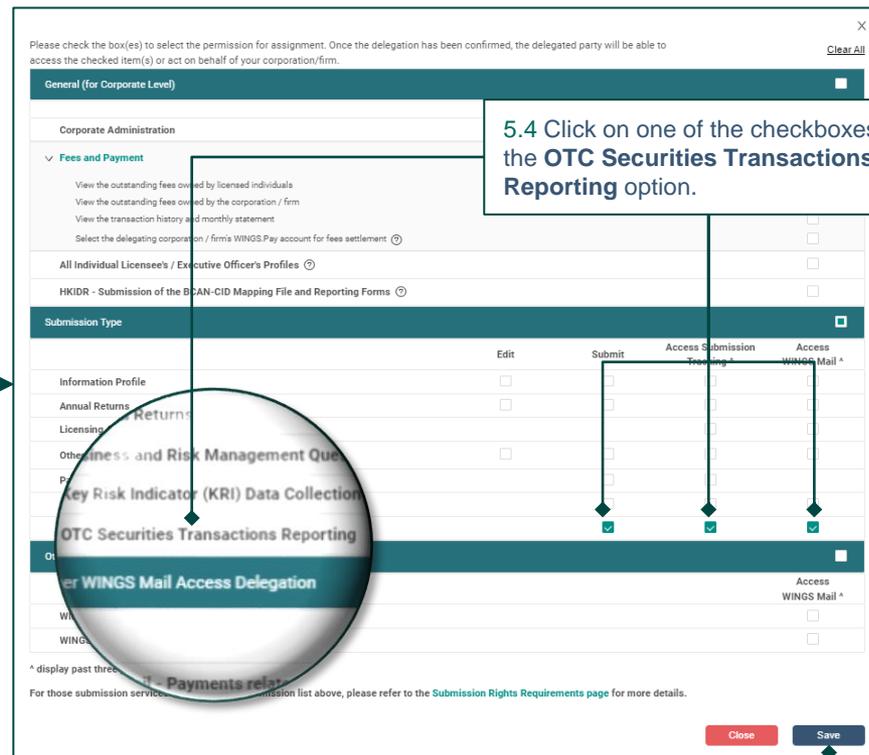
5.1 Click on **Delegation Invitation**.



5.3 Click on the padlock icon under **Permission**.

5.2 Fill the details of the delegatee.

5.6 Click on **Send Invitation Email**.



Submission Type	Edit	Submit	Access Submission	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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business and Risk Management Questionnaire	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Key Risk Indicator (KRI) Data Collection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OTC Securities Transactions Reporting	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
WINGS Mail Access Delegation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
WINGS Mail	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.4 Click on one of the checkboxes for the **OTC Securities Transactions Reporting** option.

5.5 Click on **Save**.

A large, stylized teal graphic of a bird in flight, positioned on the left side of the page. The bird's wings are spread wide, and its tail is visible. The graphic is semi-transparent, allowing the white background to show through. The text is placed to the right of the bird's head.

Thank you.

www.sfc.hk