

Exemption Scheme Application Form
(updated as of 21 June 2021)

This form should be completed by a responsible officer or the manager-in-charge (MIC) of compliance function of the sponsoring licensed corporation of a proposed exempted executive.

The completed form and the required supporting documents should be sent to the SFC by email at etravel@sfc.hk at least **10 working days** prior to the expected date of departure from Hong Kong (for a senior executive travelling from and returning to Hong Kong (returning executive)) or the expected date of arriving in Hong Kong (for a senior executive visiting Hong Kong (visiting executive)).

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

Part I: Application details

Particulars of sponsoring licensed corporation	Name:
	CE number:
Contact person from sponsoring licensed corporation [Note: The authorisation letter will be sent to the contact person by email.]	Name:
	Job title:
	Contact number:
	Email address:
Particulars of proposed exempted executive under application	Name*: * As it appears on the applicant's Hong Kong identity card or passport
	Hong Kong identity card / passport number and issuing country:
	Job title (specifying global / regional role):
	Contact number:
Purposes of the trip (please tick as appropriate)	<input type="checkbox"/> Returning to Hong Kong from _____ (location(s)**) attending board meeting / attending meeting with clients / attending senior management meeting / executing legal documents***. The meeting(s) and activities are held and carried out for the purposes of managing the sponsoring licensed corporation's group entities for which the executive has responsibility.
	<input type="checkbox"/> Travelling to Hong Kong from _____ (location(s)**) to attend board meeting / attend meeting with clients / attend senior

	<p>management meeting / execute legal documents^{***}. The meeting(s) and activities are held and carried out for the purposes of managing the licensed corporation.</p> <p><input type="checkbox"/> Others, please specify: _____</p> <p>^{**} To include all ports of entry passed through, with dates in the past 21 days, before returning to or arriving in Hong Kong</p> <p>^{***} Delete as appropriate</p>	
<p>Accommodation during self-isolation and/or medical surveillance period</p>	<p><input type="checkbox"/> Designated quarantine hotel (DQH), please specify: Name of DQH: _____ Address of DQH: _____ _____</p> <p><input type="checkbox"/> Home, please specify address: _____ _____</p> <p><input type="checkbox"/> Others^{****}, please specify address: _____ _____</p> <p>^{****} Only applicable to 1) a visiting executive who has stayed in places specified in Group B or Group C, under Cap. 599H or Taiwan, China whose antibody test result is positive and who chooses to stay in a place other than a DQH after self-isolation period; and 2) senior executive who has stayed in places specified in Group D, under Cap. 599H, the Mainland or Macau</p>	
<p>Date of arrival in and departure from Hong Kong</p>	<p>Arrival date:</p>	<p>Departure date:</p>

Part II: Declaration by sponsoring licensed corporation

1. To the best of my knowledge, I certify that,

- the meeting(s) and activities to be participated in during the course of travel by the proposed exempted executive under application are for the purposes of managing the sponsoring licensed corporation's group entities for which the executive has responsibility / the licensed corporation[^];
- the proposed exempted executive under application has completed a COVID-19 vaccination course¹;
- the proposed exempted executive possesses a positive result of IgG or total antibody test against spike protein or surrogate neutralizing antibody done at a HOKLAS-accredited medical laboratory with virology-serology tests within the scope

¹ A person is deemed to have completed a COVID-19 vaccination course if he or she arrives at Hong Kong on or after the 14th day after receiving the required dose(s) of a COVID-19 vaccine recognised by the HKSAR Government as specified in: https://www.coronavirus.gov.hk/pdf/list_of_recognised_covid19_vaccines.pdf.

of accreditation, on either an Abbott or Roche platform (or other platforms subject to review), following the standard specified by the manufacturer and with the specimen collected within three months prior to the scheduled arrival time of the flight to Hong Kong (only applicable for a returning executive visiting high or medium risk places specified in Group B or Group C² under Cap. 599H or Taiwan, China during the 14 days prior to his or her arrival in Hong Kong);

- the proposed exempted executive has made an appointment with a HOKLAS-accredited laboratory with a virology – serology tests within the scope of accreditation for an IgG or total antibody test against spike protein or surrogate neutralizing antibody done on platforms by Abbott or Roche (or other platforms subject to review), following the standard specified by the manufacturer and with the specimen collected on the day of arrival at Hong Kong or the following day (only applicable for a visiting executive who has stayed in high or medium risk places specified in Group B or Group C under Cap. 599H or Taiwan, China during the 14 days prior to his or her arrival in Hong Kong);
 - all information provided in support of this application 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 application 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 application.
2. On behalf of the proposed exempted executive, I confirm that the proposed exempted executive's consent is granted to the SFC's disclosure of the information provided in support of this application under section 378(3)(k) of the Securities and Futures Ordinance for the purposes of administering the Exemption Scheme.

Name of responsible officer
/ MIC of compliance
function[^] of sponsoring
licensed corporation

Signature

Date

[^] Please delete as appropriate

Part III: Checklist of supporting documents to enclose

- A copy of Hong Kong identity card or passport photo page of the proposed exempted executive under application.

² Risk classifications for specified places may change subject to the situation in those jurisdictions. Please refer to <https://www.coronavirus.gov.hk/eng/high-risk-places.html> for the latest details.

- An itinerary of the proposed exempted executive throughout the entire medical surveillance period in Hong Kong, with information about his or her arrival, departure, accommodation or designated quarantine hotel(s), organisations and venues to be visited³ with dates and times of the visits.
- A COVID-19 vaccination record⁴ issued by a healthcare institution or a relevant authority of the government of the place where the vaccine was administered.
- A copy of positive COVID-19 antibody test result (only applicable for a returning executive visiting high or medium risk places specified in Group B or Group C under Cap. 599H or Taiwan, China during the 14 days prior to his or her arrival in Hong Kong).

Part IV: Notes on ongoing obligations

The sponsoring licensed corporation is required to:

1. keep an up-to-date record of the itinerary of the senior executive for the entire duration of the trip (for a visiting executive) or throughout the entire medical surveillance period (for a returning executive) in Hong Kong. In addition to the information set out in Part III, the itinerary maintained by the sponsoring licensed corporation should also include information about the contact details of the persons who had met or would meet with the exempted executive in Hong Kong. Any changes to the itinerary⁵ should be submitted to the SFC upon his or her arrival in Hong Kong and at the time when the sponsoring licensed corporation submits the attestation form as required under note 4 below;
2. ensure compliance with the guidelines for vehicles providing point-to-point transportation at **Appendix III** to the circular⁶ issued by the SFC on 28 May 2021;
3. ensure that, for exempted persons in self-isolation at an accommodation arranged by the sponsoring licensed corporation, the Department of Health's infection control guidelines are adhered to. For details, please refer to:
https://www.coronavirus.gov.hk/pdf/quarantine/Infection_Control_Advice_for_Person_under_Compulsory_Home_Quarantine.pdf;
4. submit the attestation form at **Appendix II** to the circular issued by the SFC on 21 June 2021, every three working days or at the half-way point of the trip, whichever is earlier, and on the last day of the exempted executive's trip (for a visiting executive) or the medical surveillance period (for a returning executive), by email to the SFC at etravel@sfc.hk; and
5. report to the SFC as soon as possible if an exempted executive is confirmed or suspected to be infected with COVID-19 during his or her trip in Hong Kong and within

³ Only essential business activities should be included in the itinerary; meals with others and social activities should not be included. For an exempted executive in self-isolation at an accommodation arranged by the sponsoring licensed corporation, his or her itinerary should also include visits for conducting corresponding COVID-19 tests.

⁴ The COVID-19 vaccination record must be in English or Chinese or translated into English or Chinese by a certified professional.

⁵ Except for any changes to the persons who had met or would meet with the exempted executive in Hong Kong.

⁶ Any non-compliance with the guidelines will be reported to the Department of Health and the FSTB for follow-up actions.



14 days after departing from Hong Kong (for a visiting executive) or during the medical surveillance period (for a returning executive).

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 data⁷ 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 application form or attestation form will be used by the SFC for one or more of the following purposes:
 - to process applications for the exemption (Exemption) granted by the Chief Secretary for Administration of the Hong Kong Special Administrative Region (HKSAR) Government pursuant to section 4(1)(b) of the Compulsory Quarantine of Certain Persons Arriving at Hong Kong Regulation (Cap. 599C) or section 4(1)(b) of the Compulsory Quarantine of Persons Arriving at Hong Kong from Foreign Places Regulation (Cap. 599E) for the financial services sector (Exemption Scheme) and purposes connected therewith;
 - to assess whether applicants have complied or are complying with the conditions or requirements of Exemption;
 - 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 application, assess whether you have complied or are complying with the conditions or requirements of Exemption 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) 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 Exemption Scheme (including applications for Exemption), public health and the prevention or control of diseases, to assist the HKSAR Government with its assessment of compliance with, or enforcement of, the conditions or requirements of Exemption, 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

⁷ As defined in the Personal Data (Privacy) Ordinance, Cap 486 (PDPO).



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 the application form or attestation form. The SFC has the right to charge a reasonable fee for processing any data access requests.

Enquiries

7. Any enquiries regarding the personal data provided in the application form or attestation 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>.

Notes to application

Senior executives authorised to be exempted from the compulsory quarantine arrangements are required to comply with specific conditions set out in an authorisation letter to be issued by the Financial Services and the Treasury Bureau (FSTB). A set of sample conditions, which include the completion of a COVID-19 vaccination course⁸, pre-departure, on arrival and post-arrival COVID-19 tests, a pre-departure antibody test (for a returning executive) or an on arrival antibody test (for a visiting executive), point-to-point transportation, self-isolation and medical surveillance is set out below for reference only.

Persons who have stayed in extremely or very high risk places under Group A1 or Group A2⁹ during the 21 days prior to their arrival in Hong Kong would not be qualified to apply under the Exemption Scheme.

A. General

1. The exempted person must only travel for the purposes of undertaking the permitted activities as set out in the itinerary endorsed by his or her sponsoring licensed corporations and submitted to the SFC. The itinerary should only include essential business activities and should not include meals with others and social activities.
2. The exempted person must show the authorisation letter issued by the FSTB to the staff at the border in order to be exempted from the compulsory quarantine arrangements.
3. The exempted person should refer to the COVID-19 Thematic Website for the latest information and requirements regarding testing and self-isolation arrangements, etc:
<https://www.coronavirus.gov.hk/eng/exempted-persons-faq.html>
4. The exempted person must comply with the conditions of exemption as set out in the authorisation letter issued by the FSTB, and any subsequent letter to be issued by the designated officer of the FSTB in light of the relevant requirements as promulgated by the Department of Health from time to time. It is an offence if the exempted person fails to observe any of the exemption conditions. On conviction, the exempted person is liable to a fine of HK\$5,000 and to imprisonment of six months. In addition, if the exempted person contravenes any of the exemption conditions, his exemption status will be revoked immediately and he may be sent to the HKSAR Government's Quarantine Centre for compulsory quarantine for 21 days. The sponsoring licensed corporation's eligibility to apply for exemption may also be suspended.
5. Exemption from the compulsory quarantine arrangements is only applicable to the exempted person who travels to Hong Kong on the date specified in the authorisation letter issued by the FSTB.

B. Vaccination requirement

⁸ A person is deemed to have completed a COVID-19 vaccination course if he or she arrives at Hong Kong on or after the 14th day after receiving the required dose(s) of a COVID-19 vaccine recognised by the HKSAR Government as specified in:
https://www.coronavirus.gov.hk/pdf/list_of_recognised_covid19_vaccines.pdf.

⁹ Risk classifications for specified places may change subject to the situation in those jurisdictions. Please refer to <https://www.coronavirus.gov.hk/eng/high-risk-places.html> for the latest details.

6. The exempted person must have completed a COVID-19 vaccination course¹⁰.

C. Antibody testing requirement

7. *Applicable to an exempted person who is a returning executive and under Group B, Group C or Taiwan, China*

The exempted person must possess a positive result of IgG or total antibody test against spike protein or surrogate neutralizing antibody done at a HOKLAS-accredited medical laboratory with virology-serology tests within the scope of accreditation. Such test must be done on platforms by Abbott or Roche (or other platforms subject to review), following the standard as specified by the respective manufacturer and with the specimen collected within three months prior to the scheduled arrival time of the flight to Hong Kong.

Applicable to an exempted person who is a visiting executive and is under Group B, Group C or Taiwan, China

The exempted person must have made an appointment with a HOKLAS-accredited medical laboratory with virology – serology tests within the scope of accreditation for an IgG or total antibody test against spike protein or surrogate neutralizing antibody done on platforms by Abbott or Roche (or other platforms subject to review), following the standard as specified by the respective manufacturer and with the specimen collected on the day or the following day of arrival at Hong Kong. The exempted person must wait for the results at a designated quarantine hotel.

D. COVID-19 testing requirement

Pre-departure test

8. *Applicable to an exempted person who is arriving at the Hong Kong International Airport (HKIA) and is under Group B or Taiwan, China*

The exempted person arriving at the HKIA who has stayed in high risk places specified in Group B under Cap. 599H or Taiwan, China during the 14 days prior to arrival in Hong Kong must possess a negative result of SARS-CoV-2 nucleic acid test done at an ISO

¹⁰ A person is deemed to have “completed a COVID-19 vaccination course” if he or she arrives at Hong Kong on or after the 14th day after completing vaccination in manners stipulated as follows:

- (i) For both the Sinovac COVID-19 vaccine (CoronaVac vaccine) and Fosun Pharma/BioNTech COVID-19 vaccine (Comirnaty vaccine), completing the vaccination course involves receiving two doses in general. For a person previously infected with COVID-19, he or she may be deemed to have completed the COVID-19 vaccination course after receiving one dose of CoronaVac vaccine or one dose of Comirnaty vaccine.
- (ii) For a person who has received COVID-19 vaccines in places outside of Hong Kong and has received the recommended doses as stipulated in relevant guidelines, he or she will also be regarded to have completed the vaccination course of the relevant COVID-19 vaccine subject to the vaccine used being included on the list of vaccines recognised for this purpose as published on the HKSAR Government’s COVID-19 Thematic Website.

For a person who arrives at Hong Kong after he or she has completed a COVID-19 vaccination course, he or she must provide the vaccination record or a written confirmation in English or Chinese issued by a healthcare institution or a relevant authority of the government of the place where the vaccine was administered, bearing the name of the relevant vaccinated person identical to that in his or her valid travel document to show that (i) the relevant vaccinated person received the dose(s) of vaccination(s) against COVID-19 and the date(s) on which the dose(s) was or were administered; and (ii) the name of the vaccine administered which must be included in the list of vaccines recognised for this purpose as published on the HKSAR Government’s COVID-19 Thematic Website.

15189-accredited laboratory or a laboratory recognised by the government where the laboratory is located with the specimen collected within 48 hours prior to the scheduled departure time of the flight to Hong Kong.

Applicable to an exempted person arriving at a land boundary control point

The exempted person arriving in Hong Kong via a land boundary control point who has stayed in the Mainland or Macau during the 14 days prior to arrival at Hong Kong –

- (a) must produce documentary proof to show that –
- (i) the person underwent a COVID-19 test, the sample for which was taken on the day of arrival or within three days before the day of arrival;
 - (ii) a polymerase chain reaction-based nucleic acid test for COVID-19 is conducted on the sample;
 - (iii) the person was tested negative for COVID-19; and
 - (iv) the test was conducted by a laboratory that, at the time of the person's arrival, is included in a list of recognised medical or testing institutions published for this purpose in the Department of Health's official website (please refer to <https://www.coronavirus.gov.hk/eng/exempted-persons-faq.html> for details).

Otherwise, the exempted person will not be exempted from the compulsory quarantine requirement.

- (b) The exempted person can conduct a nucleic acid test for SARS-CoV-2 at a recognised laboratory in Hong Kong. If the exempted person returns to Hong Kong via a land boundary control point during the valid period of the testing results, he or she is not required to conduct the test again. However, if the exempted person returns to Hong Kong after the expiry of the testing results, he or she must obtain and present a negative SARS-CoV-2 nucleic acid test result in accordance with the requirements set out in condition (8)(a). Otherwise, the exempted person will not be exempted from the compulsory quarantine requirement.

Arrival test

9. The exempted person arriving at HKIA must take a SARS-CoV-2 nucleic acid test at the Department of Health's Temporary Specimen Collection Centre and wait for the results there or at any other location as designated by the Department of Health upon arrival at HKIA.

Post-arrival test

10. *Applicable to an exempted person who is under Group B, Group C or Taiwan, China and self-isolate at a designated quarantine hotel*

The exempted person who (i) has stayed in high or medium risk places specified in Group B, Group C under Cap. 599H or Taiwan, China (and has not stayed in any Group

A1 or Group A2 specified places during the 21 days prior to arrival in Hong Kong) during the 14 days prior to arrival in Hong Kong and (ii) is subject to self-isolation at the designated quarantine hotel must be subject to the prevailing SARS-CoV-2 nucleic acid test requirement applicable to persons staying at the designated quarantine hotel. After leaving the designated quarantine hotel, the exempted person must also be subject to a polymerase chain reaction-based nucleic acid test for COVID-19 on the [12th], 16th and 19th day following his or her arrival in Hong Kong (or until departure from Hong Kong, whichever is earlier).

Applicable to an exempted person who is under Group B, Group C or Taiwan, China and self-isolate at home

The exempted person who (i) has stayed in high or medium risk places specified in Group B, Group C under Cap. 599H or Taiwan, China (and has not stayed in any Group A1 or Group A2 specified places during the 21 days prior to arrival in Hong Kong) during the 14 days prior to arrival in Hong Kong and (ii) is subject to self-isolation at home must be subject to polymerase chain reaction-based nucleic acid test for COVID-19 on the 3rd, 7th, 12th, 16th and 19th day following his or her arrival in Hong Kong (or until departure from Hong Kong, whichever is earlier).

Applicable to an exempted person under Group D

The exempted person who has stayed in low risk places specified in Group D under Cap. 599H (and has not stayed in any Group A1 or Group A2 specified places during the 21 days prior to arrival in Hong Kong; or Group B, Group C specified places or Taiwan, China during the 14 days prior to arrival in Hong Kong) during the 14 days prior to arrival in Hong Kong must be subject to polymerase chain reaction-based nucleic acid test for COVID-19 on the 3rd, 7th and 12th day following his or her arrival in Hong Kong (or until departure from Hong Kong, whichever is earlier).

Applicable to an exempted person from Mainland or Macau

The exempted person who has stayed in the Mainland or Macau (and has not stayed in any Group A1 or Group A2 specified places during the 21 days prior to arrival in Hong Kong; or Group B, Group C, Group D specified places or Taiwan, China during the 14 days prior to arrival in Hong Kong) during the 14 days prior to arrival in Hong Kong must be subject to polymerase chain reaction-based nucleic acid test for COVID-19 on the 3rd, 7th and 12th day following his or her arrival in Hong Kong (or until departure from Hong Kong, whichever is earlier).

11. The exempted person must report to his or her sponsoring licensed corporation after submitting the specimen on respective days.

E. Point-to-point transportation requirement

12. Point-to-point transportation must be arranged between the HKIA or a land boundary control point and the exempted person's accommodation; and between his or her accommodation and the venue of his or her designated activities as specified in the itinerary endorsed by his or her sponsoring licensed corporation and submitted to the SFC during his or her medical surveillance period. The "Guidelines for vehicles providing

point-to-point transportation” issued by the Department of Health (see **Appendix III** to the circular issued by the SFC on 28 May 2021) should be observed. Use of public transport including the Mass Transit Railway, airport shuttle train and taxi for transfer is prohibited. The exempted person must only use the designated channel for exempted persons other than air crew within the HKIA to arrive at the designated pick-up points (see the Map at Annex to the authorisation letter issued by the FSTB). The exempted person should wear masks during the entire transportation journey.

F. Self-isolation requirement

13. *Applicable to an exempted person who is a returning executive and is under Group B, Group C or Taiwan, China*

The exempted person who has stayed in high or medium risk places specified in Group B or Group C under Cap. 599H or Taiwan, China (and has not stayed in any Group A1 or Group A2 specified places during the 21 days prior to arrival in Hong Kong) during the 14 days prior to arrival in Hong Kong must be subject to self-isolation at a designated quarantine hotel or at home for 7 days upon arrival except for permitted activities as set out in the itinerary endorsed by his or her sponsoring licensed corporation and submitted to the SFC. For an exempted person who chooses to self-isolate at home, he or she should observe the “Infection Control Advice for Person under Compulsory Home Quarantine”

https://www.coronavirus.gov.hk/pdf/quarantine/Infection_Control_Advice_for_Person_under_Compulsory_Home_Quarantine.pdf.

Applicable to an exempted person who is a visiting executive under Group B, Group C or Taiwan, China

The exempted person who has stayed in high or medium risk places specified in Group B or Group C under Cap. 599H or Taiwan, China (and has not stayed in any Group A1 or Group A2 specified places during the 21 days prior to arrival in Hong Kong) during the 14 days prior to arrival in Hong Kong must be subject to self-isolation at a designated quarantine hotel for (i) 14 days upon arrival, or until departure from Hong Kong, if his or her antibody test result is negative; or (ii) 7 days upon arrival, if his or her antibody test result is positive, except for permitted activities as set out in the itinerary endorsed by the sponsoring licensed corporation and submitted to the SFC.

G. Medical surveillance

14. Upon arrival, the exempted person is subject to a 14-day medical surveillance¹¹ period, during which the scope of activity of the exempted person in Hong Kong is only limited to the permitted activities as set out in the itinerary endorsed by his or her sponsoring licensed corporation and submitted to the SFC, except for an exempted person whose antibody test result is negative. Where an exempted person’s antibody test result is negative, he or she must only stay at a designated quarantine hotel during his or her medical surveillance period. All exempted person must take every precautionary measure to ensure personal hygiene and avoid unnecessary social contact whilst in Hong Kong.

¹¹ Persons under medical surveillance are required to wear masks and check their body temperature twice daily and report to the Department of Health if feeling unwell.