

Exemption Scheme Attestation Form
(updated as of 19 July 2021)

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

The completed form of the exempted executive and the required supporting documents should be sent to the SFC by email at etravel@sfc.hk (i) on his or her third and seventh days in Hong Kong (for a returning executive); (ii) on the last day of his or her trip if he or she stays in Hong Kong for less than three days or on his or her third day in Hong Kong, and on the seventh day in Hong Kong or the last day of his or her trip, whichever is earlier, if he or she stays in Hong Kong for more than three days (for a visiting executive).

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

Particulars of sponsoring licensed corporation	Name:	
	CE number:	
Particulars of exempted executive	Name:	
	Hong Kong identity card / passport number and issuing country:	
	Job title:	
Date of arrival in and departure from Hong Kong	Arrival date:	Departure date:

To the best of my knowledge, I attest that _____ (name of exempted executive), has, from _____ (the start date of the period covered in this attestation) to _____ (the last date of the period covered in this attestation):

- complied / not complied^{^*} with the Hong Kong requirements and conditions of exemption as set out in the authorisation letter issued by the Financial Services and the Treasury Bureau; and

^{*}If the exempted executive has not complied with the Hong Kong requirements and conditions of exemption, please provide reasons.

- followed / not followed^{^*} the itinerary last provided to the SFC on _____ (date) during the medical surveillance period; and

^{*}If the exempted executive has not followed the itinerary last provided to the SFC during the medical surveillance period, please set out any changes to the itinerary.

- come / not come[^] into contact with any persons suspected or confirmed to be infected with COVID-19

[%]If the exempted executive has come into contact with any persons suspected or confirmed to be infected with COVID-19, please provide details including the date when the exempted executive came into contact with such persons and the venue.

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

Signature

Date

[^] Please delete as appropriate

Reminder

The sponsoring licensed corporation is required to 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 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 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 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 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

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

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>.