

e-FRR System User Quick Reference

Top Menu

Working Area

Instruction Area

Bottom Menu

Screen Layout in e-FRR System

- Top menu - list of e-FRR functions
- Working area – working panel for operations
- Instruction area – action steps for corresponding operation
- Bottom Menu – list of static functions

Step 1 – Login e-FRR System

You will need the following to login the e-FRR System:

- SFC e-Certificate Location** - click the <Browse> button to locate to the USB flash disk which stores the certificate.
- SFC e-Certificate PIN** – enter the PIN provided in the PIN Mailer.
- Login Password** – enter the login password issued by SFC.

Click <Login> to proceed.

Important Note: Do not disclose your PIN or the Login Password to anyone. Also, SFC staff will not ask for your PIN or your Login Password in any communication. If in doubt, please report to SFC.

Step 2A – Submit FRR for Single Period

After successful logon, you will be directed to the Submit FRR screen if there is only one period pending for submission.

- Click <Attach File> to locate your FRR file (in XLS format).
- Click <Submit> to proceed. Your FRR file will be digitally signed, encrypted and sent to the e-FRR System for process.

Note: if the <Save signed file in local PC> option is checked, the system will save a signed copy of the FRR in your local PC. By default, the path will be the same location of your FRR file.

Electronic Submission of Financial Return

Submit FRR

(XYZ999) DEMO SECURITIES LIMITED

Thursday, 17 Jul 2008

Steps for Submission

1. Click the "Attach File" button to locate your return file in XLS format
2. An option is provided for you to save a digitally signed copy for reference. The file will be stored as a file with a ".P7S" extension
3. After submission, an acknowledgement will be shown for your record

FRR Submission Acknowledgement

Transaction Number: SIT135
Reporting Period: 2008/06
Status: In Progress
Name of Licensed Corporation: DEMO SECURITIES LIMITED
CE Reference Number: XYZ999
Submitted By: PQR888
Submitted Time: 17 Jul 2008 02:42 PM

Print Save

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The acknowledgment screen will show up after a successful submission.

You can click <Print> to print the current screen or click <Save> to download a text copy of the acknowledgment for record purpose.

Step 2B – Submit FRR for Multiple Periods

Electronic Submission of Financial Return

Submit FRR

2008/01 EMO SECURITIES LIMITED Friday, 25 Jul 2008

2008/02

2008/03 than one submission period available. Please select the required submission period from the top menu under

2008/04

2008/05

2008/07

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You will be asked to select submission period if there are more than one period pending for submission.

Move mouse over "Submit FRR" from the top menu will display list of periods pending for submission. You can click to select the period you want to process, which will bring up the screen in **Step A**.

Step 3 – Check Status and Logout

Electronic Submission of Financial Return

Check Status

(XYZ999) DEMO SECURITIES LIMITED Friday, 18 Jul 2008

Financial Returns

| Reporting Period | Transaction Number | Due Date | Submitted Date | Submitted By | Status |
|------------------|--------------------|-------------|----------------------|--------------|-----------|
| 2008/06 | SIT3 | 21 Jul 2008 | 18 Jul 2008 05:43 PM | XYZ999 | Completed |

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You can click "Check Status" from the top menu to check the status of your FRR submissions:

- **Completed:** the submission is received and successfully processed.
- **In Progress:** the submission is received and is under progress.
- **For Re-submission:** the submission is rejected by the system. Re-submission is required.

Note: You can logout from the system anytime by clicking the <Logout> option.

You may submit a request for revision for completed FRR submitted in the last three months.

Request for Revision

The screenshot shows the 'Check Status' page for a completed FRR submission. The page title is 'Electronic Submission of Financial Return'. The navigation menu includes 'Submit FRR', 'Check Status', 'e-Certificate Profile', and 'Change Password/PIN'. The submission details are as follows:

| | |
|-------------------------------|-------------------------|
| Transaction Number: | SIT1504 |
| Reporting Period: | 2008/05 |
| Status: | Completed |
| Name of Licensed Corporation: | DEMO SECURITIES LIMITED |
| CE Reference Number: | XYZ999 |
| Date of return received: | 29 Jul 2008 |
| Submitted By: | PQR888 |
| Submitted Time: | 29 Jul 2008 05:11 PM |

At the bottom of the details section, there is a button labeled 'Request Revision' which is circled in red. Below the details, there are links for 'Forms', 'Contact Us', 'User Guides', and 'FAQs'.

You can click the submission period shown under "Check Status" screen to view the submission details. Click the <Request Revision> button shown in screen to start the request process.

The screenshot shows the 'Request Revision' page. The page title is 'Electronic Submission of Financial Return'. The navigation menu includes 'Submit FRR', 'Check Status', 'e-Certificate Profile', and 'Change Password/PIN'. The submission details are the same as in the previous screenshot. Below the details, there is a text area for 'Revision Reason/Amendment Description' and a 'Submit' button which is circled in red. Below the details, there are links for 'Forms', 'Contact Us', 'User Guides', and 'FAQs'.

Input the revision reason in the space provided.

Click <Submit>. Once your request is processed there will be a new stub for your selected submission period under "Submit FRR" with a "*" beside it showing this is a revision upon your request.

For security reason you are recommended to change your Login Password and SFC e-Certificate PIN periodically. Click in "Change Password/PIN" from top menu to select corresponding functions.

Change Login Password

The screenshot shows the 'Change Login Password' page. The page title is 'Electronic Submission of Financial Return'. The navigation menu includes 'Submit FRR', 'Check Status', 'e-Certificate Profile', and 'Change Password/PIN'. The page contains a form with the following fields:

- Current Login Password: [password field]
- New Login Password: [password field]
- Confirm New Login Password: [password field]

Below the fields, there are 'Change' and 'Clear' buttons. A note below the fields states: "* alphanumeric(A-Z, a-z, 0-9); minimum length 8". Below the form, there are links for 'Forms', 'Contact Us', 'User Guides', and 'FAQs'.

To change your Login Password:

- Input your Current Login Password.
- Input your New Login Password.
- Re-enter your New Login Password.
- Click <Change> to change password.

Note: please see **Login Password Policy** under Quick Notes below.

Change SFC e-Certificate PIN

Electronic Submission of Financial Return

Logout

Change SFC e-Certificate PIN

Submit FRR Check Status e-Certificate Profile Change Password/PIN 中文

(XYZ999) DEMO SECURITIES LIMITED Wednesday, 16 Jul 2008

Steps

1. Input current SFC e-Certificate PIN.
2. Input new SFC e-Certificate PIN.
3. Input the "confirm" new SFC e-Certificate PIN.
4. Click "Change".
5. An acknowledgement will be shown.

Change SFC e-Certificate PIN Result

Current SFC e-Certificate PIN: [Masked]

New SFC e-Certificate PIN: [Masked]

Confirm New SFC e-Certificate PIN: [Masked]

Change Clear

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To change your SFC e-Certificate PIN:

- Input your Current SFC e-Certificate PIN.
- Input your New SFC e-Certificate PIN.
- Re-enter your New SFC e-Certificate PIN.
- Click <Change> to change PIN.

Note: please see **SFC e-Certificate PIN Policy** under Quick Notes below.

Quick Notes

Access Links

Internet Connection User : <http://www.sfc.hk>

Baseline Specification of Computer System

Hardware Requirements:

- IBM compatible personal computer
- Pentium IV 2.0 GHz or better
- 100MB free hard disk space or above
- 512MB RAM or above
- USB 2.0 Slot

Software Requirements:

- Microsoft Windows 7
- Microsoft Internet Explorer 8, 9, 10 or 11 / Mozilla Firefox 38
- Java Runtime Environment (JRE) 1.6, 1.7 or 1.8

Contact Us

Contact : e-FRR System Helpdesk
Telephone : (852) 2231 1883

Email : e-frrhelp@sfc.hk
Fax : (852) 2293 5824

Normal Service Hours:

- Monday to Friday (except for Hong Kong SAR public holidays)
- 9:00am to 12:30pm and 2:00pm to 6:00pm

e-FRR Login Password and SFC e-Certificate PIN Policy

- 8 to 16 alphanumeric characters (case sensitive)
- Must have at least one alpha character and one numeric character
- New password must not equal to current password