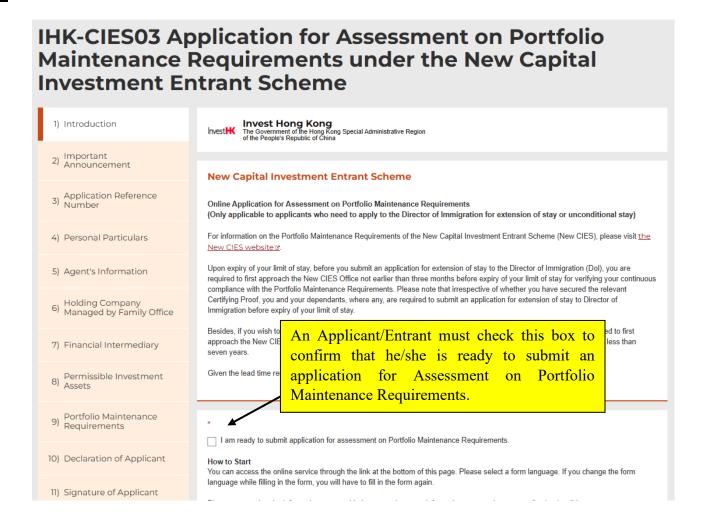
Guidance notes for Submission of Online Application Form for Assessment on Portfolio Maintenance Requirements under the New Capital Investment Entrant Scheme

1) Introduction



1) Introduction (Continued)

Assistance and Furth	er Information ssistance in using the online service, you can conta	act the New CIES Office.
Address: 15/F, Revenu Telephone no.: (852) 39 E-mail: newcies@inves Website: www.newcies	thk.gov.hk	g
The opening hours are holidays).	9:00 a.m. to 12:30 p.m. and 1:30 p.m. to 5:00 p.m	., Mondays to Fridays (closed on Saturdays, Sundays and public
The Frequently Asked (Questions on application for the New CIES are ava	ailable on the <u>New CIES webpage@</u> .
		The Applicant/Entrant may choose to fill in a New
I Want To	☐ Start Filling in a New Form	Form, or attach a Saved Form file from his/her device and enter his/her pre-set password to continue filling in a saved form.
	➢ Fill in a Saved Form	

2) Important Announcement

The Applicant/Entrant should read the Scheme Rules and the important notes carefully.

Application for Assessment on Portfolio Maintenance Requirements under the New Capital Investment Entrant Scheme

Note:

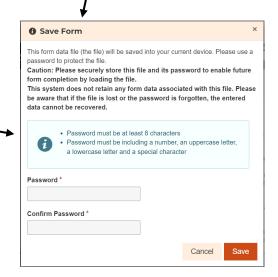
- (i) Please read the "Rules for the New Capital Investment Entrant Scheme" ("Scheme Rules") @ carefully.
- Please complete this application in Chinese/English.
- (iii) Please ensure that all relevant parts are fully completed. Application will be considered on the basis of the information furnished on this application and on the documentary evidence provided.

Notwithstanding that you have already furnished the documents and information above, you may still be required to submit further supporting documents and information in connection with your application when necessary.

Warning: A person who knowingly and wilfully makes a statement or gives information which he/she knows to be false or does not believe to be true shall be guilty of an offence under the Laws of Hong Kong and the result of Assessment on Portfolio Maintenance Requirements shall have no effect.

If the Applicant/Entrant wishes to complete his/her application later, he/she can click the "Save" button on any relevant page of the application form. When the "Save Form" window pops up, the Applicant/Entrant can set his/her own password and click "Save" again. The password-protected Saved Form file will be downloaded to his/her current device.

The Applicant/Entrant can later attach his/her Saved Form file and enter his/her pre-set password again in the first page of the online application form to continue filling in his/her saved form.



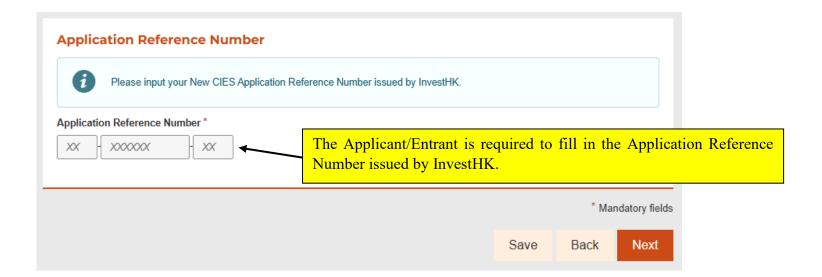
Save

* Mandatory fields

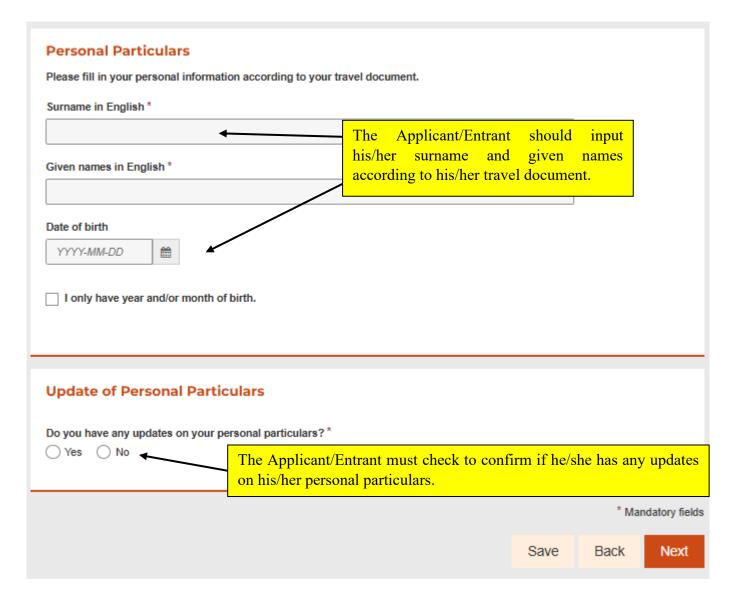
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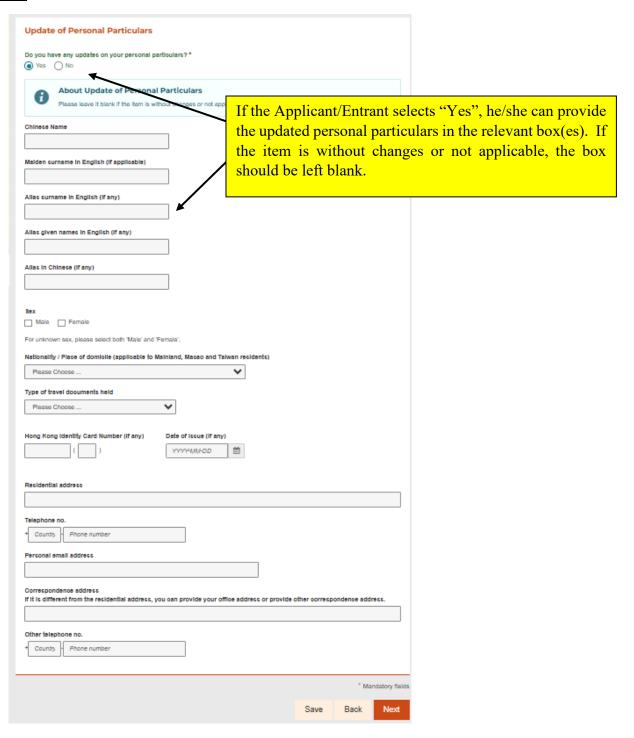
3) Application Reference Number



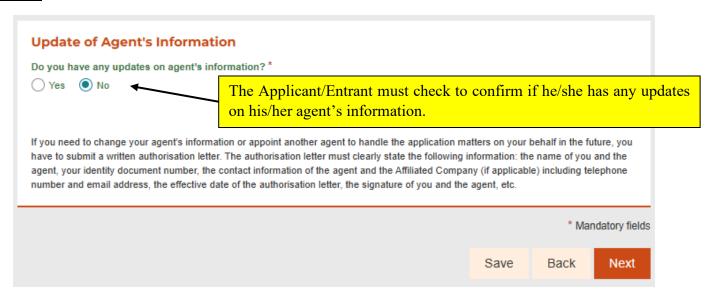
4) Personal Particulars

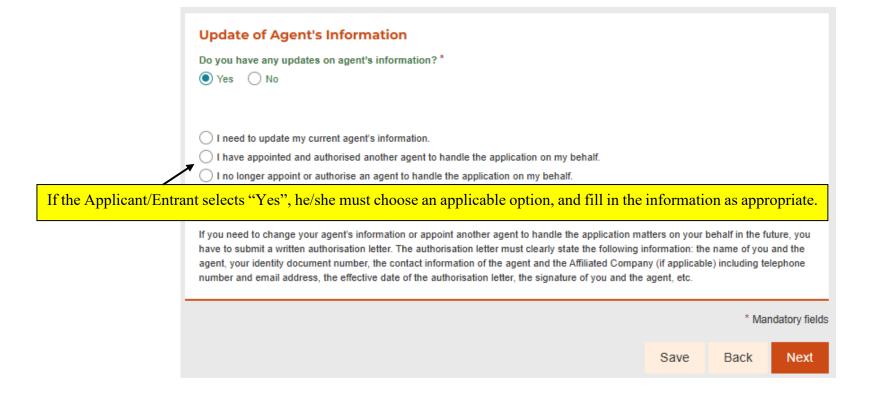


4) Personal Particulars (Continued)



5) Agent's Information





6) Holding Company Managed by Family Office

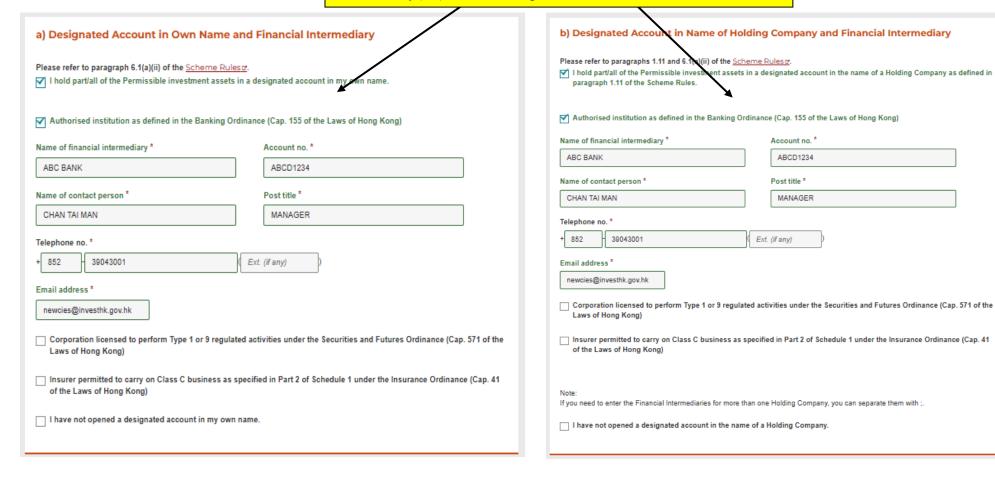
Holding Company Managed by Family Office	If the Applicant/Entrant holds the Permissible investment assets
Please refer to paragraphs 1.11 and 6.1 of the Scheme Rules@.	through a Holding Company which fulfills the conditions in
Are all/part of the Permissible investment assets held in the name of a H Scheme Rules? O Yes No	paragraph 1.11 of the Scheme Rules, he/she is required to fill in the information of the Holding Company concerned and the
	Family Office of his/her family. amily-owned Special Purpose Entity under an FIHV,
where the FIHV has at least two full-time employees in Hong Kong at annually in Hong Kong to carry out the activities of FIHV and (5) managed by an Eligible Single Family Office of your family which ma Inland Revenue Ordinance for the FIHV(s) of the family with an aggre	inages assets specified under Schedule 16C to the
Does your Holding Company fulfill all the above criteria? * Yes No	
Name of Holding Company *	
Business Registration No. of Company *	
Name of the Family Office *	
To the best of your knowledge, is there any other applicant(s) who has/hav another Holding Company managed by the same Eligible Single Family Off InvestHK for assessment on Investment Requirements or assessment on F	ice, and has/have already submitted an application to
Family Office Number for the New CIES of InvestHK (if any)	
Please refer to the email from InvestHK on "Application from Holding to other applicants from the same Eligible Single Family Office and f	
Note: If you need to enter more than one Holding Company, you can separate them with the separate the sep	If applicable, the Applicant/Entrant should fill in the Family Office number as assigned by InvestHK in
	this box to the best of his/her knowledge.
	Save Back Next

7) Financial Intermediary

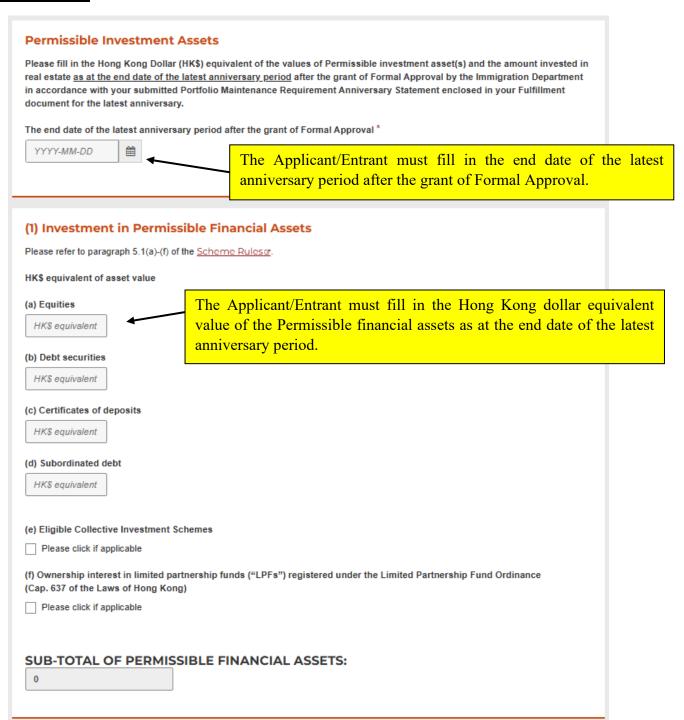
a) Designated Account in Own Name and Financia Please refer to paragraph 6.1(a)(ii) of the Scheme Rules 2.	If the Applicant/Entrant holds the Permissible investment assets in the designated account(s) in his/her own name, he/she is required to select the appropriate category(ies) of the appointed financial intermediary(ies) and fill in the information.
I hold part/all of the Permissible investment assets in a designated a	count in my own name.
Authorised institution as defined in the Banking Ordinance (Cap. 155 Corporation licensed to perform Type 1 or 9 regulated activities under Laws of Hong Kong) Insurer permitted to carry on Class C business as specified in Part 2 or	the Securities and Futures Ordinance (Cap. 571 of the
of the Laws of Hong Kong)	
☐ I have not opened a designated account in my own name.	If there is no designated account opened in his/her own name, the Applicant/Entrant must check here.
b) Designated Account in Name of Holding Compar	If the Applicant/Entrant holds the Permissible investment assets in the designated account(s) in the name of a Holding Company, he/she is required to select the appropriate
Please refer to paragraphs 1.11 and 6.1(a)(ii) of the Scheme Pulese. ✓ I hold part/all of the Permissible investment assets in a designated ac paragraph 1.11 of the Scheme Rules.	
Authorised institution as defined in the Banking Ordinance (Cap. 155	of the Laws of Hong Kong)
Corporation licensed to perform Type 1 or 9 regulated activities under Laws of Hong Kong)	the Securities and Futures Ordinance (Cap. 571 of the
Insurer permitted to carry on Class C business as specified in Part 2 of the Laws of Hong Kong)	of Schedule 1 under the Insurance Ordinance (Cap. 41
Note:	If there is no designated account opened in the name of a Holding Company, the Applicant/Entrant must check here.
If you need to enter the Financial Intermediaries for more than one Holding Cor	npany, you can separate them with ;.
☐ I have not opened a designated account in the name of a Holding Com	ipany.
	* Mandatory fields
	Save Back Next

7) Financial Intermediary (Continued)

After selecting the appropriate category(ies), the Applicant/Entrant is required to fill in the information of the appointed financial intermediary(ies) in the boxes provided.



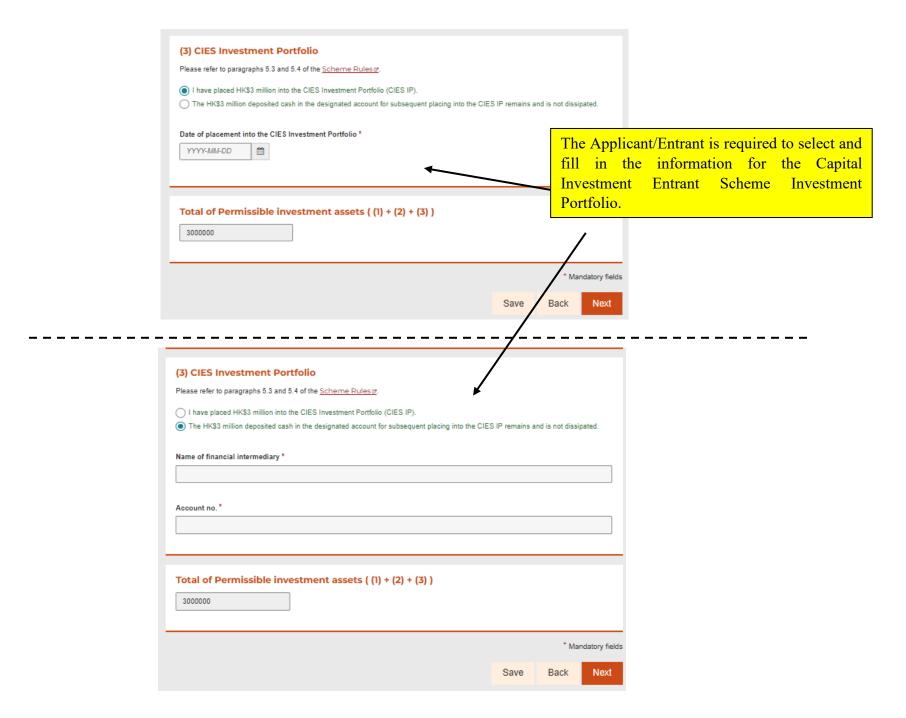
8) Permissible Investment Assets



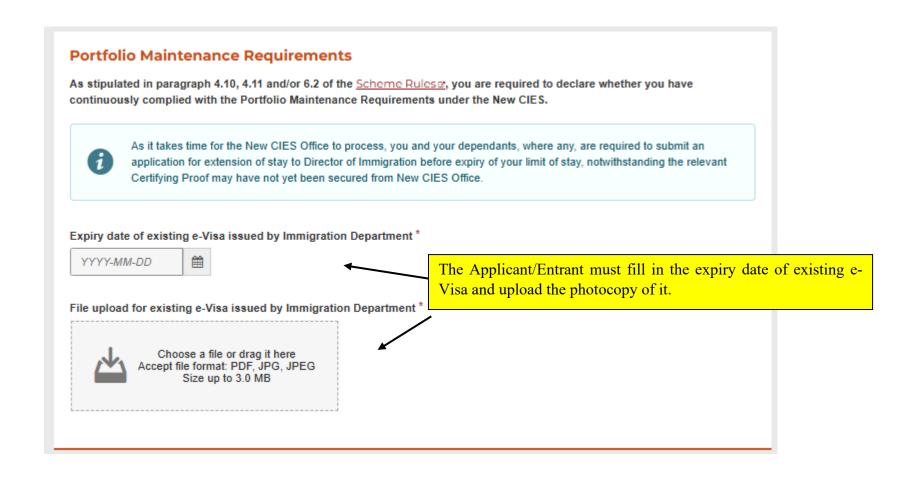
8) Permissible Investment Assets (Continued)

being the sole shareholder (including Holding Co	or through a sole proprietorship under your name, or through a company of which you mpany as defined in paragraph 1.11 of the Scheme Rules). Non-residential real estate property" and "residential property" as defined in section 29A of the Stamp Duty
HK\$ equivalent of amount invested (Acquisition value net of outstanding mortgage	e as at the end date of the latest anniversary period (if applicable))
Non-residential Real Estate	Regarding the real estate, the Applicant/Entrant must fill in the Hon Kong dollar equivalent value of the investment (acquisition value)
HK\$ equivalent Residential Real Estate	net of outstanding mortgage as at the end date of the lates anniversary period (if applicable)).
HK\$ equivalent	
SUB-TOTAL OF REAL ESTATE:	

8) Permissible Investment Assets (Continued)



9) Portfolio Maintenance Requirements



9) Portfolio Maintenance Requirements (Continued)



The Applicant/Entrant must check the box to declare whether he/she has remained to be the absolute beneficial owner of all the Permissible investment assets and continuously complied with the Portfolio Maintenance Requirements of the Scheme Rules.

Declaration Have you remained to be the absolute beneficial owner of all the Permissible investment assets since the date of your previous declaration to the New CIES Office?* No, and as reported below. Have you continuously complied w the Portfolio Maintenance Requirements since the date of your previous declaration to the New CIES Office? * () Yes No, and as reported below. I report the following incidents since my previous of claration to the New CIES Office, and attach the supporting documents (multiple options can be selected). I have not remained to be the absolute beneficial owner of II the Permissible investment assets I have not switched my Permissible investment assets within t stipulated timeframes. I have not re-invested the gross amount entirely upon my withdraw al/disposal of my Permissible investment assets. I have not topped up my investment for expenses incurred during the ocess of acquiring, disposing or realising the Permissible investment assets. Some assets in my designated account have been charged, assigned or created to interest in favor of a third party. I have not maintained the HK\$3 million for subsequent placing into the Capital In estment Entrant Scheme Investment Portfolio in the designated account or timely placing it into the Portfolio. I have to report other non-compliance incident(s). If "No", the Applicant/Entrant must check the File upload for non-compliant incident * appropriate item for the non-compliant incident, and Choose a file or drag it here upload the relevant documents of the incident and Accept file format: PDF Size up to 3.0 MB explanation/follow-up measures. File upload for explanation/follow-up measures Choose a file or drag it here Accept file format: PDF Size up to 3.0 MB * Mandatory fields Back

10) Declaration of Applicant

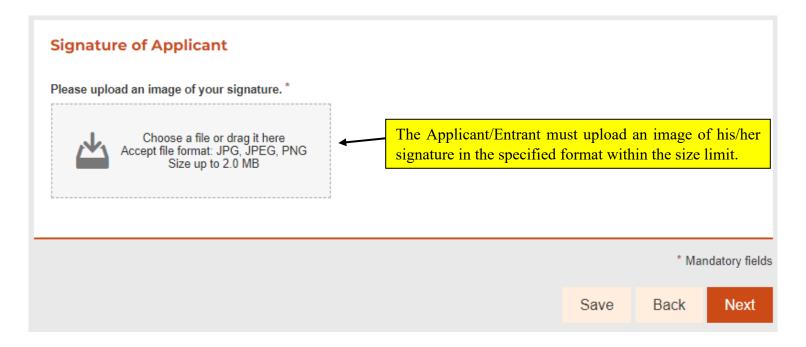
Declaration of Applicant (i) I declare that the information given in the application and all the supporting documents is correct, complete and true to the best of my knowledge and belief. (ii) I declare that the aforesaid Permissible investment assets are under my absolute beneficial entitlement and the purchase price(s) and additional investment (if any) is/are paid out of my and/or my Holding Company's bank account and own monies. I consent to the making of any enquiries necessary for the processing of this application. (iv) I consent to releasing my information to my appointed bodies, as well as any government bureaux, departments and any other public or private organisations inside or outside the Hong Kong Special Administrative Region ("HKSAR") for the purpose of processing of this application. (v) I authorise all government departments or authorities, other quasi-government organisations and the Hong Kong Investment Corporation Limited and its appointed organisations to release any record or information which Invest Hong Kong of the Government of the HKSAR may require for the processing of this application. (vi) I understand that the Director-General of Investment Promotion has absolute discretion to approve or disapprove this application. (vii) I understand that any investment in Hong Kong is and remains my sole decision and responsibility. The Government of the HKSAR and the Director-General of Investment Promotion shall not be liable for any loss on my investment pursuant to the New Capital Investment Entrant Scheme howsoever arising. (viii) I have read and understood the Rules for the New Capital Investment Entrant Scheme and I hereby undertake to abide by them if permitted to remain in Hong Kong as an Entrant under the New Capital Investment Entrant Scheme. I understand that failure to comply with the Rules for the New Capital Investment Entrant Scheme will render my application not being considered and my entitlement under the New Capital Investment Entrant Scheme being discontinued. ▼ I have read the provisions of this Declaration carefully and fully understood my obligations and liabilities under this Declaration. * The Applicant/Entrant must check the box to confirm that he/she has read the provisions of the Declaration carefully and fully understood his/her obligations and liabilities under the Declaration.

Save

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11) Signature of Applicant



12) Statement of Purpose

The Applicant/Entrant shall read the Statement of Purpose for Collection of Personal Data carefully.

Statement of Purpose

1. Purpose of Collection

The personal data provided in the application will be used by Invest Hong Kong for one or more of the following purposes:

- to process your application;
- 2. for statistics and research purposes on the condition that the resulting statistics or results of the research will not be made available in a form which will identify the data subjects or any of them; and
- 3. any other legitimate purposes as may be required, authorised or permitted by law.

The provision of personal data by means of this application is voluntary. If you do not provide sufficient information, we may not be able to process your application or to conduct the record search or positively identify the record.

2. Classes of Transferees

The personal data you provide may be disclosed to any government bureaux, departments and any other public or private organisations inside or outside the Hong Kong Special Administrative Region for the purposes mentioned above.

3. Access to Personal Data

You have a right to request access to and correction of your personal data as provided for in sections 18 and 22 and Principle 8 of Schedule 1 of the Personal Data (Privacy) Ordinance (Chapter 488). Your right of access includes the right to obtain a copy of your personal data provided in the application subject to payment of a fee.

Enquiries concerning the personal data collected by means of the application, including making of access and corrections, should be addressed to:

Head of Corporate Services, Invest Hong Kong

Address: 25/F, Fairmont House, 8 Cotton Tree Drive, Central, Hong Kong

Telephone no.: (852) 3107 1073

E-mail address: data-protection@investhk.gov.hk

4. General Enquiries

For general enquiries, please contact us at:

Telephone no.: (852) 3904 3001

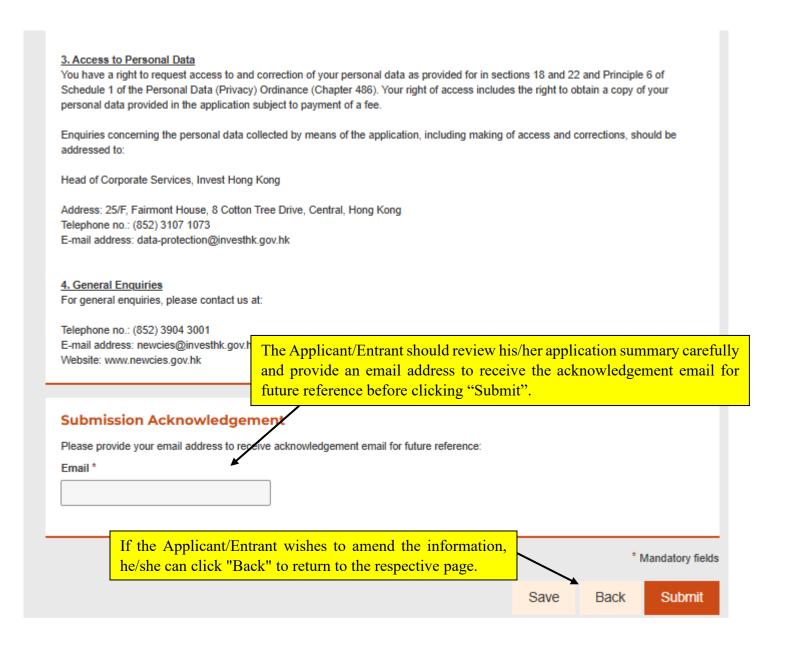
E-mail address: newcies@investhk.gov.hk

Website: www.newcies.gov.hk

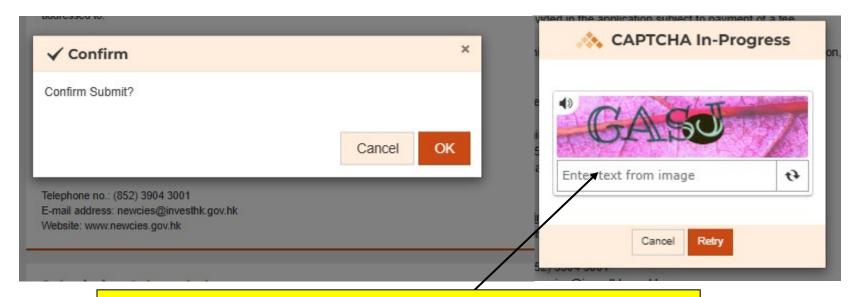
* Mandatory fields Next

Save

13) Review & Confirm



13) Review & Confirm (Continued)



Once "OK" is selected, the CAPTCHA test will appear on the screen for completion before submission.

If any information in the online application form has to be revised after submission, the Applicant/Entrant should contact the New CIES Office by email (newcies@investhk.gov.hk) instead of submitting another online application form. Duplicate submissions of online application forms may result in confusion and a significant delay in the assessment process.

14) Acknowledgement

Submission Details

Thank you for using our e-Form service. Your submission has been received and will be forwarded to the concerned bureau, department or organisation for processing. Please quote the transaction reference number below for future communication related to this submission, including any enquiries or subsequent submission of supporting documents.

Print / Download Submitted Form Record

The Applicant/Entrant should print and download his/her submitted form after he/she completes the online application for future reference.

Submission Date and Time (YYYY-MM-DD HH:MM)

Transaction Reference Number

IHK0030B71T8VIHH

Should you have any enquiries, please contact the respective bureau, department or organisation -

New CIES Office Hotline: 3904 3001

Email: newcies@investhk.gov.hk