

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

## 1) Introduction

### IHK-CIES02 Application for Assessment on Investment Requirements under the New Capital Investment Entrant Scheme

**InvestHK Invest Hong Kong**  
The Government of the Hong Kong Special Administrative Region of the People's Republic of China

**New Capital Investment Entrant Scheme**

**Online Application for Assessment on Investment Requirements**

**Assessment on Investment Requirements**  
Upon your completion of making the committed investment within the specified investment timeframe, you are required to submit application to the New CIES Office for verifying whether you have fulfilled the Investment Requirements of the New CIES. You must invest a minimum of HK\$27 million in the Permissible financial assets and/or non-residential real estate, and is required to place HK\$3 million into a CIES Investment Portfolio.

For information on the Investment Requirements of the New CIES, please visit [the New CIES website](#).

**Documents to be Submitted Online**  
Copy of contract(s) made between you and the appointed financial intermediary(ies).

**Documents to be Submitted by Post/in Person after Online Submission**  
After submitting the online application, the following documents must be submitted by post/in person to the New CIES Office (Address: 15/F, Revenue Tower, 5 Gloucester Road, Wan Chai, Hong Kong) within seven calendar days. Please make sure you have the following documents ready:

- (a) a Fulfillment document issued by a Certified Public Accountant ("CPA") (Practising) as defined in the [Accounting and Financial Reporting Council Ordinance](#) (Cap. 588 of the Laws of Hong Kong) (including [Permissible Investment Assets Statement](#) <sup>#</sup>);
- (b) statements issued by your appointed financial intermediary(ies) showing your investment in Permissible investment assets under the New CIES;
- (c) should you invest in non-residential real estate, proof of acquisition and relevant documents, e.g. Land Registry record, etc.; and
- (d) all relevant supporting documents (originals, or photocopies certified true by you, i.e. duly signed by you on the first and last pages of each set of supporting documents) stated in the Fulfillment document, including but not limited to the documents in paragraphs (b) and (c) above, e.g. bank statements, bank reference letters and banking facilities letters, etc., assisted in demonstrating your fulfillment of the Investment Requirements under the New CIES.

<sup>#</sup>No more than 14 calendar days may elapse between the date of issue of the Fulfillment document and the date you lodge this application for Assessment on Investment Requirements.

For information on CPA (Practising) in Hong Kong, please visit the [Accounting and Financial Reporting Council webpage](#).

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- Documents to be

**Note:** An Applicant should make sure that these documents are ready before submitting the online application for Assessment on Investment Requirements.

## 1) Introduction (Continued)

An Applicant must check this box to confirm that he/she has prepared the necessary documents for application.

\*

I have prepared the above necessary documents for application.

### How to Start

Once you have prepared the above necessary documents, you can access the online service through the following link. Please select a form language. If you change the form language while filling in the form, you will have to fill in the form again.

Please ensure that the information you provide is correct. Incorrect information may render your application invalid.

### Assistance and Further Information

If you need technical assistance in using the online service, you can contact the New CIES Office.

Address: 15/F, Revenue Tower, 5 Gloucester Road, Wan Chai, Hong Kong

Telephone no.: (852) 3904 3001

E-mail: [newcies@investhk.gov.hk](mailto:newcies@investhk.gov.hk)

Website: [www.newcies.gov.hk](http://www.newcies.gov.hk)

The opening hours are 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 holidays).

The Frequently Asked Questions on application for the New CIES are available on the [New CIES webpage](#).

I Want To

Start Filling in a New Form

Fill in a Saved Form

An Applicant may choose to fill in a New 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.

## 2) Important Announcement

An Applicant should read the Scheme Rules and the important notes carefully.

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

Note:

- (i) Please read the "[Rules for the New Capital Investment Entrant Scheme](#)" ("[Scheme Rules](#)") carefully.
- (ii) Online submission of this application is free of charge.
- (iii) Please complete this application in Chinese/English.
- (iv) 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 Investment Requirements shall have no effect.

\* Mandatory fields

Save

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If an Applicant 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 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 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 Form**

This form data file (the file) will be saved into your current device. Please use a password to protect the file.  
**Caution: Please securely store this file and its password to enable future form completion by loading the file.**  
This system does not retain any form data associated with this file. Please be aware that if the file is lost or the password is forgotten, the entered data cannot be recovered.

- Password must be at least 8 characters
- Password must be including a number, an uppercase letter, a lowercase letter and a special character

Password \*

Confirm Password \*

Cancel Save

### 3) Application Reference Number

#### Application Reference Number

I have received the Application Reference Number for the New Capital Investment Entrant Scheme issued by InvestHK. \*

- Yes
- No, I only have the Transaction Reference Number from my previous online submission of the IHK-CIES01 Application for Net Asset Assessment.



Please refer to the email from InvestHK on "Acknowledgement of application (Application for Net Asset Assessment)" and fill in your Application Reference Number.

Application Reference Number \*

xx | xxxxxxx | xx

If an Applicant selects "Yes", he/she is required to fill in the Application Reference Number allocated by InvestHK.

\* Mandatory fields

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#### Application Reference Number

I have received the Application Reference Number for the New Capital Investment Entrant Scheme issued by InvestHK. \*

- Yes
- No, I only have the Transaction Reference Number from my previous online submission of the IHK-CIES01 Application for Net Asset Assessment.



Please refer to the acknowledgement receipt for your online submission of IHK-CIES01 Application for Net Asset Assessment and fill in the Transaction Reference Number of your online application.

Transaction Reference Number \*

If an Applicant selects "No", he/she is required to fill in the Transaction Reference Number received from the acknowledgement receipt of online application for Net Asset Assessment.

\* Mandatory fields

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## 4) Personal Particulars

**Personal Particulars**

Please fill in your personal information according to your travel document.

Surname in English \*

NEW

Given names in English \*

CIES

Date of birth

2001-01-11

I only have year and/or month of birth.

---

**Update of Personal Particulars**

After submitting the application for Net Asset Assessment, do you have any updates on your personal particulars? \*

Yes  No

\* Mandatory fields

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An Applicant should input his/her surname and given names according to his/her travel document.

An Applicant must check to confirm if he/she has any updates on his/her personal particulars.

## 4) Personal Particulars (Continued)

### Update of Personal Particulars

After submitting the application for Net Asset Assessment, do you have any updates on your personal particulars? \*

Yes  No



#### About Update of Personal Particulars

Please leave it blank if the item is without changes or not applicable.

Chinese Name (if any)

Alias in Chinese (if any)

Maiden surname in English (if applicable)

Alias surname in English (if any)

Alias given names in English (if any)

Sex

Male  Female

For unknown sex, please select both 'Male' and 'Female'.

Nationality / Place of domicile (applicable to Mainland, Macao and Taiwan residents)

Type of travel documents held

Hong Kong Identity Card Number (if any)

Date of issue (if any)

Residential address

Telephone no.

Personal e-mail address

Correspondence address

If it is different from the residential address, you can provide your office address or provide other correspondence address.

Other telephone no.

If an Applicant selects "Yes", he/she is required to update his/her personal particulars in the relevant box(es). If the item is without changes or not applicable, the Applicant should leave the box blank.

\* Mandatory fields

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## 5) Agent's Information

**Update of Agent's Information**

After submitting the application for Net Asset Assessment, do you have any updates on agent's information? \*

Yes  No

**An Applicant must check to confirm if he/she has any updates on his/her agent's information.**

If you need to change your agent's information or appoint another agent to handle the application matters on your behalf in the future, you have to submit a written authorisation letter. The authorisation letter must clearly state the following information: the name of you and the agent, your identity document number, the contact information of the agent and the Affiliated Company (if applicable) including telephone number and email address, the effective date of the authorisation letter, the signature of you and the agent, etc.

\* Mandatory fields

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**Update of Agent's Information**

After submitting the application for Net Asset Assessment, do you have any updates on agent's information? \*

Yes  No

I need to update my current agent's information.  
 I have appointed and authorised another agent to handle the application on my behalf.  
 I no longer appoint or authorise an agent to handle the application on my behalf.

**If an Applicant selects "Yes", he/she must choose an applicable option, and fill in the information as appropriate.**

If you need to change your agent's information or appoint another agent to handle the application matters on your behalf in the future, you have to submit a written authorisation letter. The authorisation letter must clearly state the following information: the name of you and the agent, your identity document number, the contact information of the agent and the Affiliated Company (if applicable) including telephone number and email address, the effective date of the authorisation letter, the signature of you and the agent, etc.

\* Mandatory fields

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## 6) Certified Public Accountant (Practising) and Fulfillment Document

### Certified Public Accountant (Practising) and Fulfillment Document

Please fill in the information of your engaged Certified Public Accountants ("CPA") (Practising) as defined in the Accounting and Financial Reporting Council Ordinance (Cap. 588 of the Laws of Hong Kong) and the Fulfillment document, to assist in demonstrating your fulfillment of Investment Requirements as stated in paragraphs 2.1(d) and 5 of the Scheme Rules.



Please refer to paragraphs 4.6 and 5 of the Scheme Rules. You must submit the Fulfillment document issued by a CPA (Practising) and all relevant supporting documents stated therein. No more than 14 calendar days may elapse between the date of issuance of the Fulfillment document and the date you lodge this Application for Assessment on Investment Requirements.

Name of CPA firm/CPA \*

ABC CPA LIMITED

Registration no. of CPA firm/CPA \*

P01234

Name of contact person \*

CHAN TAI MAN

Post title of contact person \*

CERTIFIED PUBLIC ACCOUNTANT

Telephone no. of contact person \*

+ 852 39043001 ( Ext. (if any) )

Email address of contact person \*

newcies@investhk.gov.hk

Date of issue of the Fulfillment document \*

2024-09-05



An Applicant must fill in the information of his/her engaged Certified Public Accountant (Practising) issuing the Fulfillment document.

No more than **14 calendar days** may elapse between the date of issuance of the Fulfillment document and the date the Applicant lodges the Application for Assessment on Investment Requirements.

\* Mandatory fields

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## 7) Financial Intermediary

### Financial Intermediary

Please refer to paragraph 6.1(a)(ii) 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 the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong)
- Insurer permitted to carry on Class C business as specified in Part 2 of Schedule 1 under the Insurance Ordinance (Cap. 41 of the Laws of Hong Kong)

\* Mandatory fields

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An Applicant must select the applicable category(ies) of his/her appointed financial intermediary(ies).

### Financial Intermediary

Please refer to paragraph 6.1(a)(ii) of the [Scheme Rules](#).

- Authorised institution as defined in the Banking Ordinance

Name of financial intermediary \*

ABC BANK

Account no. \*

ABCD1234

Name of contact person \*

CHAN TAI MAN

Post title \*

MANAGER

Telephone no. \*

+ 852 39043001 (Ext. (if any))

Email address \*

newcies@investhk.gov.hk

Upload the contract with the financial intermediary \*



Choose a file or drag it here  
Accept file format: PDF  
Size up to 3.0 MB

- Corporation licensed to perform Type 1 or 9 regulated activities under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong)
- Insurer permitted to carry on Class C business as specified in Part 2 of Schedule 1 under the Insurance Ordinance (Cap. 41 of the Laws of Hong Kong)

\* Mandatory fields

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An Applicant is required to fill in the information of his/her appointed financial intermediary(ies) in the boxes provided.

An Applicant must upload the contract with his/her appointed financial intermediary in the specified format within the size limit.

## 8) Permissible Investment Assets

### Permissible Investment Assets

You, whether or not in combination with investment(s) in non-residential real estate, have to hold the investment in the Permissible financial assets in designated account(s) in your own name to be operated by an eligible financial intermediary(ies).

Please fill in the sub-total of Hong Kong Dollar (HK\$) equivalent of the following Permissible Investment Assets that you have invested in Hong Kong in accordance with your Permissible Investment Assets Statement:

### (1) Investment in Permissible Financial Assets

Please refer to paragraph 5.1(a)-(f) of the [Scheme Rules](#).

HK\$ equivalent of sub-total amount invested

#### (a) Equities

27000000

#### (b) Debt securities

HK\$ equivalent

#### (c) Certificates of deposits

HK\$ equivalent

#### (d) Subordinated debt

HK\$ equivalent

#### (e) Eligible Collective Investment Schemes

Please click if applicable

#### (f) Ownership interest in limited partnership funds ("LPFs") registered under the Limited Partnership Fund Ordinance (Cap. 637 of the Laws of Hong Kong)

Please click if applicable

### SUB-TOTAL OF PERMISSIBLE FINANCIAL ASSETS:

27000000

An Applicant must fill in the value of his/her investment in the Permissible financial assets in Hong Kong Dollar (HK\$) or HK\$ equivalent.

## 8) Permissible Investment Assets (Continued)

### (2) Investment in Non-residential Real Estate

Please refer to paragraph 5.2 of the [Scheme Rules](#).

Note: The non-residential real estate should be held in the own name of the applicant or through a sole proprietorship under his name, or through a company of which the applicant being the sole shareholder. Non-residential real estate means "non-residential property" defined in section 29A of the Stamp Duty Ordinance (Cap. 117 of the Laws of Hong Kong).

HK\$ equivalent of sub-total amount invested (Net value excluding mortgage amounts (if applicable))

#### Properties

HK\$ equivalent

#### Pre-completion Properties

HK\$ equivalent

An Applicant is required to fill in the value of his/her investment in the non-residential real estate (if applicable) in HK\$ or HK\$ equivalent.

#### SUB-TOTAL OF NON-RESIDENTIAL REAL ESTATE:

0

### (3) CIES Investment Portfolio

Please refer to paragraphs 5.3 and 5.4 of the [Scheme Rules](#).

- I have deposited cash of HK\$3 million to the following designated account opened with my appointed financial intermediary for subsequent placing into the CIES Investment Portfolio.
- I have placed HK\$3 million into the CIES Investment Portfolio on the below date.

#### Name of financial intermediary \*

ABC BANK

#### Account no. \*

ABCD1234

An Applicant is required to fill in the information of the CIES investment portfolio.

#### Date of deposit \*

2024-09-01

#### Total of Permissible investment assets ( (1) + (2) + (3) )

30000000

\* Mandatory fields

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## 9) 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 in relation to Paragraph 5 of the Rules for the New Capital Investment Entrant Scheme, the Permissible investment assets under the New Capital Investment Entrant Scheme stated in the Fulfillment document submitted for this application are under my absolute beneficial entitlement and the purchase price(s) for the aforesaid Permissible investment asset(s) is/are paid out of my bank account and own monies.
- (iii) 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 and other quasi-government 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.\*

An Applicant 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.

\* Mandatory fields

Save


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## 10) Signature of Applicant

**Signature of Applicant**

Please upload an image of your signature. \*



Choose a file or drag it here  
Accept file format: JPG, JPEG, PNG  
Size up to 2.0 MB

An Applicant must upload an image of his/her signature in the specified format within the size limit.

\* Mandatory fields

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## 11) Statement of Purpose

An Applicant 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:

1. 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 6 of Schedule 1 of the Personal Data (Privacy) Ordinance (Chapter 486). 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

Save

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## 12) Documents to be Submitted by Post/in Person after Online Submission

An Applicant must submit the required documents within seven calendar days by post/in person to the New CIES Office after submitting the online application.

### Documents to be Submitted by Post/in Person after Online Submission

After submitting the online application, **the following necessary documents must be submitted within seven calendar days by post/in person to the New CIES Office** (Address: 15/F, Revenue Tower, 5 Gloucester Road, Wan Chai, Hong Kong). If you fail to submit the documents within the deadline, it may render your application invalid and you will have to resubmit the online application:

- (a) a Fulfillment document issued by a Certified Public Accountant ("CPA") (Practising) as defined in the Accounting and Financial Reporting Council Ordinance (Cap. 588 of the Laws of Hong Kong) (including Permissible Investment Assets Statement)<sup>#</sup>;
- (b) statements issued by your appointed financial intermediary(ies) showing your investment in Permissible investment assets under the New CIES;
- (c) should you invest in non-residential real estate, proof of acquisition and relevant documents, e.g. Land Registry record, etc.; and
- (d) all relevant supporting documents (originals, or photocopies certified true by you, i.e. duly signed by you on the first and last pages of each set of supporting documents) stated in the Fulfillment document, including but not limited to the documents in paragraphs (b) and (c) above, e.g. bank statements, bank reference letters and banking facilities letters, etc., assisted in demonstrating your fulfillment of the Investment Requirements under the New CIES.

<sup>#</sup>No more than 14 calendar days may elapse between the date of issue of the Fulfillment document and the date you lodge this application for Assessment on Investment Requirements.

\* Mandatory fields

Save

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## 13) Review & Confirm

### 4. General Enquiries

For general enquiries, please contact us at:

Telephone no.: (852) 3904 3001

E-mail address: [newcies@investhk.gov.hk](mailto:newcies@investhk.gov.hk)

Website: [www.newcies.gov.hk](http://www.newcies.gov.hk)

### Documents to be Submitted by Post/in Person after Online Submission

After submitting the online application, **the following necessary documents must be submitted within seven calendar days by post/in person to the New CIES Office** (Address: 15/F, Revenue Tower, 5 Gloucester Road, Wan Chai, Hong Kong). If you fail to submit the documents within the deadline, it may render your application invalid and you will have to resubmit the online application:

- (a) a Fulfillment document issued by a Certified Public Accountant ("CPA") (Practising) as defined in the Accounting and Financial Reporting Council Ordinance (Cap. 588 of the Laws of Hong Kong) (including Permissible Investment Assets Statement)<sup>#</sup>;
- (b) statements issued by your appointed financial intermediary(ies) showing your investment in Permissible investment assets under the New CIES;
- (c) should you invest in non-residential real estate, proof of acquisition and relevant documents, e.g. Land Registry record, etc.; and
- (d) all relevant supporting documents (originals, or photocopies certified true by you, i.e. duly signed by you on the first and last pages of each set of supporting documents) stated in the Fulfillment document, including but not limited to the documents in paragraphs (b) and (c) above, e.g. bank statements, bank reference letters and banking facilities letters, etc., assisted in demonstrating your fulfillment of the Investment Requirements under the New CIES.

<sup>#</sup>No more than 14 calendar days may elapse from the date of application for Assessment on Investment F

An Applicant should review his/her application summary carefully and provide an email address to receive the acknowledgement email for future reference before clicking "Submit".

### Submission Acknowledgement

Please provide your email address to receive acknowledgement email for future reference:

Email \*

If an Applicant wishes to amend the information, he/she can click "Back" to return to the respective page.

\* Mandatory fields

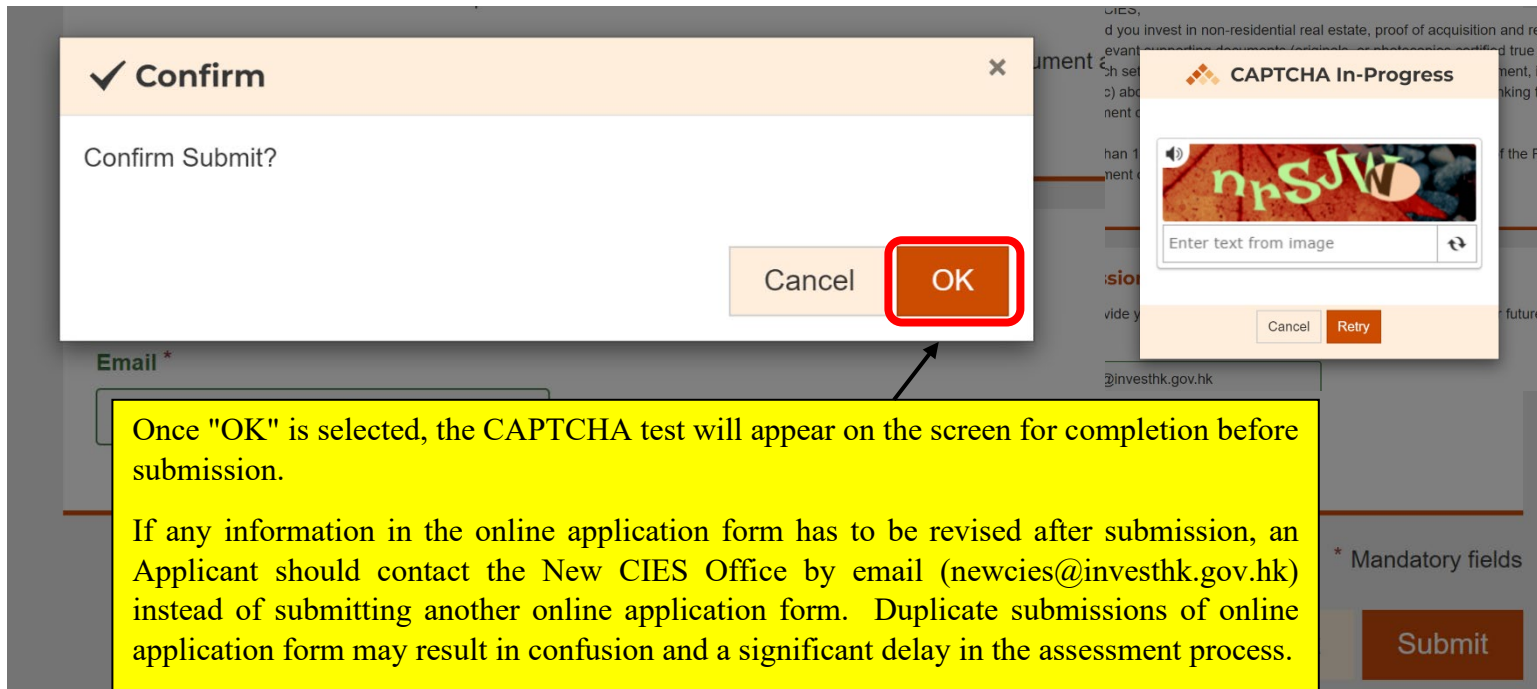
Save

Back

Submit



### 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, an Applicant should contact the New CIES Office by email ([newcies@investhk.gov.hk](mailto:newcies@investhk.gov.hk)) instead of submitting another online application form. Duplicate submissions of online application form may result in confusion and a significant delay in the assessment process.

\* Mandatory fields

Submit

## **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](#)

An Applicant 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)**

2024-09-10 12:13

#### **Transaction Reference Number**

IHK0010455T3K31V

Should you have any enquiries, please contact the respective bureau, department or organisation -  
New Capital Investment Entrant Scheme Office  
Telephone no.: 3904 3001  
Email: newcies@investhk.gov.hk