

Guidance notes for Submission of Online Notifications by Financial Intermediary under the New Capital Investment Entrant Scheme (New CIES)

1) Introduction

The screenshot displays the 'Introduction' page of the New CIES notification system. On the left is a navigation menu with seven items: 1) Introduction, 2) Applicant Information, 3) Financial Intermediary Information, 4) Notification of Events, 5) Notification upon Anniversary, 6) Review & Confirm, and 7) Acknowledgement. Below the menu is a 'General FAQs' link. The main content area features the Invest Hong Kong logo and the following text:

Notification on New Capital Investment Entrant Scheme (For use by Financial Intermediary only)

Once the New CIES Application Reference Number is assigned to the Applicant and the designated account of the Applicant/Holding Company is opened, the appointed Financial Intermediary must notify the New CIES Office of any situation in relation to the compliance of the Portfolio Maintenance Requirements by the Applicant under the [Scheme Rules](#).

For more details on the reporting requirements of Financial Intermediary, please refer to [Frequently Asked Questions](#).

Privacy Policy
Please read the [Privacy Policy](#).

How to Start
Once you have prepared the necessary reporting information and 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 reporting 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
Website: 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).

I Want To

- Start Filling in a New Form
- Fill in a Saved Form

Three yellow callout boxes with black arrows point to specific elements:

- The top callout box points to the 'Notification on New Capital Investment Entrant Scheme' title and contains the text: "Before submitting a notification, the Financial Intermediary must obtain from the Applicant his/her New CIES Application Reference Number **as assigned by Invest Hong Kong.**"
- The middle callout box points to the 'How to Start' section and contains the text: "The Financial Intermediary must ensure that it has prepared the information and/or document for notification."
- The bottom callout box points to the 'Fill in a Saved Form' option and contains the text: "The Financial Intermediary may choose to fill in a New Form, or attach a Saved Form file from the device and enter the pre-set password to continue filling in the form."

2) Applicant Information

New CIES Application Reference Number

 Please input the New CIES Application Reference Number as informed by the Applicant.

Application Reference Number *

xx | xxxxxx | xx

Applicant Information

Please fill in the information as informed by the Applicant.

Surname in English *

Given names in English *

Designated account of the Applicant/Holding Company

Designated account number of the Applicant/Holding Company *

* Mandatory fields

Save Back **Next**

The Financial Intermediary must input the Applicant's Application Reference Number, name, and the designated account number of the Applicant or his/her Holding Company.

3) Financial Intermediary Information

Information of Appointed Financial Intermediary

Type of financial intermediary *

- 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)

Name of financial intermediary *

Name of contact person *

Post title of contact person *

Telephone number of contact person *

+ - ()

Email address of contact person *

* Mandatory fields

Save Back **Next**

The Financial intermediary should select the intermediary type as appropriate.

After selecting the category, the Financial Intermediary must fill in its information.

4) Notification of Events (if applicable)

The Financial intermediary must check “Yes” or “No” in this page to confirm whether the notification to be submitted is related to the events in paragraph 3 in Annex A of the Scheme Rules. If it is not applicable, please click “No” to proceed to the next page.

Notification of Events

In accordance with paragraph 3 in Annex A of [Scheme Rules](#), my organisation now needs to notify the InvestHK on the related event(s).

Yes No

More than one item can be selected. *

- (1) The Applicant has/will appoint(ed) my organisation as the new Financial Intermediary (please upload copy of contract).
- (2) The Applicant has/will withdraw(n) assets from the designated account.
- (3) The Applicant has/will receive(d) new injection of assets into the designated account.
- (4) The Applicant has not/will not re-invest(ed) the proceeds of sale or other realisation of the assets within the stipulated timeframe.
- (5) The Applicant has/will transfer(red) the designated account or any assets therein to another Financial Intermediary or person.
- (6) The Applicant has/will charge(d), assign(ed), or create(d) interest in favour of a third party in the assets in the designated account.
- (7) The Applicant has/will cease(d) to be the sole beneficial owner of all assets in the designated account.
- (8) The Applicant has/will close(d) the designated account.
- (9) The Applicant has/will cease(d) to appoint my organisation as the Financial Intermediary.
- (10) The Applicant has/will have other event(s) not mentioned above.

Upload relevant document(s) *

 Choose a file or drag it here
Accept file format: PDF
Size up to 10.0 MB

The uploaded document(s) is/are password-protected. *

Yes No

Password of the uploaded document(s) *

If the documents are password-protected, please select 'Yes' and provide the password in this box.

If 'Yes', the Financial Intermediary must check the appropriate notification items, and upload the relevant documents (a maximum of three sets of documents).

* Mandatory fields

Save

Back

Next

5) Notification upon Anniversary (if applicable)

The Financial Intermediary must check "Yes" or "No" in this page to confirm whether the notification is related to paragraph 4 in Annex A of the Scheme Rules to be submitted upon each anniversary after the grant of Formal Approval to the Applicant. If it is not applicable, please click "No" to proceed to the next page.

Notification upon Anniversary

In accordance with paragraph 4 in Annex A of [Scheme Rules](#), my organisation now needs to notify the InvestHK upon anniversary of the grant of Formal Approval to the Applicant.

Yes No

After the grant of Formal Approval by the Immigration Department to the Applicant, my organisation still operates the designated account at this anniversary. My organisation now notifies the investment composition of the designated account of the Applicant/Holding Company and the acquisition cost (indicating purchased quantity and unit price, but exclusive of all dealing charges, commission and stamp duty) of the Permissible financial assets held in the designated account at the acquisition date. *

Date of Formal Approval granted to Applicant *

YYYY-MM-DD



The Financial Intermediary must check to confirm that the designated account of the Applicant is still being operated at this anniversary, and provide document to notify InvestHK of the investment composition in the designated account at this anniversary and the acquisition cost of the Permissible financial assets held in the account at the acquisition date.

Please input the date of Formal Approval granted to the Applicant.

To the best of my organisation's knowledge, my organisation has complied fully with the reporting obligations set out in Annex A of the Scheme Rules in respect of the period since the appointment as the Applicant's Financial Intermediary/last anniversary until this anniversary, or has notified the InvestHK of all the matters which should have been reported in respect of such period. *

Yes No

Upload relevant document(s) of investment composition and asset acquisition cost, and/or other supplementary report *



Choose a file or drag it here
Accept file format: PDF
Size up to 10.0 MB

The Financial intermediary must check to confirm if it has fully complied with the reporting obligations for the period. If "No", please upload document to explain the reason of non-compliance.

If the uploaded document(s) is/are password-protected, please select Yes. *

Yes No

Password of the uploaded document(s) *

If the documents are password-protected, please select 'Yes' and provide the password in this box.

* Mandatory fields

Save

Back

Next

6) Review & Confirm

The Financial Intermediary should review the notification 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 *

* Mandatory fields

Save Back Submit

If the Financial Intermediary wishes to modify the data, clicking 'Back' will return them to the respective page.

If the Financial Intermediary wishes to submit the notification later, it can click the 'Save' button on any relevant page of the form. When the “Save Form” window pops up, the Financial Intermediary can set a password and then click the 'Save' button again. The password-protected file will be downloaded to the device.

The Financial Intermediary can later access the first page of the online form and load the 'Saved Form' using the password set to continue filling out the 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.

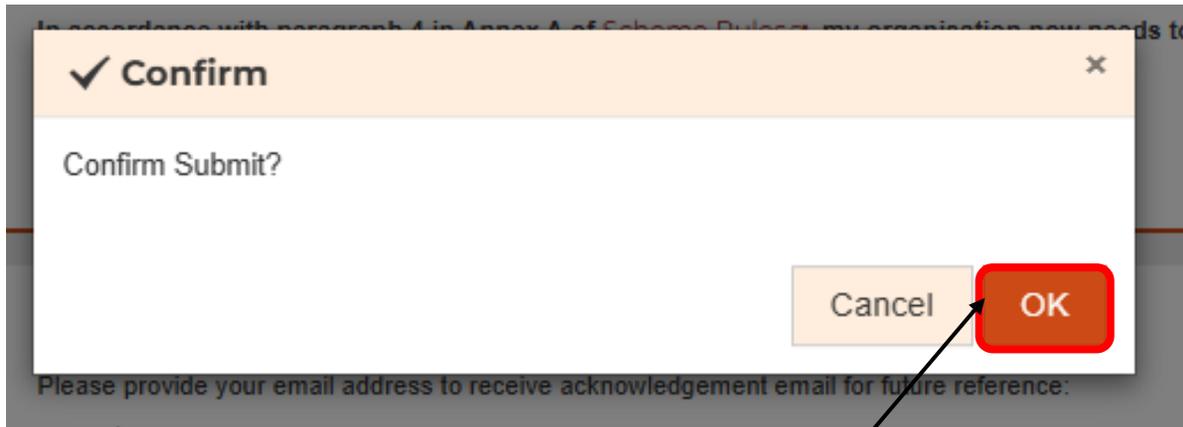
- Password must be at least 8 characters
- Password must be including a number, an uppercase letter, a lowercase letter and a special character

Password *

Confirm Password *

Cancel Save

6) 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 notification has to be revised after submission, the Financial Intermediary should contact the New CIES Office by email (newcies@investhk.gov.hk) instead of submitting another online notification. Duplicate submissions of online notification may result in confusion in reviewing process.

7) 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 Financial intermediary should print and download the submitted online notification after it is completed for future reference.

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

2025-03-04 12:23

Transaction Reference Number

IHK00409A1SQMMV8

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

New CIES Office

Hotline: 3904 3001

Email: newcies@investhk.gov.hk