Invitation to Tender

Provision of Offsite Storage Service

9 October 2024

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Purpose

1. The purpose of this Invitation to Tender is to invite prospective vendors to submit a proposal for the provision of the offsite storage service to the Securities and Futures Commission (the “SFC”).

Requirement Specifications

2.

5.2 What if a Tenderer has any queries?

5.2.1 Please sign and return the Confidentiality Acknowledgement (Appendix E) by email to admin@sfc.hk before making any enquiries about the Tender.

5.2.2 Any queries regarding the Tender should be made to:

Ms. Bessie Cheung
Assistant Manager
Planning and Administration, Corporate Affairs
Telephone : 2231-1784
Email : bcheung1@sfc.hk

Payment and Other Terms

6. Payment Terms

6.1 The SFC has a performance-based payment policy, under which payments will be made on actual delivery of services or prod-[6 lannioft9 (r)-6 se weeepaid on a

16. This shall have no application to the tenderer's communications in strict confidence with his own insurers or brokers to obtain an insurance quotation for computation of tender price and communications in strict confidence with his consultants / sub-contractors to solicit their assistance in preparation of tender submission.

Prevention of Bribery

17. A Tenderer shall prohibit its directors, employees, agents, and sub Tendeparn(t)-6.6 (at)-6.6

Appendix A - The Price Schedule

This part should contain all of the following:

1. Executive Summary

1.1 This part should provide a full summary of the service fees structure.

2. Fees Schedule

2.1 All fees must be quoted in Hong Kong Dollars.

2.2 All fees should be properly itemized and explained.

3. Payment Terms and Arrangements

3.1 Payment terms and arrangements should be described in accordance with the SFC's performance-based payment policy (see Payment and Other Terms of the Tender).

Appendix C – Declaration of Interests

To : Securities and Futures Commission

I Hereby declare that [1] :

☐ I, associated persons, group companies and each member of the my professional staff (and their associates and associated persons) have no pecuniary or other personal interest, direct or indirect, in any matter that raises or may raise a conflict with my duties under this Proposal.

☐ I, associated persons, group companies and each member of the my professional staff (and their associates and associated persons) have / potentially[2] have pecuniary or other personal interest, direct or indirect, in certain matter that raises or may raise a conflict with my duties under this Proposal. The particulars of such matter are stated below:

(a) Persons/companies with whom/which I have official dealings and/or private interests:

_____

_____

(b) Brief description of my duties which involved the persons/companies mentioned in item (a) above:

_____

_____

Signature _____

Name E261 0 Td ( )Tj ___6 (es)-2 (und)8_____

Name _____2.68</M61 0 Tc ( )Tj ___6

Appendix D – Declaration of Anti-collusion

To : Securities and Futures Commission

Provision of Offsite Storage Service"

I / We[1], confirm that as at the time of submission of this Proposal and other than the Excepted Communications referred to in the last paragraph below, I / We[1] had not communicated to any person other than the SFC the amount of any tender, adjusted the amount of any tender by arrangement with any other person, made any arrangement with any other person about whether or not I / We[1] or that other person should tender, or otherwise colluded with any other person in any manner whatsoever, and undertake that at any time thereafter in the tendering process for the above Project until the tenderer is notified by the SFC of the outcome of the tender exercise and other than the Excepted Communications, I / We

Appendix E – Confidentiality Acknowledgement

Acknowledgement and Undertaking

Acknowledgment in relation to the preservation of secrecy pursuant to section 378 of the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong) ("SFO") and avoidance of conflict of interests pursuant to section 379 of the SFO.

Terms in this acknowledgement shall have the same meaning as defined in the SFO, unless otherwise defined herein.

Section 378 of the SFO binds you and in particular subsection (1) of that section which provides as follows:

(1) Subject to subsection 13(A), except in the performance of a function under, or for the purpose of carrying into effect or doing anything required or authorized under, any of the relevant provisions, a specified person -

(a) shall preserve and aid in preserving secrecy with regard to any matter coming to his knowledge by virtue of his appointment under any of the

I/We acknowledge that I/we have received and read carefully a copy of sections 378 and 379 of the Securities and Futures Ordinance (Cap. 571), and understand that these sections (in particular, sections 378(1) and 379(1), (2) and (3)) impose statutory obligations on me/us. I/We further confirm that I/we understand and agree to be bound by the provisions of sections 378 and 379 of the Securities and Futures Ordinance (Cap. 571).

_____
Signature

_____
Name / Entity name (as applicable)

_____
Name of authorized signatory (in the case of an entity)

_____
Title of authorized signatory (in the case of an entity)

_____
Date

Witnessed by:

_____
Signature

_____
Name

_____
Title

_____
Date