3 March 2014

Circular Letter: SU/CCI/2014/001

To: All Principal Intermediaries

<u>By Email</u>

Dear Responsible Officer,

<u>Revised MPF Guidelines and Forms for Registered Intermediaries</u>

The Authority has recently approved minor revisions to two sets of Guidelines:

1. Guidelines on MPF Intermediary Registration and Notification of Changes (Guidelines VI.1); and
2. Guidelines on Annual Returns to be Delivered by Registered Intermediaries (Guidelines VI.3).

The Companies Bill was passed by the Legislative Council in 2012 and the new Companies Ordinance (Cap. 622), with the exception of a few provisions, will commence operation on 3 March 2014.

The only change to the Guidelines is in relation to the Personal Information Collection Statements ("PICS") contained in Form INT-1, Form INT-2, Form INT-3, Form INT-4, Form INT-5, Form Annual Return – PI and Form Annual Return – SI which are annexed to the MPF Guidelines. The same change applies to Form INT-6 and Form INT-7. The PICS' contain references to the previous Companies Ordinance (Cap. 32).

Copies of the new Guidelines may be downloaded from the Authority's website at www.mpfa.org.hk. Please click the "Legislation & Regulations" button followed by "Guidelines" to access these documents. Copies of the new Forms can

be downloaded from the Authority's website at www.mpfa.org.hk. Please click "Intermediary" under "Industry Practitioner" and then "Forms" under "useful Tools". Please ensure that you and your subsidiary intermediaries use the new version of the Forms.

Should you have any questions about the contents of this letter, please do not hesitate to contact your case officer.

Thank you for your attention.

Yours sincerely,

(Robin Gill)
Head (Intermediaries/ORSO Schemes)

c.c. Hong Kong Monetary Authority – Mr Kevin Sham
Securities and Futures Commission – Mr Sam Tung
Office of the Commissioner of Insurance – Ms Shirley To