



強制性公積金計劃管理局  
MANDATORY PROVIDENT FUND  
SCHEMES AUTHORITY

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**By Email**

19 May 2014

Circular Letter: SU/CCI/2014/002

To: All Principal Intermediaries

Dear Responsible Officer,

**Failure of MPF Intermediaries to  
Submit Annual Returns and / or  
Comply with Continuing Training Requirements**

I write further to our circular dated 9 December 2013 regarding annual returns to be submitted by MPF Intermediaries for the period from 1 January to 31 December 2013. The Authority notes that, as of today, some of the MPF intermediaries have yet to submit annual returns and / or failed to comply with the continuing training requirements.

Please note that, according to section 34ZO(3) and (5) of the Mandatory Provident Fund Schemes Ordinance (MPFSO), if a registered intermediary fails to submit the annual return to the Authority, the Authority may **suspend or revoke** his / her registration as a registered intermediary. If an individual who is a subsidiary intermediary (SI), fails to comply with the continuing training requirements, the Authority may **suspend or revoke** his / her registration as an SI according to s.34ZP(3) and (4) of the MPFSO.

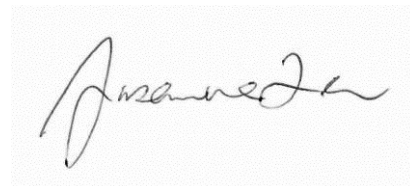
As one of the registration requirements under s.34U of the MPFSO, an SI whose registration was revoked due to failure to comply with the continuing training requirements under section 34ZP(4) must fulfill the examination requirements under s.34U(4)(f) by **passing the Mandatory Provident Fund Schemes Examination again** within 1 year immediately before his / her application for registration as an SI to carry on regulated activities.

The Authority takes the non-compliance by registered intermediaries seriously and will take appropriate action accordingly. As a Principal Intermediary (PI), please make sure your SIs comply with the statutory requirements at all time and please bring to your SIs' attention to the messages contained in this circular.

Should you have any questions, please contact Mr Choi Si King at 2292 1508 (for PI Annual Return) or Ms Silvia Lam at 2292 1232 / Ms Thelma Wong at 2292 1339 (for SI Annual Return / Continuing Training) for assistance.

Thank you for your attention.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Susanna Lee', is centered on a light gray rectangular background.

(Susanna Lee)  
Senior Manager  
(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