



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

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By Email

27 November 2014

Circular Letter: SU/CCI/2014/004

To: All Principal Intermediaries

Dear Responsible Officer,

Returns to be submitted by MPF Intermediaries

**Guidelines on Annual Returns to be Delivered by Registered Intermediaries
(Guidelines VI.3)**

The Authority has recently approved the revisions to Guidelines VI.3 (Version 4 – November 2014) which became effective on 27 November 2014. The previous version of Guidelines VI.3 (Version 3 – March 2014) was superseded on that day.

The Authority has revised the wording in certain sections of the physical and electronic annual return forms to be delivered by PIs (PI Annual Return Forms). These are mainly technical amendments to clarify the type of information to be provided in the PI Annual Return Forms. We also made a few changes to reflect in the PI Annual Return Forms the release of a new form for scheme member's request for account consolidation and separate statistics on the provision of regulated advice on MPF schemes and constituent funds in Section II B of the PI Annual Return Forms.

Furthermore, Guidelines VI.3 also mention that the Authority will offer one more way for Subsidiary Intermediaries (SIs) to access the eService through mobile app for SI annual return submission.

Copies of the revised Guidelines VI.3 can be downloaded from MPFA website. Please click the “Legislation & Regulations” button followed by “MPF Guidelines” to access these documents.

Submission of Annual Return

Please be reminded that the due date for submission of annual return for 2014 is **31 January 2015**. Please note that those MPF Intermediaries registered on or before 1 January 2014 are required by law to submit the 2014 annual return. If registered intermediaries (who are required to do so by law) fail to submit the annual return to the Authority by the above deadline, the Authority may suspend or revoke their registration as a registered intermediary according to s.34ZO(3) and (5) of the Mandatory Provident Fund Schemes Ordinance (MPFSO).

We have prepared some FAQs on submission of annual returns by registered intermediaries for intermediaries’ reference. Please click the “Intermediary” under “Industry Practitioner” and then “Go” button under “FAQ” to access this document, on MPFA website.

a) PI Annual Return Arrangement

PIs are strongly encouraged to use the eService to submit their annual returns. PIs may submit their 2014 annual return through eService **on or after 1 January 2015**. When PIs submit their 2014 annual return through eService, they can view / download their submitted annual return through eService. To access eService, please click the “Intermediary Login” under “Useful Tools” on MPFA website.

The revised hard copy of the PI Annual Return Forms can be downloaded from MPFA website. Please click “Intermediary” under “Industry Practitioner” and then “Forms” under “Useful Tools” to access the hard copy form.

b) SI Annual Return Arrangement

SIs are strongly encouraged to use the eService to submit their annual returns. They can either access eService through MPFA website or the new eService mobile app (which can be downloaded from Google Play and Apple App Store **on or after 15 December 2014**). For eService through MPFA website, please click the “Intermediary Login” under “Useful Tools” on MPFA website.

The hard copy of the SI Annual Return Forms can be downloaded from MPFA website. Please click “Intermediary” under “Industry Practitioner” and then “Forms” under “Useful Tools” to access the hard copy form.

Submission of the Quarterly Return on Complaints Against MPF Intermediaries

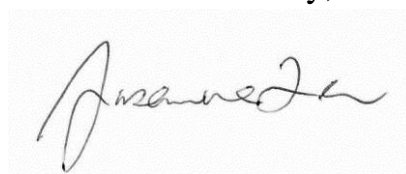
The existing arrangement for submitting the Quarterly Return on Complaints by PIs is through sending an encrypted Excel file to the designated email address of the Authority. To promote data accuracy and to reduce processing time, **effective 1 January 2015**, PIs are strongly encouraged to submit the said return by eService. You may click “Intermediary Login” under “Useful Tools” on the MPFA website to access eService. An online demonstration is also available on the website to show PIs how to use the eService for submitting the Quarterly Return on Complaints.

Should you have any questions on the contents of this circular letter, please contact the following staff for assistance.

Type	Staff Name	Telephone Number
PI Annual Return	Mr Choi Si King	2292 1508
SI Annual Return	Ms Thelma Wong	2292 1339
Quarterly Return on Complaints	Ms Fontaine Au Yeung	2292 1213

Thank you for your attention.

Yours sincerely,



(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