



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

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16 August 2012

Circular Letter: SU/CCI/2012/003

To: All Corporate Intermediaries

**By Email and Post**

Dear Responsible Officer,

**Preparation for Implementation of the  
New MPF Intermediary Regulatory Regime**

This circular letter is the third in the current series which is concerned with implementation of the Mandatory Provident Fund Schemes (Amendment) Ordinance 2012 (Ordinance).

**Collection of Principal Intermediaries' Particulars**

As mentioned in the first letter in this series issued on 15 May 2012, all corporate intermediaries (except insurance agency companies) will be asked to submit information (including the address of their principal place of business, contact details and the name and office address of every responsible officer) to the Authority to facilitate preparation of the public register. As part of this exercise, the Authority will also collect the full registration capacities of every corporate intermediaries (to be known as principal intermediaries on and after 1 November 2012).

To assist corporate intermediaries to provide the information, the Authority has prepared an Excel template for you to complete. Please send the completed file to (int\_pi\_proforma@mpfa.org.hk) **on or before 31 August 2012**. Please ensure the accuracy of the information provided as some

information will appear in the Register of MPF Intermediaries to be displayed on the Authority's website.

### Complaint Register

According to the latest draft "Guidelines on Conduct Requirements of Registered Intermediaries" (Guidelines), principal intermediaries are required to fully document all complaints and to submit a summary of complaint cases to the Authority every quarter (Guidelines para.III.61(f)).

The Authority will provide a form for all principal intermediaries to complete. This will again be an Excel file and should be returned to the designated email account of the Authority within 10 working days after the end of each quarter. NIL returns will be required. The Form and other details will be sent to you later.

Please note that failure to submit this Form may cast doubt as to whether section 34ZL(3) of the Ordinance has been complied with, and may result in a referral by the Authority to the relevant Frontline Regulator (FR) for investigation.

In reviewing your Return, the Authority or relevant FR may request additional information from you in relation to individual complaints. Please note that principal intermediaries are required to maintain a register of complaints (Guidelines para.III.61(g)) which should be made available as soon as practicable to the Authority and relevant FR, upon their request.

### Intermediaries' Liaison Forum

As mentioned in my earlier letter to corporate intermediaries dated 9 July 2012, the Authority will set up this Forum to facilitate two-way communication. A number of corporate intermediaries have indicated interest to join the Forum. The first meeting will be held on 23 August 2012 to discuss a number of items, including the draft Annual Return (Business Data) document, the draft revised Guide to Registration and certain details associated with the Complaint Register.

### MPF Intermediaries without a Type B qualification

Currently, there are several hundred employees working for banks and insurers registered with the Authority as MPF intermediaries, who are not qualified to be Type B regulatees. Please refer to section 34E of the Ordinance

for the definition of a Type B regulatee. If banks and insurers wish their employees to remain registered as MPF intermediaries after the 2 year transitional period, they must ensure that these employees acquire the necessary Type B qualification and inform the Authority of the change in their registration status. If these employees acquire a Type B qualification before 1 November 2012, corporate intermediaries should inform the Authority of the change in their registration capacity by completing Form I(CH-C) (available from the Authority's website ([www.mpfa.org.hk](http://www.mpfa.org.hk))).

Should you have any questions about the contents of this letter or those previously issued, please do not hesitate to contact me or my colleagues, Ms Susanna Lee on 2292 1151 or Ms Clio Wong on 2292 1369.

Thank you for your attention.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Robin Gill', enclosed within a circular scribble.

(Robin Gill)  
Head (Intermediaries)

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