

List of MPF Guidelines

Guideline No.	Name of Guidelines	Issued Date
Part I Guidelines on Licensing		
I.1	Guidelines on Application for Approval as Trustees and Application for Approval as Controllers of Approved Trustees	10/17
I.2	Guidelines on Application for Registration of Provident Fund Schemes	10/17
I.3	Guidelines on Custodians	1/08
I.4	Guidelines on Eligible Insurers	10/17
I.5	Guidelines on Application for Approval of Constituent Funds	2/16
I.6	Guidelines on Application for Approval of Pooled Investment Funds	10/17
I.7	Guidelines on Central Securities Depositories	6/18
I.8	Guidelines on Custodial/Subcustodial Agreement	10/00
I.9	Guidelines on Approved Credit Rating Agencies	7/05
I.10	Guidelines on Application for Cancellation of Approval of Constituent Funds	2/16
I.11	Guidelines on Application for Cancellation of Approval of Pooled Investment Funds	2/16
Part II Guidelines on Reporting Requirements		
II.1	Guidelines on Monthly Returns of Registered Schemes	3/17
II.2	Guidelines on Monthly Returns of Approved Pooled Investment Funds being Capital Preservation Funds	3/17
II.3	Guidelines on Quarterly Statistical Returns of Registered Schemes	3/19
II.4	Guidelines on Annual Statements of Registered Schemes	3/19
II.5	Guidelines on Annual Statements of Approved Pooled Investment Funds	10/17
II.6	Guidelines on Internal Control Report for Each Registered Scheme	3/17
II.7	Guidelines on Quarterly Returns of Approved Pooled Investment Funds	2/16

Guideline No.	Name of Guidelines	Issued Date
II.8	Guidelines on Monthly Statistical Returns of Registered Schemes	3/19
II.9	Guidelines on Notification of Events of Significant Nature	3/17
II.10	Guidelines on Quarterly Statistical Returns of the Default Investment Strategy of Registered Schemes	3/19
Part III Guidelines on Investment		
III.1	Guidelines on Debt Securities	1/16
III.2	Guidelines on Equities and Other Securities	12/17
III.3	Guidelines on Eligible Overseas Banks and Authorized Financial Institutions	11/07
III.4	Guidelines on Approved Exchanges	6/18
III.5	Guidelines on Investment Managers	3/15
III.6	Guidelines on Capital Preservation Funds	3/17
III.7	Guidelines on Securities Lending	5/03
III.8	Guidelines on Repurchase Agreements	3/99
III.9	Guidelines on Reserving Standards for Investment Guarantees	10/17
III.10	Guidelines on Index-tracking Collective Investment Schemes	6/18
III.11	Guidelines on Spread Requirements	12/06
III.12	Guidelines on Deposit	12/06
III.13	Guidelines on Requirements for Securities to be Considered as “to be Listed”	12/06
III.14	Guidelines on Default Investment Strategy	6/18
Part IV Guidelines on Scheme Operations		
IV.1	Guidelines on Disclosure of Annual Fees	Repealed wef 6/04
IV.2	Guidelines on Reports Relating to Payment of Mandatory Contributions	1/08
IV.3	Guidelines on Election for Transfer of Accrued Benefits	4/19

Guideline No.	Name of Guidelines	Issued Date
IV.4	Guidelines on Payment of Accrued Benefits – Documents to be Submitted to Approved Trustees	3/19
IV.5	Guidelines on Payment of Accrued Benefits – Permanent Departure from Hong Kong	4/99
IV.6	Guidelines on Notice for Unclaimed Benefits	Repealed wef 11/08
IV.7	Guidelines on Fees and Charges for Transfer of Accrued Benefits	8/12
IV.8	Guidelines on Enrolment and Contribution Arrangements for Relevant Employees Other Than Casual Employees	6/15
IV.9	Guidelines on Enrolment and Contribution Arrangements for Casual Employees	6/15
IV.10	Guidelines on Enrolment and Contribution Arrangements for Self-employed Persons	6/15
IV.11	Guidelines on Contribution Period in Respect of a Relevant Employee	1/08
IV.12	Guidelines on Relevant Income in Respect of a Relevant Employee	7/08
IV.13	Guidelines on Compensation Fund	11/12
IV.14	Guidelines on Remittance Statement	7/08
IV.15	Guidelines on Person Exempt under Section 4(3) of the Mandatory Provident Fund Schemes Ordinance	1/08
IV.16	Guidelines on MPF Coverage on Employees Working Outside Hong Kong	3/14
IV.17	Guidelines on Contribution Arrangement of a Self-employed Person	10/13
IV.18	Guidelines on Contribution Arrangement of a Self-employed Person Who Sustains a Loss	10/13
IV.19	Guidelines on Minimum and Maximum Levels of Relevant Income of a Self-employed Person	10/13
IV.20	Guidelines on Prepayment of Contributions	5/02
IV.21	Guidelines on Unclaimed Benefits	3/17
IV.22	Guidelines on Statement Required under Section 7AB of the Mandatory Provident Fund Schemes Ordinance	2/16
IV.23	Guidelines on Transfer Statement and Confirmation	3/19

Guideline No.	Name of Guidelines	Issued Date
IV.24	Guidelines on Transfer Process under Sections 148A and 148B of the Mandatory Provident Fund Schemes (General) Regulation	3/17
IV.25	Guidelines on Electronic System for Transmission of Data on Transfer of Accrued Benefits	9/12
IV.26	Guidelines on Giving of Notices or Documents by Electronic Means	12/15
IV.27	Guidelines on Benefit Payment Statement	3/19
Part V Guidelines on ORSO Interface		
V.1	Guidelines on MPF Exempted ORSO Schemes – Application for Exemption of ORSO Exempted Schemes	2/16
V.2	Guidelines on MPF Exempted ORSO Schemes – Application for Exemption of ORSO Registered Schemes	2/16
V.3	Guidelines on MPF Exempted ORSO Schemes – Treatment of Accrued Rights of Existing Members who join MPF Schemes	4/99
V.4	Guidelines on MPF Exempted ORSO Schemes – Preservation of Benefits	6/15
V.5	Guidelines on MPF Exempted ORSO Schemes – Illustrative Examples	10/13
V.6	Guidelines on MPF Exempted ORSO Schemes – Application for Approval of Appointment of Trustees	2/16
V.7	Guidelines on MPF Exempted ORSO Schemes – Application for Approval of Appointment of Directors of Trustees	2/16
V.8	Guidelines on MPF Exempted ORSO Schemes – Application for Withdrawal of Exemption Certificate of an ORSO Exempted Scheme	2/16
V.9	Guidelines on MPF Exempted ORSO Schemes – Application for Withdrawal of Exemption Certificate of an ORSO Registered Scheme	2/16
V.10	Guidelines on MPF Exempted ORSO Schemes – Filing of Annual Report	2/16
V.11	Guidelines on MPF Exempted ORSO Schemes – Withdrawal of Minimum MPF Benefits	3/17
V.12	Guidelines on MPF Exempted ORSO Schemes – Investment Managers	7/10

Guideline No.	Name of Guidelines	Issued Date
Part VI Guidelines on Intermediaries		
VI.1	Guidelines on MPF Intermediary Registration and Notification of Changes	11/17
VI.2	Guidelines on Conduct Requirements for Registered Intermediaries	9/12
VI.3	Guidelines on Annual Returns to be Delivered by Registered Intermediaries	3/19
VI.4	Guidelines on Continuing Training for Subsidiary Intermediaries	12/12
VI.5	Guidelines on Annual Fees for Registered Intermediaries	11/17
Codes		
	Code on Disclosure for MPF Investment Funds	3/19
	Code on MPF Investment Funds	12/99
	Erratum to the Code on MPF Investment Funds	5/00
	Code of Conduct for MPF Intermediaries <i>* applies to MPF sales and marketing activities up to and including 31 October 2012</i>	10/05* (Previous Versions)

April 2019