

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

II.3 Guidelines on Quarterly Returns of Constituent Funds

INTRODUCTION

Section 6H(1) of the Mandatory Provident Fund Schemes Ordinance (“the Ordinance”) provides that the Mandatory Provident Fund Schemes Authority (“the Authority”) may issue guidelines for the guidance of approved trustees, service providers and other persons concerned with the Ordinance.

2. Section 6H(3) of the Ordinance provides that a guideline may require persons (including persons belonging to a class) specified in the guideline to give to the Authority information or documents of a kind specified in the guideline. The guideline may only specify information or documents of a kind that the Authority reasonably requires for the exercise or performance of its functions.

3. The Authority hereby issues guidelines to specify the information required to be submitted in respect of quarterly returns of constituent funds. These guidelines also specify the means by which the quarterly returns should be submitted to the Authority.

QUARTERLY RETURN

Contents of the Quarterly Return

4. The contents of the quarterly return of a constituent fund are set out in the Annex (FORM CF(QR)). The information to be provided should be in respect of the end of each calendar quarter.

Submission of Quarterly Return

5. The approved trustee of a registered scheme is required to submit the quarterly return within 6 weeks of the end of each calendar quarter either by electronic means (such as e-mail or diskettes) or in hard copies to :

Mandatory Provident Fund Schemes Authority,
Suites 1407-09, One Pacific Place,
88 Queensway,
Hong Kong

Definitions of Terms

6. Except where otherwise specified in the Annex, the terms common to the Ordinance and the subsidiary legislation of the Ordinance carry the same meanings as defined in the Ordinance and the subsidiary legislation. Approved trustees of registered schemes should make appropriate reference to the Ordinance and the subsidiary legislation, where necessary.

FORM CF(QR)

**MANDATORY PROVIDENT FUND SCHEMES ORDINANCE (CAP. 485)
("the Ordinance")**

QUARTERLY RETURN OF CONSTITUENT FUND

NOTES :

- (1) *This Form must be completed by the approved trustee of the registered scheme to which the constituent fund belongs.*
- (2) *The approved trustee should refer to the "Guidelines on Quarterly Returns of Constituent Funds" for the purpose of submitting the quarterly return of the constituent fund.*
- (3) *All questions must be answered. If any question is not applicable, please write "N.A."*
- (4) ** means delete whichever is inappropriate.*

FOR OFFICIAL USE ONLY

Reference no.: _____ **Date of receipt:** _____

Subject officer: _____ **Input officer:** _____

SECTION I - PARTICULARS OF THE CONSTITUENT FUND

- (1) Name of the constituent fund: _____
- (2) Name of the registered scheme to which the constituent fund belongs: _____
- (3) Name of the approved trustee of the registered scheme: _____

SECTION II - INVESTMENT PROFILE

For the quarter end of: Mar/ Jun/ Sept/ Dec*
Year

(1) Overall Portfolio

Please provide the asset holdings of the constituent fund in percentage term (including pro-rata holdings of any underlying pooled investment funds):

	Deposits & Cash %	Debt Securities** %	Equities %	Others %	Total %
Hong Kong					
North America					
Japan					
Far East (excl. Japan and HK)					
Europe					
Others					
TOTAL					

**Include convertible debt securities

(2) Net Asset Value

Net asset value of the constituent fund as at the quarter end (HK\$): _____

(3) Investment Return

Net investment return for the quarter:
(please state in an annualized basis) _____