

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY
Notification of Change of Information for MPF Corporate Intermediary

Notes on Completion of this Form

1. This Form is to be used by a corporate intermediary for notifying the Mandatory Provident Fund Schemes Authority (“MPFA”) of any changes in particulars or information previously supplied in connection with an application (corporate or individual) for registration.
2. In the case of an officer/employee/agent becoming an individual intermediary of your corporation, please complete a sponsoring form [Form I(S)] instead of this Form.
3. In the case of reporting a change in name/registration capacity, please provide copies of relevant documentary evidence.
4. In the case of an individual intermediary acting on behalf of another sponsoring corporation, please complete a sponsoring form [Form I(S)] in addition to completing this Form.
5. This Form should be submitted to the Supervision Division (Intermediaries Section) of the MPFA at Level 16, International Commerce Centre, 1 Austin Road West, Kowloon, Hong Kong.

Notes on Personal Information Collection

These notes are provided in accordance with the Personal Data (Privacy) Ordinance. You are advised to read the following regarding your rights and obligations in relation to personal data held by the MPFA (which data may relate to yourself or other persons) and the manner in which the MPFA may use or deal with such data in connection with this application and other related matters:

1. Failure to supply the requested personal data may result in delay or refusal of your application if it affects the MPFA’s ability to assess your compliance with the applicable criteria.
2. The personal data will be used by the MPFA for the purposes of performing its functions and, in particular, the registration, monitoring, inspection, investigation, or enforcement action in relation to MPF schemes and service providers including MPF intermediaries. The personal data will also be used to compile a public register which contains the name of the MPF intermediary, the corporation(s) which he represents, his MPF registration number and whether he is permitted to advise on securities and/or insurance policies, or permitted to sell MPF schemes without rendering specific investment advice.
3. The MPFA may, as permitted by law, match, compare, transfer or exchange personal data with data held by, or obtained from (including but not limited to) the following bodies:
 - (a) Hong Kong Monetary Authority;
 - (b) Insurance Authority and self-regulatory organizations of the insurance industry (including the Insurance Agents Registration Board under The Hong Kong Federation of Insurers, The Hong Kong Confederation of Insurance Brokers, and the Professional Insurance Brokers Association);
 - (c) Securities and Futures Commission;
 - (d) Hong Kong Securities Institute;
 - (e) Vocational Training Council; and
 - (f) Official Receiver’s Office.
4. You are entitled under the Personal Data (Privacy) Ordinance to request access to or to request the correction of any personal data relating to you held by the MPFA, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the Personal Data Privacy Officer of the MPFA at Level 16, International Commerce Centre, 1 Austin Road West, Kowloon, Hong Kong.

Explanatory Notes

1. Section I must be completed when there is a change in the following registration capacities with the relevant regulators or self-regulatory organizations:

Insurance Authority Regime

- (a) Authorized Long Term Insurer
- (b) Appointed Long Term Insurance Agent
- (c) Authorized Long Term Insurance Broker - Member of The Hong Kong Confederation of Insurance Brokers
- (d) Authorized Long Term Insurance Broker - Member of Professional Insurance Brokers Association
- (e) Authorized Long Term Insurance Broker - Directly Authorized by Insurance Authority

Monetary Authority Regime

- (a) Bank
- (b) Restricted Licence Bank
- (c) Deposit Taking Company
- (d) Authorized Institution registered (also known as registered institution) to carry on Type 1 (dealing in securities) regulated activity
- (e) Authorized Institution registered (also known as registered institution) to carry on Type 4 (advising on securities) regulated activity

Securities and Futures Commission Regime

- (a) Licensed Corporation licensed to carry on Type 1 (dealing in securities) regulated activity
- (b) Licensed Corporation licensed to carry on Type 4 (advising on securities) regulated activity

2. In the case of an appointment of a new responsible officer, a Form I(I) must be submitted to the MPFA under cover of a Form I(S) if he is not currently registered with the MPFA.

3. Section IV must be completed when there is a change in the following registration capacities with the relevant regulators or self-regulatory organizations:

Insurance Authority Regime

- (a) Officer/Employee of Authorized Long Term Insurer
- (b) Appointed Long Term Insurance Agent (including an agent of an appointed long term insurance agent)
- (c) Registered Responsible Officer/Technical Representative of Appointed Long Term Insurance Agent
- (d) Registered Chief Executive/Technical Representative of Member (eligible to engage in long term business) of The Hong Kong Confederation of Insurance Brokers
- (e) Registered Chief Executive/Technical Representative of Member (eligible to engage in long term business) of Professional Insurance Brokers Association
- (f) Registered Chief Executive/Technical Representative of Insurance Broker (eligible to engage in long term business) Directly Authorized by Insurance Authority

Monetary Authority Regime

- (a) Officer/Employee of Bank
- (b) Officer/Employee of Restricted Licence Bank
- (c) Officer/Employee of Deposit Taking Company
- (d) Name entered in Hong Kong Monetary Authority Register: engaging in Type 1 (dealing in securities) regulated activity
- (e) Name entered in Hong Kong Monetary Authority Register: engaging in Type 4 (advising on securities) regulated activity

Securities and Futures Commission Regime

- (a) Licensed Representative engaging in Type 1 (dealing in securities) regulated activity
- (b) Licensed Representative engaging in Type 4 (advising on securities) regulated activity

4. Please specify the reason for cessation:

- (a) voluntary resignation
- (b) forced resignation
- (c) expiry of contract
- (d) redundancy
- (e) dismissal
- (f) other, please specify

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY
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Name of MPF Corporate Intermediary: _____

MPF Registration No.: _____

(Please complete items with changes only.)

| Section I – CHANGE OF CORPORATE INFORMATION | | | |
|----------------------------------------------------|---------------------------------|-----------------|----------------|
| | Information Previously Supplied | New Particulars | Effective Date |
| Name in English | | | |
| Name in Chinese (if any) | | | |
| Principal Business Address in Hong Kong | | | |
| Mailing Address | | | |
| Telephone No. | | | |
| Fax No. | | | |
| Email Address | | | |
| Name/Title/Telephone No. of Contact Person | | | |
| Registration Capacity ¹ | | | |

| Section II – CESSATION OF MPF BUSINESS | |
|-----------------------------------------------|--|
| Effective Date of Cessation | |
| Reason for Cessation | |

| For Official Use Only | | | |
|---------------------------------------|--|----------------------------------------------------------|--|
| Receipt Date | | Date of Updating | |
| Input Officer | | Approving Officer | |
| Re-issue of MPF Certificate Required? | | <input type="checkbox"/> Yes <input type="checkbox"/> No | |

¹ Please see *Explanatory Note 1*.

| Section III – CHANGE OF RESPONSIBLE OFFICER | | | |
|--------------------------------------------------------------------|-------------------------|-----------------------------|--|
| Addition/Appointment of New Responsible Officer² | | | |
| | Responsible Officer (1) | Responsible Officer (2) | |
| Name of Responsible Officer (same as HKID Card/Passport) | | | |
| Title of Responsible Officer | | | |
| Registration No. (if any) | | | |
| Effective Date of Appointment | | | |
| Cessation of Responsible Officer | | | |
| Name of Responsible Officer | | | |
| MPF Registration No. | | Effective Date of Cessation | |

| Section IV – CHANGE OF INDIVIDUAL INFORMATION (If there is insufficient space, please continue on a separate sheet.) | | | | |
|--------------------------------------------------------------------------------------------------------------------------------|----------------------------|----------------------------------------------------------------------------------------------|-----------------|-------------------|
| Name of Individual Intermediary (same as HKID Card/Passport) (in alphabetical order) | MPF Registration No. | Name/Registration Capacity ³ /Sponsoring corporation previously supplied | New Particulars | Effective Date |
| | | | | |

² Please see *Explanatory Note 2*.

³ Please see *Explanatory Note 3*.

Section V – EMPLOYEES/AGENTS CEASING TO BE SPONSORED
(If there is insufficient space, please continue on a separate sheet.)

| Name of Individual Intermediary <i>(same as HKID Card/Passport)</i> <i>(in alphabetical order)</i> | MPF Registration No. | Reason for Cessation ⁴ | Responsible Officer? <i>(Yes/No)</i> | Effective Date |
|----------------------------------------------------------------------------------------------------------|----------------------------|-----------------------------------|-----------------------------------------|-------------------|
| | | | | |

Section VI – MPF CARD / MPF CERTIFICATE LOSS

| Name of Individual Intermediary <i>(same as HKID Card/Passport)</i> <i>(in alphabetical order)</i> | MPF Registration No. | Reason for Card/Certificate Loss |
|----------------------------------------------------------------------------------------------------------|----------------------|----------------------------------|
| | | |

⁴ Please see *Explanatory Note 4*.

Section VII – CHANGE OF OTHER INFORMATION PREVIOUSLY SUPPLIED TO MPFA

Section VIII – OTHER SIGNIFICANT EVENTS TO BE REPORTED

Section IX – DECLARATION

We certify that we have read the *Notes on Personal Information Collection* and understand our rights and obligations in relation to personal data held by the MPFA and the manner in which the MPFA may use or deal with the data.

We declare that to the best of our knowledge and belief the information given in this Form is correct and complete.

We undertake to notify the MPFA of any matter which affects the validity of any information given in this Form.

| | |
|----------------------------------------------------------------------------|--|
| Signature and Company Chop <i>(to be signed by Responsible Officer)</i> | |
| Name of Responsible Officer <i>(same as HKID Card/Passport)</i> | |
| Title of Responsible Officer | |
| Date of Signature | |