

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY
List of Individual Intermediaries Sponsored by the Corporation(s)

Notes on Completion of this Form

1. This Form is to be completed by an MPF corporate intermediary/intermediaries for sponsoring its/their officers/employees/agents for registration as MPF intermediaries.
2. Please read the *Guide to Registration as MPF Intermediaries* (available at the Mandatory Provident Fund Schemes Authority (“MPFA”) website at www.mpfa.org.hk) and the *Notes on Personal Information Collection* below before completing this Form.
3. All questions must be answered. If any question is not applicable, please write ‘N/A’.
4. Please provide any other information which may assist the MPFA in reaching a decision on the application if necessary.

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 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.

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List of Individual Intermediaries Sponsored by the Corporation(s)

| Section I – PARTICULARS OF SPONSORING CORPORATION(S) | | |
|--|---------------------------------------|---|
| Name of Primary Sponsoring Corporation | | |
| MPF Registration No. (if any) | | |
| Name of Contact Person ¹ | | |
| Telephone No. of Contact Person | | |
| Name of Secondary Sponsoring Corporation (if applicable) | | |
| MPF Registration No. (if any) | | |
| Section II – DECLARATION BY SPONSORING CORPORATION(S) | | |
| <p>We certify that we have read the <i>Notes on Personal Information Collection</i> and understand our rights and obligations in relation personal data held by the MPFA and the manner in which the MPFA may use or deal with the data.</p> <p>We declare that to the best of our knowledge and belief the information given in this Form is correct and complete.</p> <p>We undertake to notify the MPFA of any matter which affects the validity of any information given in this Form.</p> <p>For those intermediaries listed in section III of this Form who have previously registered as MPF intermediaries, we (applicable to primary sponsoring corporation only) certify that we have obtained their Continuing Professional Development records, where applicable, for the current and the past three calendar years.</p> <p>We hereby give our consent to the intermediaries listed in section III of this Form to act on behalf of the corporation(s) specified in section I and we understand that as a sponsor of these intermediaries, we are responsible for the supervision of their selling /advising activities relating to MPF schemes and for their acts or omissions.</p> | | |
| | Primary Sponsoring Corporation | Secondary Sponsoring Corporation (if applicable) |
| Signature and Company Chop (to be signed by a Responsible Officer) | | |
| Name of Responsible Officer (same as HKID Card / Passport) | | |
| Title of Responsible Officer | | |
| Date of Signature | | |

| For Official Use Only | | | |
|------------------------------|--|---------------|--|
| Receipt Date | | Input Officer | |

¹ The contact person does not have to be the responsible officer or a registered MPF intermediary.

