

The applicant should note that a person who in any document given to the Authority makes a statement that the person knows to be false or misleading in a material respect, or recklessly makes a statement which is false or misleading in a material respect, commits an offence under Section 43E of the Mandatory Provident Fund Schemes Ordinance (“MPFSO”) and is liable to prosecution.



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## Standard Information / Document Request List

### Application for Approval of Constituent Fund (“CF”)

The Standard Information / Document Request List (“Standard Information List”) is to assist applicants in preparing an application for approval of proposed CF pursuant to section 21BB of the Mandatory Provident Fund Schemes Ordinance (“MPFSO”). Please note that the Standard Information List shall form parts of the application for approval of proposed CF.

The Standard Information List is divided into the following parts:

Part I : Application Documents to be submitted to the Authority

Part II : Contents of the Application Documents

Part III : Confirmation

Annexes :

- Annex A – Confirmation on Custodial Arrangement
- Annex B – Confirmation on Investment Management Arrangement
- Annex C – Information Relating to the Custodian of the Assets of the Scheme
- Annex D – Information Relating to the Investment Manager of the Scheme
- Annex E – Confirmation by MPF trustee of ESG Constituent Fund

#### ***Important Notes:***

- 1. Pursuant to Section 21BB(6) of the MPFSO, the Authority may refuse to approve a constituent fund if it is not satisfied that the fund is in the scheme members’ interests.***



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2. *The Authority may refuse to take up or reject any application and reserves the right to return forthwith, without processing, an incomplete or non-compliant application to the extent that information and/or the accompanying documents are not properly or fully completed, and/or negative responses in the Standard Information List are not properly explained, and/or such application is accompanied by documents that do not meet the applicable requirements under the MPFSO, the Regulation, guidelines and/or codes that are issued by the Authority, are not in good order or otherwise not suitable for clearance.*
3. *Applicants should note that the below list of documents / information is by no means exhaustive and the Authority may request further documents / information in relation to the application where necessary. All information that is deemed material and relevant to the application should also be submitted to the Authority in addition to the information and documents requested herein.*
4. *Applicants should note that in reviewing the application documents, the Authority has not vetted the information therein related to accuracy issues such as grammar, spelling mistakes or typing error. It is the responsibility of the applicant to ensure the accuracy and consistency of all the information and documents submitted.*
5. *This is a standard form document. Unless otherwise specified, when completing this Standard Information List please do not make any deletion, addition or amendment to the standard form document or headings.*
6. *If there are any changes to the information provided in the Standard Information List, please notify the Authority as soon as practicable. The Authority reserves the right to request the applicant to submit updated and duly signed and completed documentation prior to approval of the application.*
7. *Unless otherwise specified, terms and expression used in the Standard Information List are as defined in the MPFSO and the Regulation.*



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### ***Part I Application Documents to be submitted to the Authority***

- (1) Reference Checklist for application for approval of proposed constituent fund (“Proposed CF”) under the Scheme to be provided by the Trustee as listed in Part II-(1)
- (2) Deeds of Undertaking to be provided by the Trustee / Investment Manager as listed in Part II-(2)
- (3) All relevant documents in relation to the approval of Proposed CF as listed in Part II-(3)
- (4) Confirmation on Custodial Arrangements [[Note: Please refer to Annex A](#)] and a copy of the Custodial Agreement of the Proposed CF, if any.
- (5) Confirmation on Investment Management Arrangements [[Note: Please refer to Annex B](#)] and a copy of the Investment Management Agreement of the Proposed CF, if any.
- (6) Application Form - FORM CF [[Note: Please refer to MPF Guidelines I.5](#)]  
Information Relating to the Custodian of the Assets of the Scheme [[Note: Please refer to Annex C](#)] ([where applicable](#)) for the new appointment of custodian for the Proposed CF  
Information Relating to the Investment Manager of the Scheme [[Note: Please refer to Annex D](#)] ([where applicable](#)) for the new appointment of investment manager for the Proposed CF



## Part II Contents of the Application Documents

(1) Reference Checklist for application for approval of Proposed CF under the Scheme to be provided by the Trustee (Note: Please continue on a separate sheet if there is insufficient space and attach such continuous sheet to the Reference Checklist)

No.	Information Required:	Response/ Information:
<b>Key Features of the Proposal</b>		
<b>Note: In reviewing an application for approval of the Proposed CF, the Authority takes into consideration whether the Proposed CF meets the approval criteria for constituent funds set out in the circular issued by the Authority on 17 November 2022.</b>		
1.	Please demonstrate how the Proposed CF has a different investment policy from those of the constituent funds currently offered under the MPF scheme.  Note: The Authority will not consider differences in managers or management style alone to be a different investment policy from those of the constituent funds currently offered under the MPF scheme.	
2.	Please explain how the addition of the Proposed CF is in scheme members' interests.  Note: The Authority will consider factors such as existing fund range in the MPF scheme in assessing whether the addition of the Proposed CF is in scheme members' interests.	
3.	Product Structure of the Proposed CF and the name of underlying pooled investment fund (where applicable)	
4.	Proposed launch date of the Proposed CF	



No.	Information Required:	Response/ Information:
5.	<p>Please annotate in the offering document for item (a) – (e) below:</p> <ul style="list-style-type: none"> <li>(a) The investment objectives of the Proposed CF;</li> <li>(b) The policy as to the kinds of securities and other assets in which the Proposed CF may be invested;</li> <li>(c) The policy as to the balance between different kinds of securities and other assets of the Proposed CF;</li> <li>(d) The policy regarding the acquisition, holding and disposal of financial futures contracts, and of financial option contracts, for the purposes of the Proposed CF; and</li> <li>(e) The risks inherent in implementing the policies referred to in paragraphs (b), (c) and (d), and the return expected to result from giving effect to those policies.</li> </ul> <p>Note: The Authority will consider whether the name of the Proposed CF reflects the investment objective and policy, geographic region or market of the Proposed CF.</p>	
6.	Please advise whether the Proposed CF is an ESG CF <sup>1</sup> .	Yes <input type="checkbox"/> No <input type="checkbox"/>
7.	<p>If the Proposed CF is an ESG CF, please annotate in the offering document for item (a) – (f) below:</p> <ul style="list-style-type: none"> <li>(a) The ESG focus of the Proposed CF <ul style="list-style-type: none"> <li>(i) a description of the Proposed CF’s ESG focus (e.g. climate change, green, low carbon footprint, and sustainability, etc.); and</li> <li>(ii) a list of ESG criteria (e.g. filters, indicators, ratings, third party certificates or labels, etc.) used to measure the attainment of the Proposed CF’s ESG focus.</li> </ul> </li> </ul>	

<sup>1</sup> The definition sets out in MPFA’s circular letter entitled “Approval criteria for constituent funds within an MPF scheme” issued on 17 November 2022.



No.	Information Required:	Response/ Information:
	<p>(b) The ESG investment strategy</p> <ul style="list-style-type: none"> <li>(i) a description of the investment strategy adopted by the Proposed CF, the binding elements and significance of the strategy(ies) in the investment process, and how the strategy(ies) is implemented in the investment process on a continuous basis;</li> <li>(ii) a summary of the process of consideration of ESG criteria (as described under paragraph 7(a)(ii) above), which may include the methodologies used in measuring the fulfillment of these ESG criteria, their sequencing relative to the investment strategies, and examples of the most important ESG criteria considered (if any); and</li> <li>(iii) a description of whether an exclusion policy is adopted by the Proposed CF, if any, and the type(s) of exclusion.</li> </ul> <p>(c) Asset allocation</p> <ul style="list-style-type: none"> <li>(i) the expected or minimum proportion of securities or other investments (e.g. in terms of net asset value of the Proposed CF) that are commensurate with the Proposed CF's ESG focus.</li> </ul> <p>(d) Reference benchmark</p> <ul style="list-style-type: none"> <li>(i) where an index is designated as a reference benchmark for the purpose of attainment of the ESG focus of a Proposed CF: <ul style="list-style-type: none"> <li>(a) where the Proposed CF tracks an ESG benchmark (e.g. an index fund), details of the benchmark being tracked including the characteristics and general</li> </ul> </li> </ul>	



No.	Information Required:	Response/ Information:
	<p>composition of the benchmark; or</p> <p>(b) where the Proposed CF seeks to measure its ESG focus against a designated reference benchmark, an explanation of how the designated reference benchmark is relevant to the ESG focus of the Proposed CF.</p> <p>(ii) where the Proposed CF has a designated climate benchmark specifically, the disclosure should include:</p> <p>(a) an explanation of how the reference benchmark is continuously aligned with or relates to the Proposed CF's climate-related focus; and</p> <p>(b) an explanation as to why and how the designated index differs from a broad market index, where appropriate.</p> <p>(e) Other information reference</p> <p>(i) an indication of where MPF scheme members can find additional information about the Proposed CF in relation to the underlying fund(s) and/or reference benchmark as required below:</p> <p>(a) a description of how the ESG focus is measured and monitored throughout the lifecycle of the Proposed CF and the underlying fund(s) and the related internal or external control mechanisms;</p> <p>(b) a description of the methodologies adopted to measure the ESG focus referred to in paragraph 7(a) above and the attainment of the ESG focus by the Proposed CF and its underlying fund(s);</p>	



No.	Information Required:	Response/ Information:
	<ul style="list-style-type: none"> <li>(c) a description of due diligence carried out in respect of the ESG-related attributes of the Proposed CF's underlying assets;</li> <li>(d) a description of the engagement (including proxy voting) policies (if any); and</li> <li>(e) a description of the sources and processing of ESG data or a description of any assumptions made where relevant data is not available.</li> </ul> <p>(f) Risks</p> <ul style="list-style-type: none"> <li>(i) a description of risks or limitations associated with the Proposed CF's ESG focus and the associated investment strategies (e.g. limitation of methodologies and data, lack of standardized taxonomy, subjective judgment in investment selection, reliance on third party sources, concentration in investments with the particular ESG focus, etc.).</li> </ul>	
8.	If the Proposed CF is an ESG CF, please provide the confirmation and representations (Annex E) regarding the key investment theme and key investment strategy which will be posted on the list of ESG-funds on the MPFA's dedicated ESG funds webpage.	
9.	The fund descriptor of the Proposed CF in accordance with the requirements as specified in the Performance Presentation Standards For MPF Investment Funds.	
10.	For Proposed CF with an equity focus, demonstrate how (or provide risk analysis where applicable) the investment profile of the Proposed CF is at least as diverse as a broadly based regional	



No.	Information Required:	Response/ Information:
	equity fund (such as an Asia Pacific (ex Japan) equity fund). If the Proposed CF is a specialty fund (e.g. ESG-themed fund, sector fund), please advise whether (i) the risk level of the Proposed CF is not higher than that of an Asia Pacific (ex-Japan) equity fund or index; and demonstrate how (ii) the expected outcome of the Proposed CF can be achieved.	
11.	Where the Proposed CF is not an index-tracking collective investment scheme, provide reasons as to why the index fund option is not used for the obtaining the proposed investment exposure of the Proposed CF.	
12.	The plan the trustee / sponsor intend to promote the Proposed CF to existing and prospective MPF members.	
13.	<p>The projected growth in fund size, the Fund Expense Ratio (“FER”) and the expected period to achieve economies of scale.</p> <p>Note: The Authority will not consider it in the interests of scheme members if the FER is expected to be high due to projected small fund size.</p>	
14.	The contingency plan if the Proposed CF does not reach a reasonable size after the expected period.	
<p><b><i>Fee Structure and Fee Level</i></b></p> <p><b><i>Note: The Authority will consider whether applicant has taken into account (i) the fee level charged by other CFs under the relevant scheme and (ii) the fee level charged by CFs in the same fund type under the MPF System when setting the fee level of the Proposed CF.</i></b></p>		
15.	The fee structure/ level of the Proposed CF, and any other additional fees and charges (where applicable).	
16.	Amount of the establishment cost of the Proposed CF, the breakdown of the establishment cost and the party who bears the cost.	



No.	Information Required:	Response/ Information:
<i>Others</i>		
17.	Other information that the applicant wishes to provide to the Authority in relation to the approval of the Proposed CF.	

**(2) Draft Deeds of Undertaking to be provided by the Trustee and/or Investment Manager**

Ordinance /Regulation /Code (O /R /C)	Contents	Document Submitted			Remarks	Encl.
		Y	N	N/A		
R: s.46(3)	Independence of IM functions					
R: s.68(5)	Provide continuous financial support to custodian					
R: s.69(2)	Trustee takes up custodian function					
C: A2.11	Exchange information between SFC and MPFA					
--	Dealing of Derivatives					



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**(3) All relevant documents in relation to the approval of Proposed CF**

Relevant documents required may include proposed amendments to trust deed and offering document (English / Chinese) of the scheme. Applicant should note that all information and documentation material to the application should be provided to the Authority.



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### ***Part III Confirmation***

***We hereby confirm that all information contained in the Standard Information List and such other documents and information submitted to the Authority herewith are true and accurate.***

**Signed on behalf of the Trustee:**

Name of Trustee: \_\_\_\_\_

Name of Authorized signatory: \_\_\_\_\_

Position of the person signing: \_\_\_\_\_

Date: \_\_\_\_\_

Signature: \_\_\_\_\_



## Annex A - Confirmation on Custodial Arrangements

\*[Name of approved trustee], approved trustee of [registered scheme], appoints [name of custodian] as the custodian in relation to [name of Scheme/CF] and hereby confirms that such appointment, including but not limited to the relevant custodial agreement, complies with all relevant MPF legislation and requirements.

Or

\*[Name of approved trustee], approved trustee of [registered scheme], does not appoint a custodian in relation to [name of Scheme/CF] and hereby confirms that such an arrangement, including but not limited to the relevant undertaking to the Authority, complies with all relevant MPF legislation and requirements.

*Approved trustee should complete the following part and provide the Authority with a copy of the relevant custodial agreement/ deed of undertaking\*.*

Relevant Section in Schedule 3 of Regulation	Reference to the (i) clause(s) and (ii) page no. in the relevant custodial agreement / deed of undertaking*
1(a)	
1(b)	
1(c)(i)	
1(c)(ii)	
1(d)	
2	
3(a)	
3(b)	
3(c)	
3(d)	
3(e)	
4	
5(a) & (b)	
6(1) (a) & (b)	
6(2)	
7(a) & (b)	
8	
9	



10	
11	
12(a)(i)	
12(a)(ii)	
12(b)	
<b>Relevant Section in Regulation</b>	<b>Reference to the (i) clause(s) and (ii) page no. in the relevant custodial agreement / deed of undertaking*</b>
51(2)	
52(2)	

\*Please delete where appropriate.

**Signed on behalf of the Trustee:**

Name of Trustee:

\_\_\_\_\_

Name of Authorized signatory:

\_\_\_\_\_

Position of the person signing:

\_\_\_\_\_

Date:

\_\_\_\_\_

Signature:

\_\_\_\_\_



## Annex B - Confirmation on Investment Management Arrangements

[Name of approved trustee], approved trustee of [Name of registered scheme], hereby confirms that the appointment of [Name of investment manager] as the investment manager for [Name of Scheme/CF], including but not limited to the relevant contract for the terms of appointment of the investment manager, complies with all relevant MPF legislation and requirements.

*Approved trustee should complete the following part and provide the Authority with a copy of the relevant contract for the appointment of the investment manager.*

Relevant Section in Schedule 2 of Regulation	Reference to the (i) clause(s) and (ii) page no. in the relevant contract for the appointment of the investment manager
1	
2(a)	
2(b)	
2(c)	
2(d)(i) & (ii)	
2(e)	
2(f)	
2(g)	
2(h)	
2(i)	
2(j)	
2(k)(i)	
2(k)(ii)	
2(l)(i)	
2(l)(ii)	
2(m)	
2(n)(i)	
2(n)(ii)	
2(n)(iii)	
2(n)(iv)	
2(n)(v)	
2(o)	
2(p)(i) & (ii)	
2(q)(i)	
2(q)(ii)	
2(r)	
2(s)	
2(t)	
2(u)	
2(v)	



<b>Relevant Section in Regulation</b>	<b>Reference to the (i) clause(s) and (ii) page no. in the relevant contract for the appointment of the investment manager</b>
45(1)	

<b>Relevant Section in the Guidelines</b>	<b>Reference to the (i) clause(s) and (ii) page no. in the relevant contract for the appointment of the investment manager</b>
III.7(14)	

**Signed on behalf of the Trustee:**

Name of Trustee:

\_\_\_\_\_

Name of Authorized signatory:

\_\_\_\_\_

Position of the person signing:

\_\_\_\_\_

Date:

\_\_\_\_\_

Signature:

\_\_\_\_\_



### Annex C – Information Relating to the Custodian of the Assets of the Scheme

**NOTES :**

- (1) Please read “Guidelines on Custodians” before completing Annex C.
- (2) All questions must be answered. If any question is not applicable, please write “N.A.”.
- (3) If boxes are provided, please tick whichever is appropriate.
- (4) \* means delete whichever is inappropriate.

#### SECTION I - PARTICULARS OF THE SCHEME

- (1) Name of the Scheme to which the custodian\*\* is appointed or proposed to be appointed: \_\_\_\_\_

#### SECTION II - PARTICULARS OF THE CUSTODIAN

- (1) Name of the custodian (in English): \_\_\_\_\_  
 \_\_\_\_\_  
 (in Chinese, if any): \_\_\_\_\_  
 \_\_\_\_\_

- (2) Date of incorporation: 

Day		Month		Year			

- (3) Place of incorporation: \_\_\_\_\_

- (4) Registered office:
 

Flat/Room	Floor	Block	Name of building
Street no.	Name of street		
Name of district/city/province			Area code/Postal code
Name of region/country			

Telephone no.: ( ) \_\_\_\_\_ Fax no.: ( ) \_\_\_\_\_

\*\* For the purpose of this Annex, “custodian”, in relation to the assets of a registered scheme, means the person appointed by the approved trustee as a custodian of the assets of the scheme but does not include sub-custodians appointed by the trustee or the custodian.



(5) Address where the business is carried out in Hong Kong (if not the same as the registered office):

Flat/Room	Floor	Block	Name of building
Street no.	Name of street		
Name of district			
<i>Hong Kong/Kowloon/New Territories*</i>			

Telephone no.: \_\_\_\_\_ Fax no.: \_\_\_\_\_

(6) Address where day to day business activities are conducted (if not the same as(5)):

Flat/Room	Floor	Block	Name of building
Street no.	Name of street		
Name of district/city/province		Area code/Postal code	
Name of region/country			

Telephone no.: (\_\_\_\_) \_\_\_\_\_ Fax no. : (\_\_\_\_) \_\_\_\_\_

(7) Financial year end date:

Day		Month	



### SECTION III - CAPITAL ADEQUACY

(1) Nature of the custodian:

- (A) Authorized financial institution in Hong Kong
- (B) Registered Trust Company (RTC) in Hong Kong

(2) Capital adequacy of the custodian: (please state the currency used)

- (A) Paid up share capital \*\*: \_\_\_\_\_
- (B) Net asset value \*\*: \_\_\_\_\_
- (C) Date of valuation: \_\_\_\_\_

\*\* *If the custodian is an RTC with paid up capital or net assets value of less than HK\$150 million, please also complete (3) and (4) below.*

(3) Nature of the company that provides continuous financial support to the custodian (if applicable):

- (A) RTC in Hong Kong
- (B) Authorized financial institution in Hong Kong
- (C) Authorized insurer in Hong Kong
- (D) Overseas trust company \*\*  Approving authority: \_\_\_\_\_
- (E) Overseas bank \*\*  Approving authority: \_\_\_\_\_
- (F) Overseas insurer \*\*  Approving authority: \_\_\_\_\_

\*\* *Please also complete 5(G) and 5(H) with regard to the approving authority and the company's credit rating.*



(4) Capital adequacy of the company that provides continuous financial support to the custodian (if applicable) (please state the currency used)

(A) Paid up share capital: \_\_\_\_\_

(B) Net asset value: \_\_\_\_\_

(C) Date of valuation: \_\_\_\_\_

(5) Particulars of the company that provides continuous financial support to the custodian (if applicable)

(A) Name of the Company  
(in English): \_\_\_\_\_

(in Chinese, if any): \_\_\_\_\_

(B) Date of incorporation: 

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Day Month Year

(C) Place of incorporation: \_\_\_\_\_

(D) Registration number under Part XI of the predecessor Ordinance (as defined in the Companies Ordinance (Cap 622)) or Part 16 of the Companies Ordinance (Cap 622) (if any): \_\_\_\_\_

(E) Financial year end date: 

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Day Month

(F) Relationship with the custodian (please attach a group chart showing the relationship):  
\_\_\_\_\_

(G) Particulars of the approving authority stated under (3)(D), (3)(E) or (3)(F):

(a) Address

Flat/Room	Floor	Block	Name of building
Street no.		Name of street	
Name of district/city/province			Area code/Postal code
Name of region/country			

Telephone no.: ( ) \_\_\_\_\_ Fax no.: ( ) \_\_\_\_\_



- (b) Type of licence, registration, authorization, or permit issued to the company by the approving authority and date of issue:

\_\_\_\_\_ 

Day		Month		Year			

- (H) Credit rating of the company that provides continuous financial support to the custodian if either (3)(D), (3)(E) or (3)(F) is applicable:

- (a) Current credit rating of the company: \_\_\_\_\_
- (b) Name of credit rating agency: \_\_\_\_\_
- (c) Date when the credit rating was given: \_\_\_\_\_

#### SECTION IV – DOCUMENTS TO BE ATTACHED

		Attachment No.
(1)	Copy of certificate of incorporation of the custodian	
(2)	Audited financial statements for the last three years of the custodian or since its incorporation if it has been incorporated for less than three years	
(3)	Copy of certificate of incorporation/registration with overseas authority in respect of the company that provides continuous financial support to the custodian, if applicable	
(4)	Audited financial statements for the last three years of the company that provides continuous financial support to the custodian or since its incorporation if it has been incorporated for less than three years, if applicable	
(5)	Group chart showing the relationship (with percentage of shareholding) between the custodian and the company that provide continuous financial support to the custodian, if applicable	
(6)	Undertaking to the Mandatory Provident Fund Schemes Authority (the Authority) by the company that provides continuous financial support to the custodian in accordance with s68(5) of the Regulation, if applicable	



## SECTION V - DECLARATION

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

We certify that the documents attached to this Annex are true and correct copies.

We undertake to notify the Authority of any matter which affects the validity of any information given in support of our application.

After the application is approved, we undertake to notify the Authority of any material changes to, or affecting the completeness or accuracy of, the information provided in this Annex as soon as possible.

Name of the custodian:

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Signature and company chop  
(to be signed by two directors):

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Name of persons signing:

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Title or position of persons signing:

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Date:

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✦ **Warning:** Section 43E of the Ordinance makes it an offence punishable with a maximum of one year imprisonment for the first occasion and two years imprisonment on each subsequent occasion for a person who makes a false or misleading statement in a material aspect.

Name and telephone no. of the contact person for the Authority's enquiries in connection with this application –

Name: \_\_\_\_\_

Telephone no.: \_\_\_\_\_



## Annex D – Information Relating to the Investment Manager of the Scheme

### NOTES:

- (1) All questions must be answered. If any question is not applicable, please write "N.A."
- (2) If boxes are provided, please tick whichever is appropriate.
- (3) \* means delete whichever is inappropriate.

### SECTION I - THE SCHEME

- (1) Name of the Scheme to which the investment manager is appointed or proposed to be appointed: \_\_\_\_\_

### SECTION II - THE INVESTMENT MANAGER

- (1) Name of the investment manager:  
(in English) \_\_\_\_\_

(in Chinese, if any) \_\_\_\_\_

- (2) Date of incorporation:

Day		Month		Year			

- (3) Place of incorporation: \_\_\_\_\_  
(Please attach a copy of the certificate of incorporation.)

- (4) Registered office in Hong Kong:

Flat/Room	Floor	Block	Name of building

Street no.	Name of street

Name of district	<i>Hong Kong / Kowloon / New Territories*</i>

Telephone no.: \_\_\_\_\_ Fax no.: \_\_\_\_\_



- (5) Registration status with the Securities and Futures Commission (SFC) and other regulatory authorities:

\_\_\_\_\_  
(Please attach copies of certificates of registration.)

### SECTION III - CAPITAL ADEQUACY

- (1) Paid up share capital (HK\$): \_\_\_\_\_
- (2) Net asset value (HK\$): \_\_\_\_\_
- (3) Date of valuation: \_\_\_\_\_

(Please attach the latest audited accounts or the auditor's certificate in respect of the paid up share capital and net asset value of the investment manager.)

### SECTION IV - INVESTMENT ACTIVITIES

- (1) Name of constituent fund(s) in the Scheme under the investment manager's management:
- (2) Financial futures and option trading

If any of the constituent funds managed by the investment manager will engage in financial futures and option trading for purposes other than hedging, please demonstrate that the investment manager has the relevant experience in this respect.

### SECTION V – DOCUMENTS TO BE ATTACHED

	<b>Documents</b>	<b>Attachment No.</b>
(1)	Copy of the certificate of incorporation	
(2)	Copies of certificates of registration with the SFC and other regulatory authorities	
(3)	Latest audited accounts or the auditor's certificate in respect of the paid up share capital and net asset value of the investment manager	



## SECTION VI - DECLARATION

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

We certify that the documents attached to this Annex are true and correct copies.

We undertake to notify the Mandatory Provident Fund Schemes Authority (the Authority) of any matter which affects the validity of any information given in support of this application.

After the application is approved, we undertake to notify the Authority of any material changes to, or affecting the completeness or accuracy of, the information provided in this Annex as soon as possible.

Name of the investment manager: \_\_\_\_\_

Signature and company chop:  
(to be signed by two directors) \_\_\_\_\_

Name of persons signing: \_\_\_\_\_

Title or position of persons signing: \_\_\_\_\_

Date: \_\_\_\_\_

✦ **Warning:** Section 43E of the Ordinance makes it an offence punishable with a maximum of one year imprisonment for the first occasion and two years imprisonment on each subsequent occasion for a person who makes a false or misleading statement in a material aspect.

Name and telephone no. of the contact person for the Authority's enquiries in connection with this application –

Name: \_\_\_\_\_

Telephone no.: \_\_\_\_\_



## Annex E – Confirmation by MPF trustee of ESG Constituent Fund

**Caution: Section 43E of the Mandatory Provident Fund Schemes Ordinance makes it an offence punishable with a maximum of 12 months of imprisonment for the first occasion and two years of imprisonment on each subsequent occasion for a person who makes a false or misleading statement in a material aspect.**

Name of MPF scheme: \_\_\_\_\_

Name of the constituent fund: \_\_\_\_\_

(a) *Incorporation of and alignment with ESG focus (please tick only one of the following boxes)*

We, without submitting, independent third party certification or fund label for the constituent fund, confirm the following:

(i) the constituent fund has incorporated ESG factors as its key investment focus; and

(ii) MPF trustee of the constituent fund continuously monitors and regularly evaluates the underlying investments with proper procedures in place to ensure on an ongoing basis that the constituent fund aligns with the stated ESG focus and complies with all the requirements stipulated in the Circular Letter entitled “Enhancing Disclosure and Reporting Requirements for ESG Constituent Funds” dated 24 February 2025.

We, submitting an independent third party certification or fund label<sup>1</sup>, confirm that the issuer of the certification or fund label is independent of the MPF trustee and its associated entities.

(b) *Compliance with relevant disclosure requirements (please tick the following boxes, where applicable)*

We confirm the underlying approved pooled investment fund(s) or approved index-tracking collective investment scheme(s) held/to be held by the constituent fund is/are classified as ESG fund(s) in compliance with the requirements as set out by the Securities and Futures Commission (SFC) in its circular to management companies of SFC-authorized unit trusts and mutual funds – ESG funds dated 29 June 2021 and all requirements set out therein or related thereto, as amended from time to time.

We confirm the underlying approved index-tracking collective investment scheme(s) held/ to be held by the constituent fund is/are classified as financial product(s) falling under [(please

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<sup>1</sup> The MPFA expects the independent third party or fund labelling agency to review, at a minimum and as part of the certification or labelling process, (i) the ESG constituent fund’s primary investments reflecting the particular ESG focus, (ii) investment selection process and (iii) ongoing monitoring process. Documentary evidence of the relevant certification or fund label obtained by MPF trustees in respect of the relevant constituent funds should be submitted together with this confirmation.



*delete as appropriate*) Article 8 / Article 9] of the Sustainable Finance Disclosure Regulation (SFDR)<sup>2</sup> and all requirements set out therein, as amended from time to time, have been and will be complied with in respect of the scheme(s).

(c) We acknowledge that the key investment theme and investment strategy of the constituent fund to be posted by the MPFA on the list of ESG constituent funds on the MPFA's dedicated webpage on ESG constituent funds and the MPF Fund Platform, etc. are based on the confirmations and representations we provide hereunder:

(i) The key investment theme of [*name of constituent fund*] under [*name of MPF scheme*] is:  
(Please select one of the following which is the most representative of the constituent fund's ESG investment theme)

- Climate change;
- Environment;
- ESG/ sustainability;
- Food security;
- Forestry;
- Nutrition;
- Social;
- Sustainable energy;
- Sustainable transportation;
- Water;
- Other (please specify): \_\_\_\_\_

(ii) The key investment strategy of [*name of constituent fund*] under [*name of MPF scheme*] is:  
(Please select one of the following for the constituent fund which is the most representative of the constituent fund's ESG investment strategy)

- Best-in-class / positive screening<sup>3</sup>;
- Impact investing<sup>4</sup>;
- Thematic<sup>5</sup>;
- Other (please specify): \_\_\_\_\_

<sup>2</sup> Regulation (EU) 2019/2088 of the European Parliament and of the Council of 27 November 2019 on sustainability-related disclosures in the financial services sector.

<sup>3</sup> Investment in companies or sectors that have better ESG performance than peers.

<sup>4</sup> Investment in companies or financing for business with a purpose of generating measurable positive ESG impact.

<sup>5</sup> Investment in companies that engage in specific ESG or sustainability themes or economic activities.



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

**Signed for and on behalf of:**

Name of MPF trustee:

\_\_\_\_\_

Signature of persons signing:  
(to be signed by two directors)

\_\_\_\_\_

Name of persons signing:

\_\_\_\_\_

Title or Position of persons signing:

\_\_\_\_\_

Date:

\_\_\_\_\_