

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 43 of the Mandatory Provident Fund Schemes Ordinance (“MPFSO”) and is liable to prosecution.



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

## 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

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

- 1. Pursuant to Section 21BB(6) of the Mandatory Provident Fund Schemes (Amendment) Ordinance 2015, the Authority may refuse to approve a constituent fund if it is not satisfied that the fund is in the scheme members’ interests.***
- 2. The Authority may refuse to take up 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,***



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

*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.*



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

***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](#)]  
FORM S(M) ([where applicable](#)) for the new appointment of investment manager for the Proposed CF  
FORM S(C) ([where applicable](#)) for the new appointment of custodian 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><i>Key Features of the Proposal</i></b>		
1.	Please provide reasons/ justification for introducing the Proposed CF, and how it adds to existing fund range for the retirement protection of members.	
2.	Please provide justifications as to why the approval of Proposed CF is necessary, and how it will be in the interests of members.	
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	
5.	Please annotate in the offering document for item (a) – (e) below: (a) The investment objectives of the Proposed CF; (b) The policy as to the kinds of securities and other assets in which the Proposed CF may be invested; (c) The policy as to the balance between different kinds of securities and other assets of the Proposed CF; (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 (e) The risks inherent in implementing the policies referred to in paragraphs (b), (c) and (d), and the return expected to result	



No.	Information Required:	Response/ Information:
	from giving effect to those policies.	
6.	The difference between the Statement of Investment Policy and Objective of the Proposed CF and those of the constituent funds currently offered under the MPF scheme.	
7.	The fund descriptor of the Proposed CF in accordance with the requirements as specified in the Performance Presentation Standards For MPF Investment Funds.	
8.	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 equity fund (such as an Asia Pacific (ex Japan) equity fund).	
9.	Reasons as to why the index fund option is not used for the obtaining the proposed investment exposure of the Proposed CF.	
10.	The plan the trustee / sponsor intend to promote the Proposed CF to existing and prospective MPF members.	
11.	The projected growth in fund size, the Fund Expense Ratio and the expected period to achieve economies of scale.	
12.	The contingency plan if the Proposed CF does not reach a reasonable size after the expected period.	
<b>Fee Structure</b>		
13.	The fee structure/ level of the Proposed CF, and any other additional fees and charges (where applicable).	
14.	Amount of the establishment cost of the Proposed CF, the breakdown of the establishment cost and the party who bears the cost.	
<b>Others</b>		
15.	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					

**(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.



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

### ***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>
Section 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: \_\_\_\_\_