

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.



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Standard Information / Document Request List

Application for Termination and Cancellation of Approval Status of Pooled Investment Fund - not Involving Compulsory Transfer of MPF Assets due to Termination and Cancellation*

This Standard Information / Document Request List (“Standard Information List”) is to assist applicants in preparing an application of the termination and cancellation of approval status of pooled investment fund, pursuant to chapter C2.8/D2.15 of the Code on MPF Investment Funds and section 6 of the Mandatory Provident Fund Schemes (General) Regulation (“Regulation”) respectively. The list is divided into 2 parts as follows:

Part I : Application Documents to be submitted to the Authority

Part II : Contents of the Application Information/ Documents

**At the point of submission of the relevant application, it is expected that the pooled investment fund will have no assets, liabilities or any remaining unitholders.*

Important Notes:

- 1. 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, 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.***



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2. *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 relevant 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.*
3. *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.*
4. *Applicants should annotate contents of application documents with the item numbers provided in the list, e.g. mark Part II (1)(i) for the reason(s) of the proposed termination.*



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Part I Application Documents to be submitted to the Authority

- (1) Completed Application Form - FORM PF(CAN) ^{Note1}
- (2) Information and documentation as set out in Part II of this Standard Information List

^{Note1} *Please refer to MPF Guidelines I.11.*



Part II Contents of the Application Information/ Documents

(1) Information Necessary for effecting the Termination and Cancellation

- (i) Reasons for the proposed termination and cancellation.
- (ii) Confirmation by Trustee that there are no assets, no liabilities (including obligations to unitholders of the fund) and no remaining unitholders in the pooled investment fund.
- (iii) A statement as to whether the requirements as set out in the governing rules of the pooled investment fund relating to termination and cancellation of the pooled investment fund have been satisfied.

(2) Draft of All Documents Necessary for effecting the Termination and Cancellation

- (i) Documents for effecting the termination may include: proposed amendments to the trust deed and offering documents of the pooled investment fund (English and, if applicable, Chinese versions) and, [where applicable](#), proposed amendments related to arrangements for guaranteed funds.
- (ii) Notice to unitholders (if no such arrangement, please provide explanation).