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**MANDATORY PROVIDENT FUND SCHEMES ORDINANCE (CAP 485)
(the Ordinance)**

**APPLICATION FOR APPROVAL AS TRUSTEE
(for applicant who is a natural person)**

NOTES:

- (1) *The applicant making an application for approval as trustee should read the Guidelines on Application for Approval as Trustees and Application for Approval as Controllers of Approved Trustees before submitting the application.*
 - (2) *Please read the Notes on Personal Information Collection 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 Mandatory Provident Fund Schemes Authority (the Authority) in reaching a decision on the application if necessary.*
 - (5) *If boxes are provided, please tick whichever is appropriate.*
 - (6) ** means delete whichever is inappropriate.*
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FOR OFFICIAL USE ONLY

| | |
|---|---|
| Application no.: _____ | Date application received: _____ |
| Fee receipt no.: _____ | Subject officer: _____ |
| Date of fee receipt: _____ | Input officer: _____ |
| Date of letter of acknowledgement: _____ | Verification officer: _____ |

SECTION I - PARTICULARS OF THE APPLICANT

| | |
|---|---------|
| (1) Surname (in English) | |
| (2) Forenames (in English) | |
| (3) Name in Chinese (if any) | |
| (4) Name in Chinese Commercial Code (if any) | |
| (5) Any previous name(s) by which you have been known | |
| (6) Hong Kong Identity Card/Passport No.* | |
| (7) Date of birth (DD/MM/YYYY) | |
| (8) Place of birth | |
| (9) Nationality | |
| (10) Are you a public officer? | Yes/No* |
| (11) Your residential address | |
| (12) Your previous residential addressees during the last three years | |
| (13) Telephone number and fax number | |
| (14) Do you ordinarily reside in Hong Kong? | Yes/No* |
| (15) Period of residence in Hong Kong (in years) | |

SECTION II - EDUCATIONAL BACKGROUND AND EMPLOYMENT HISTORY OF THE APPLICANT

- (1) Please state your professional, academic, technical or other qualifications and the years in which they were obtained.

| Professional and academic qualifications | Issuing institutions | Dates obtained |
|--|----------------------|----------------|
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- (2) Present occupation or employment and occupations and employment during the last 10 years, including the name of employer, the nature of the business, the position held and relevant dates.

| Details of employment | 1 (Present employment) | 2 | 3 |
|---|---------------------------|---|---|
| (A) Name of employer/ corporation | | | |
| (B) Principal business address | | | |
| (C) Nature of business | | | |
| (D) Capacity in which employed | | | |
| (E) Brief description of your duties and responsibilities | | | |
| (F) Date of commencement of employment | | | |
| (G) Date of termination of employment (if applicable) | N.A. | | |
| (H) Reasons for termination of employment | N.A. | | |

- (3) The companies of which you have been appointed as a trustee to their retirement schemes at any time during the past 10 years, in Hong Kong or elsewhere.

| Details of appointment | 1 | 2 | 3 |
|---|--|--|--|
| (A) Name of company | | | |
| (B) Principal business address | | | |
| (C) Nature of scheme (defined benefit or defined contribution) | | | |
| (D) Approximate number of scheme members (if available) | <100 <input type="checkbox"/> 100-499 <input type="checkbox"/> 500-999 <input type="checkbox"/> ≥1000 <input type="checkbox"/> as at _____ | <100 <input type="checkbox"/> 100-499 <input type="checkbox"/> 500-999 <input type="checkbox"/> ≥1000 <input type="checkbox"/> as at _____ | <100 <input type="checkbox"/> 100-499 <input type="checkbox"/> 500-999 <input type="checkbox"/> ≥1000 <input type="checkbox"/> as at _____ |
| (E) Approximate size of scheme assets (to the nearest million) (if available) | \$ _____ as at _____ | \$ _____ as at _____ | \$ _____ as at _____ |
| (F) Appointed as member trustee, employer trustee or independent trustee? | | | |
| (G) Date of appointment | | | |
| (H) Date of retiring | | | |
| (I) Reasons for retiring | | | |

SECTION III - DISCIPLINARY AND CONVICTION HISTORY, AND FINANCIAL STATUS

- (1) Have you ever been found by a court, in accordance with the Mental Health Ordinance (Cap 136), to be of unsound mind and incapable of managing your affairs? Yes/No*

- (2) Have you ever been convicted of any offence (other than a traffic offence) or are you the subject of unresolved charges, in Hong Kong or elsewhere? Yes/No*

If yes, please provide the following information:

Nature of offence: _____

Penalty imposed (if any): _____

Date of conviction or trial: _____

Name and place of court in which the offence was tried: _____

Court reference (if any): _____

- (3) Have you ever been a party to any civil litigation, other than arising from a traffic accident, in Hong Kong or elsewhere? Yes/No*

If yes, please provide the following information:

Name of plaintiff, defendant and third party (if any): _____

Nature of litigation and outcome (with dates): _____

Name and place of court where proceedings commenced: _____

- (4) Other than those listed under question (3), if any, have you ever been, or are you presently, or do you expect to be engaged in any litigation in Hong Kong or elsewhere? Yes/No*

If yes, please provide the following information:

Name of the parties involved: _____

Date and place of litigation: _____

Nature of litigation: _____

- (5) Have you, in Hong Kong or elsewhere, ever been dismissed from any office or position, subject to disciplinary proceedings or barred from entry to any profession or occupation? Yes/No*

If yes, please provide the following information:

Name of the organization

taking action: _____

Nature of the action

taken/proceedings: _____

Outcome (if applicable): _____

Date of action/proceedings: _____

Reason for action/proceedings: _____

- (6) Have you ever been refused the right or restricted in the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required by law in any place? Yes/No*

If yes, please provide the following information:

Name of the organization: _____

Address of the organization: _____

Action taken by the organization: _____

Date of such action: _____

Reason for such action: _____

- (7) Have you ever been disqualified, censured or disciplined by any professional body or by any regulatory body in Hong Kong or elsewhere? Yes/No*

If yes, please provide the following information:

Name of the organization taking
disciplinary action: _____

Nature of the disciplinary action: _____

Outcome (if applicable): _____

Date of disciplinary action: _____

Reason for disciplinary action: _____

- (8) Have you ever been disqualified by a court of competent jurisdiction from being a trustee or a controller of a company? Yes/No*

If yes, please provide the following information:

Name and place of court: _____

Reason for disqualification
(with dates): _____

- (9) Do you have any record of non-compliance with any non-statutory codes or guidelines promulgated by any regulator in Hong Kong or any relevant overseas authority? Yes/No*

If yes, please provide the following information:

Name and place of
regulatory/authority: _____

Details of non-compliance
(with dates): _____

- (10) Have you ever failed to meet any judgement debts, judgements or courts orders for the payment of damages, or other sums of money, in Hong Kong or elsewhere, outstanding against you? Yes/No*

If yes, please provide the following information:

Current status: _____

Outcome: _____

Amount involved: _____

- (11) Have you ever been adjudicated bankrupt by a court or are you currently subject to bankruptcy proceedings or a bankrupt who has been discharged; or have you ever entered into any scheme of arrangement or any form of composition with the creditors, in Hong Kong or elsewhere? Yes/No*

If yes, please provide the following information:

Name and place of adjudication: _____

Court of adjudication: _____

If discharged, the date of
discharge and conditions (if any): _____

- (12) Have you, as a controller, ever been concerned with a body corporate, partnership or unincorporated institution which was wound up (other than voluntary dissolution), adjudicated bankrupt by a court or was otherwise insolvent or had a receiver or administrator appointed, or was the subject of any investigation by inspector, the police, or by any professional body, association, disciplinary tribunal or inspector appointed under any enactment, or by any other regulatory body in relation to any of its businesses in Hong Kong or elsewhere? Yes/No*

If yes, please provide the following information:

Name of the body corporate/
partnership/unincorporated institution: _____

Date of event: _____

Details of event: _____

Name of the organization undertaking
investigation: _____

Nature of investigation: _____

Summary of findings (with dates): _____

- (13) Have you, as a controller, ever been concerned with a body corporate, partnership or unincorporated institution which was convicted of any offence; or censured, disciplined or reprimanded by, or denied or disqualified from membership of, a professional or trade body; or whose authorization or registration or similar type of approval has ever been refused, suspended or revoked by a regulatory body? Yes/No*

If yes, please provide the following information:

Name of the body corporate/
partnership/unincorporated institution: _____

Nature and date of event: _____

Details of event: _____

Name of the court/body: _____

SECTION IV - DETAILS OF APPOINTMENT

(1) Proposed appointment

- (A) Name of scheme: _____
- (B) Name of employer: _____
- (C) Business address of employer: _____

- (D) Telephone number of employer: _____
- (E) Fax number of employer: _____
- (F) Proposed date of appointment: _____
- (G) Is the applicant to act as an independent trustee of the scheme: Yes/No*
- (H) Is the applicant an employee of the employer of the scheme: Yes/No*
- (I) Has an application in respect of the scheme registration been made to the Authority: Yes/No*
- If yes, please state:
- Date of application: _____
- Application no.: _____

SECTION V - DOCUMENTS TO BE ATTACHED

| Documents | Attachment No. |
|--|-----------------------|
| (1) An undertaking to the Authority in compliance with section 20(6)(b) of the Ordinance | |
| (2) Evidence of performance guarantee entered into/proposed to enter into, if available | |

SECTION VI - DECLARATION

I certify that I have read the Notes on Personal Information Collection and understand my rights and obligations in relation to the supply of personal data to the Authority and the manner in which the Authority may use or deal with the data.

I declare that to the best of my knowledge and belief, the information given in this application form is correct and complete. ✦

I certify that the documents attached to this application are true and correct copies.

I 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, I undertake to notify the Authority of any material changes to, or affecting the completeness or accuracy of, the information provided in this Form and any documents in relation to the application as soon as possible.

Name of applicant: _____

Signature: _____

Date of application: _____

✦ **Warning:** Section 43E of the Ordinance makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 on the first occasion and two years' imprisonment and a fine of \$200,000 on each subsequent occasion for a person who 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.

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

Name: _____

Telephone no.: _____