

FORM S

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

**APPLICATION FOR REGISTRATION OF SCHEME
(PART A)
(INFORMATION RELATING TO THE SCHEME)**

NOTES:

- (1) The applicant making an application for registration of a provident fund scheme under section 21 of the Ordinance should refer to Guidelines on Application for Registration of Provident Fund Schemes.*
 - (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.*
-
-

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 - THE SCHEME

- (1) Name of the Scheme
(in English): _____

(in Chinese): _____
- (2) Type of the Scheme:
- Employer sponsored scheme (please fill in FORM S(E) if the Scheme is an employer sponsored scheme)
- Master trust scheme
- (3) Proposed financial year end date of the Scheme:

--	--	--	--

Day Month
- (4) Will the Scheme be governed by the law of Hong Kong? Yes No

SECTION II - TRUSTEE(S) OF THE SCHEME

- (1) No. of trustee(s): _____
- (2) Name of trustee(s) of the Scheme: _____

SECTION III - CUSTODIAN(S)1 OF THE SCHEME ASSETS**

- (1) Does the trustee act as a custodian of the assets of the Scheme? Yes **2 No
- (2) (If the answer to (1) is “Yes”) Besides the trustee of the Scheme who also acts as a custodian, has one or more custodians of the assets of the Scheme been appointed or will one or more custodians of the assets of the Scheme be appointed? Yes No

- (3) (If the answer to (1) is “No”, or if the answer to (2) is “Yes”)
Please state:

(A) No. of custodian(s) appointed or to be appointed:

(B) Name of custodian(s) appointed or to be appointed:

**** 1.** *For the purpose of this Form, “custodian”, in relation to the assets of a registered scheme, includes:*

(a) *the person appointed by the approved trustee as a custodian of the scheme assets; and*

(b) *the approved trustee of the scheme who also acts as a custodian of the scheme assets,*

but does not include a sub-custodian.

**** 2.** *Please submit a deed of undertaking in accordance with section 69 of the Mandatory Provident Fund Schemes (General) Regulation (the Regulation).*

SECTION IV - INVESTMENT MANAGER(S) OF THE SCHEME

- (1) Has the trustee of the Scheme appointed or proposed to appoint an investment manager of the Scheme? Yes No

- (2) If the trustee of the Scheme has appointed or proposed to appoint one or more investment managers, please state:

(A) No. of investment manager(s) appointed or to be appointed:

(B) Name of investment manager(s) appointed or to be appointed:

SECTION V - CONSTITUENT FUND(S) OF THE SCHEME

- (1) No. of constituent fund(s) in the Scheme: _____
- (2) Name and approval information** of constituent fund(s) in the Scheme: _____

** *If the constituent fund has been approved by the Mandatory Provident Fund Schemes Authority (the Authority), please state the relevant approval no. If the constituent fund has not been approved by the Authority, please state whether an application for approval has been submitted to the Authority and state the relevant application no., if any.*

SECTION VI - ADMINISTRATOR OF THE SCHEME

- (1) Has an administrator been appointed or proposed to be appointed to administer the Scheme? Yes No
- (2) (If the answer to (1) is “Yes”) Please state:
- (A) Name of administrator appointed or proposed to be appointed to administer the Scheme: _____
- (B) Has FORM TC(A) regarding information of the administrator of the Scheme been submitted in the application for approval of trustee(s)? Yes No

** *Please submit a completed FORM TC(A) to provide the information of the administrator of the Scheme.*

SECTION VII - DOCUMENTS TO BE ATTACHED TO THIS APPLICATION

	If "YES", specify		Not Applicable
	Yes	no. of form(s) attached	
(1) <i>(For employer sponsored schemes)</i> Completed FORM S(E) for information relating to the employer sponsoring the Scheme and the employers who will participate in the Scheme.	<input type="checkbox"/>	_____	<input type="checkbox"/>
(2) Completed FORM S(T) for information relating to the trustee(s) of the Scheme.	<input type="checkbox"/>	_____	<input type="checkbox"/>
(3) <i>(For schemes that have appointed or have proposed to appoint custodians)</i> Completed FORM S(C) for information relating to the custodian(s) of the Scheme.	<input type="checkbox"/>	_____	<input type="checkbox"/>
(4) <i>(For schemes that have appointed or have proposed to appoint investment managers)</i> Completed FORM S(M) for information relating to the investment manager(s) of the Scheme.	<input type="checkbox"/>	_____	<input type="checkbox"/>
(5) <i>(For schemes that have appointed or have proposed to appoint administrators but have not submitted FORM TC(A) in the application for approval of trustees)</i> Completed FORM TC(A) for information relating to the administrator of the Scheme.	<input type="checkbox"/>	_____	<input type="checkbox"/>
(6) An undertaking by the applicant to the Authority regarding compliance with requirements and standards stipulated under section 22 of the Regulation.	<input type="checkbox"/>		<input type="checkbox"/>
(7) A statement setting out the investment policy (including the investment objectives) of the Scheme in accordance with section 24 of the Regulation.	<input type="checkbox"/>		<input type="checkbox"/>
(8) A copy of the governing rules or proposed governing rules that are going to govern the Scheme.	<input type="checkbox"/>		<input type="checkbox"/>
(9) A checklist showing the clause nos. of the governing rules of the Scheme that meet the requirements and standards stipulated in Part 4 of the Regulation.	<input type="checkbox"/>		<input type="checkbox"/>
(10) Statement(s) showing the control objectives, and the internal control procedures for achieving the control objectives, of the Scheme.	<input type="checkbox"/>		<input type="checkbox"/>
(11) <i>(For schemes of which the trustees also act as custodians of the assets of the schemes)</i> Deed of undertaking by the trustee in accordance with section 69 of the Regulation.	<input type="checkbox"/>		<input type="checkbox"/>

SECTION VIII - DECLARATION

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

We certify that the documents attached to this application 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 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 Form and any documents in relation to the application as soon as possible.

Name of applicant:

Signature and company chop (if any):

Name of persons signing:

Title or position of the persons signing:

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.:
