

**FORM S(M)**

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

**APPLICATION FOR REGISTRATION OF SCHEME  
(PART E)  
(INFORMATION RELATING TO  
THE INVESTMENT MANAGER OF THE SCHEME)**

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**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.*

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**FOR OFFICIAL USE ONLY**

**Application no.:** \_\_\_\_\_ **Date application received:** \_\_\_\_\_

**Subject officer:** \_\_\_\_\_ **Input officer:** \_\_\_\_\_

**SECTION I - THE SCHEME**

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

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**SECTION II - THE INVESTMENT MANAGER**

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

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(in Chinese, if any)

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

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

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

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(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 a copy of 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)	A copy of certificate of incorporation	
(2)	Copies of certificates of registration with the SFC and other regulatory authorities	
(3)	A copy of 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 VI - DECLARATION**

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

We certify that the documents attached to this Form 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 Form and any documents in relation to the application 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'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.: \_\_\_\_\_