

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**Application for Registration as a Principal Intermediary****Form INT-1**
PI-Application

(under section 34T(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

Section I – PARTICULARS OF APPLICANT	
Name in English	
Name in Chinese <i>(if any)</i>	
Business Registration No.	
Address of Principal Place of Business in Hong Kong (English)	<p>_____</p> <p><i>(Flat/Room) (Floor) (Block) (Name of Building)</i></p> <p>_____</p> <p><i>(Number & Name of Street) (District)</i></p> <p>HK / KLN / NT <i>*(Please delete as appropriate)</i></p>
Address of Principal Place of Business in Hong Kong (Chinese)	<p>_____</p> <p><i>(Flat/Room) (Floor) (Block) (Name of Building)</i></p> <p>_____</p> <p><i>(Number & Name of Street) (District)</i></p> <p>HK / KLN / NT <i>*(Please delete as appropriate)</i></p>
Address of Registered Office <i>(if different from the Address of Principal Place of Business in Hong Kong)</i>	<p>_____</p> <p><i>(Flat/Room) (Floor) (Block) (Name of Building)</i></p> <p>_____</p> <p><i>(Number & Name of Street) (District)</i></p> <p>HK / KLN / NT <i>*(Please delete as appropriate)</i></p>
Correspondence Address <i>(if different from the Address of Principal Place of Business in Hong Kong)</i>	<p>_____</p> <p><i>(Flat/Room) (Floor) (Block) (Name of Building)</i></p> <p>_____</p> <p><i>(Number & Name of Street) (District)</i></p> <p>HK / KLN / NT <i>*(Please delete as appropriate)</i></p>
Telephone No.	
Fax No.	
Email Address	

Section II – PARTICULARS OF PERSON(S) PROPOSED TO BE APPOINTED AS RESPONSIBLE OFFICER(S)

(If there is insufficient space, please continue on a separate sheet)

Name in English (same as HKID Card)	1.	2.
Name in Chinese (if any) (same as HKID Card)	1.	2.
HKID Card No.	1.	2.
MPF Registration No. (if any)	1.	2.

Section III – COMPLIANCE OFFICER INFORMATION

Name (same as HKID Card)	(English) _____ (Surname) (Other Names)	(Chinese) (if any) _____ (Surname) (Other Name)
Position held		
Telephone No.		
Fax No.		
Email Address		

Section IV – CONTACT PERSON INFORMATION (IF DIFFERENT FROM COMPLIANCE OFFICER INFORMATION)

Name (same as HKID Card)	(English) _____ (Surname) (Other Names)	(Chinese) (if any) _____ (Surname) (Other Name)
Position held		
Office Address (if different from the Address of Principal Place of Business of the Applicant)	_____ (Flat/Room) (Floor) (Block) (Name of Building) _____ (Number & Name of Street) (District) HK / KLN / NT *(Please delete as appropriate)	
Telephone No.		
Fax No.		
Email Address		

Section V – QUALIFICATION(S) AS A “TYPE A REGULATEE”

(Please tick **ALL** qualifications as a Type A regulatee **currently** possessed by your corporation.)

Securities and Futures Commission Regime

Licensed Corporation (Type 1 and/or Type 4)

Hong Kong Monetary Authority Regime

Authorized Financial Institution (Type 1 and/or Type 4)

Insurance Authority Regime

Authorized Long Term Insurer

Licensed Long Term Insurance Broker Company

Section VI – FURTHER INFORMATION OF APPLICANT

1. Have any of your qualifications as a Type A regulatee, currently or formerly possessed by your corporation, been revoked on disciplinary grounds under circumstances as specified in s34J(1) of the MPFSO within one year immediately before the date of signing this application?
Yes/No*
2. Do you have any of your qualifications as a Type A regulatee, that is currently possessed by your corporation, currently suspended under circumstances as specified in s34J(2) of the MPFSO?
Yes/No*
3. Has your registration as an MPF registered intermediary (if any) ever been revoked by the MPFA under s34ZW(3)(a)(i) of the MPFSO within one year immediately before the date of signing this application?
Yes/No*
4. Has your corporation ever been disqualified by the MPFA under s34ZW(3)(a)(ii) of the MPFSO from being registered as an intermediary for carrying on regulated activities?
Yes/No*

* (please delete as appropriate)

Section VII – DECLARATION		
<p>We, the above-named applicant, hereby</p> <ol style="list-style-type: none"> declare that to the best of our knowledge and belief, all information given in this application (including this Form and all attachments) is correct and complete. † agree to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in support of this application. agree to, before this application is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application (including this Form and all attachments). declare that the board of directors / the partnership has passed a resolution approving this application. understand that s34ZE(5) of the MPFSO makes it an offence for a person who, without reasonable excuse, fails to give the MPFA a notice in writing of any cessation, change, acquisition or suspension in relation to principal intermediary referred to in s34ZE(1) of the MPFSO within seven working days after it occurs. 		
Name of Authorized Signatory <i>(same as HKID Card)</i> <i>(The Authorized Signatory must be a sole proprietor, partner or director of the Applicant.)</i>	1.	2.
Capacity	Sole Proprietor / Partner / Director* Authorized by the Applicant <i>*(Please delete as appropriate)</i>	Sole Proprietor / Partner / Director* Authorized by the Applicant <i>*(Please delete as appropriate)</i>
Authorized Signature ¹	1.	2.
Date of Signature ²		

† **Warning:** Section 43E(1) of the MPFSO 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.

Section VIII – CONSENT / AUTHORIZATION
<p>We, _____ <i>(Name of the Applicant)</i></p> <p>Business Registration No.: _____, hereby</p> <ol style="list-style-type: none"> certify that we have read the attached Personal Information Collection Statement (PICS) and understand our rights and obligations in relation to the personal data provided by us to the MPFA and consent to the manner in which the personal data may be used or dealt with as specified in the PICS; consent to the MPFA using, disclosing or transferring information (including personal data where applicable) and materials provided or to be provided by us or relating to us which are obtained by the MPFA in the exercise or performance of its functions (whether obtained in application(s), notification(s), annual return(s), complaints handling, investigation, disciplinary proceedings, enforcement or otherwise) (the Relevant Information) in a manner similar to that for personal data mentioned in the PICS;

¹ Please see *Explanatory Note 1* on the signing requirements.

² Please see *Explanatory Note 2*.

3. **consent** to the MPFA disclosing or transferring the Relevant Information to each and all of the Insurance Authority, the Hong Kong Monetary Authority and the Securities and Futures Commission (the three regulators), even if we do not possess any qualification capacity under all of the three regulators, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application and other applications relating to us, our ongoing registration as an MPF intermediary or any purpose incidental thereto;
4. **consent** to the MPFA disclosing or transferring the Relevant Information to any panel or committee established by the Chief Executive or the Financial Secretary for the purpose of reviewing or advising on procedural or policy matters in relation to the performance or exercising of the MPFA’s functions;
5. **consent** to the three regulators disclosing and transferring to the MPFA information (including but not limited to personal data where applicable) and materials provided or to be provided by us or relating to us, whether obtained by them in their respective regimes or not, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application or other applications relating to us, our ongoing registration as an MPF intermediary or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
6. **consent** to the MPFA and/or the three regulators comparing, verifying or carrying out matching procedure (as defined in the Personal Data (Privacy) Ordinance) on information (including but not limited to personal data where applicable) disclosed or transferred to them under (3) or (5) above (as the case may be) with information (including personal data where applicable) held or to be held by them; and
7. **understand** that the results of the comparison verification or matching procedure mentioned above (including those mentioned in the PICS where applicable) may result in the MPFA rejecting this application or other application(s) relating to us and where applicable, suspension or revocation of our registration as an MPF intermediary, suspension or revocation of approval of attachment of subsidiary intermediary/intermediaries to us, suspension or revocation of approval of our responsible officer(s), updating of the register of intermediaries for regulated activities, the MPFA exercising any power under the MPFSO and/or other regulators exercising any power under the MPFSO or their respective regimes.

Name of Authorized Signatory <i>(same as HKID Card)</i> <i>(The Authorized Signatory must be a sole proprietor, partner or director of the applicant.)</i>	1.	2.
Capacity	Sole Proprietor / Partner / Director* Authorized by the Applicant <i>*(Please delete as appropriate)</i>	Sole Proprietor / Partner / Director* Authorized by the Applicant <i>*(Please delete as appropriate)</i>
Authorized Signature ³	1.	2.
Date of Signature ⁴		

For Official Use Only					
Application No.			MPF Registration No.		
Receipt Date			MPF Registration Date		
Input Officer		Checking Officer		Approving Officer	

³ Please see *Explanatory Note 1* on the signing requirements.

⁴ Please see *Explanatory Note 2*.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

Application for Registration as a Principal Intermediary

Notes on Completion of this Form

1. Please read the *Handbook on MPF Intermediary Registration* (available at the Mandatory Provident Fund Schemes Authority (MPFA) website - www.mpfa.org.hk) and the *Personal Information Collection Statement* below before completing this Form.
2. All boxes must be completed. If it is not applicable, please write "N/A".
3. A copy of the relevant business registration certificate must accompany this Form. In the case of a limited company, a copy of the certificate of incorporation or the certificate of registration if an overseas company, must accompany this Form.
4. Please note that an application will not be approved if any of the statutory requirements is not satisfied. Such requirements include but are not limited to the applicant being a Type A regulatee of an industry regulator at the time of submitting the application.
5. Please note that this Form must be submitted together with [Form INT-2] (registration as a subsidiary intermediary and approval of attachment of a subsidiary intermediary to a principal intermediary) and [Form INT-4] (approval as a responsible officer) if an individual who will act as a responsible officer has not yet been registered as a subsidiary intermediary. If an individual who will act as a responsible officer has already been registered as a subsidiary intermediary, then this Form should be submitted together with [Form INT-5] for approval of attachment of the subsidiary intermediary to the applicant and [Form INT-4] (approval as a responsible officer).
6. Please initial any amendments made in this Form.
7. Please note that the MPFA may require further information and/or documentary evidence in support of the application when necessary.
8. Please also note that some of the information provided in the application form may appear in a public register of intermediaries for regulated activities.
9. The application fee is HK\$2,340. Please make the payment by a crossed cheque in Hong Kong dollar payable to "MPFA Administration Account" or such other electronic payment methods as provided by the MPFA from time to time.

Please staple your cheque here (Cheque no.: _____) and write down the following information of the applicant on the back of the cheque:

- name***
 - day time contact number***
-

Explanatory Notes

1. Signature Requirements
This application form must be signed by:
 - (a) a sole-proprietor if the applicant is in form of a sole-proprietorship;
 - (b) two partners if the applicant is in form of a partnership;
 - (c) a director of the applicant if the applicant is in form of a limited company with a sole director; and
 - (d) two directors authorized by the board of directors of the applicant if the applicant is in form of a limited company with two or more directors.
2. Please note that the dates of the signatures in Sections VII and VIII must be within two months prior to the submission date of this Form. If there is any delay in submitting this application to the MPFA after signing, supplemental information or confirmation in writing may be required from the applicant and where applicable, the relevant parties, and that may delay the processing of the application.

Personal Information Collection Statement

This Personal Information Collection Statement is made in accordance with the Personal Data (Privacy) Ordinance (PDPO) (Cap 486). You are advised to read the following regarding your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the Mandatory Provident Fund Schemes Authority (MPFA) may use or deal with such data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in support of an application for the registration as an MPF intermediary and/or an application for approval of attachment of a subsidiary intermediary to a principal intermediary/corporation seeking to be a principal intermediary and/or an application for approval of an individual as a responsible officer and/or any other form of application and/or pursuant to the MPFA's request for information (as the case may be) will be used by the MPFA for one or more of the following purposes:
 - (a) exercising or performing its functions under the Mandatory Provident Fund Schemes Ordinance (MPFSO) including but not limited to ensuring compliance with the MPFSO, regulating sales and marketing activities and the giving of advice in relation to registered schemes, registration of MPF intermediaries, granting approval of responsible officers and related matters, inspection, investigation, and taking disciplinary or enforcement action;
 - (b) processing any application made by you under the MPFSO;
 - (c) considering any application made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);
 - (d) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;
 - (e) establishing and keeping a public register of MPF intermediaries for regulated activities;
 - (f) for research and statistical purposes; and
 - (g) other purposes as permitted by law.
2. It is obligatory for you to supply your personal data as requested in the Application for Registration as a Principal Intermediary in processing your application. Failure to supply the requested personal data may result in refusal of your application and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

Transfer / Matching of Personal Data

3. The MPFA may disclose or transfer the personal data to other persons including the bodies listed below for one or more of the aforesaid purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, or pursuant to any regulatory or investigatory assistance arrangements between the MPFA and other regulators or law enforcement agents:
 - (a) the Hong Kong Monetary Authority;
 - (b) the Insurance Authority;
 - (c) the Securities and Futures Commission;
 - (d) examination bodies for conducting qualifying examinations;
 - (e) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;
 - (f) the Chief Executive;
 - (g) the Financial Secretary;
 - (h) the Commissioner of Inland Revenue;

- (i) the Official Receiver appointed under the Bankruptcy Ordinance (Cap 6);
 - (j) liquidator appointed under the pre-amended Ordinance (as defined in the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap 32)) or the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap 32);
 - (k) the Registrar of Occupational Retirement Schemes;
 - (l) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap 588);
 - (m) the Hong Kong Police Force;
 - (n) any relevant courts, panels, tribunals and committees; and
 - (o) other law enforcement agents or government/regulatory bodies.
4. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the regulators listed in paragraph 3 (a), (b) and (c) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

Public Register

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain whether he/she is dealing with a regulated person (including MPF intermediary) in matters of or connected with any regulated activity or the approval of an individual as a responsible officer of a principal intermediary, a member of the public may inspect the register or may inspect a reproduction of any information recorded in the register in a legible form (as the case may be), free of charge. A member of the public may also on payment of a prescribed fee obtain a copy or a certified true copy of an entry in or extract of the register.

Access to Personal Data

6. You are entitled under the PDPO to ascertain whether the MPFA holds personal data relating to you, and to request access to or to request the correction of any personal data relating to you held by the MPFA, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the Personal Data Privacy Officer of the MPFA at Level 12, Tower 1, The Millennium, 98 How Ming Street, Kwun Tong, Hong Kong.