

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

Form INT-5 Change Attachment

**Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary /
Application for Approval of Attachment of a Subsidiary Intermediary to a Principal
Intermediary (Form to be completed by Principal Intermediary/Corporation seeking to be a
Principal Intermediary)**

(under section 34ZG(2)/section 34V(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

Name of Principal Intermediary / Corporation Seeking to be a Principal Intermediary*:

**(Please delete as appropriate)*

MPF Registration No. (if any) / Business Registration No. if there is no MPF Registration No.:

Section I – SUBSIDIARY INTERMEDIARIES (INDIVIDUALS) WHO CEASE TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY					
<i>(If there is insufficient space, please continue on a separate sheet.)</i>					
No.	Name <i>(same as HKID Card for individuals)</i> <i>(in alphabetical order)</i>		MPF Registration No.	Effective Date for Withdrawal of Consent by the Principal Intermediary, for the attachment of its subsidiary intermediaries <i>(The Effective Date must not be earlier than the Date on which this notice is given to the MPFA (Notification Date)¹. If the Effective Date stated is earlier than the Notification Date to the MPFA, then the Notification Date will be treated as the Effective Date.)</i>	Responsible Officer (Yes /No)
	Surname	Other Names			
Total number of subsidiary intermediaries who cease to be attached					

¹ Please refer to *Explanatory Note 1*.

Section II – SUBSIDIARY INTERMEDIARIES (LICENSED LONG TERM INSURANCE AGENCIES) WHO CEASE TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY

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

No.	Name <i>(in alphabetical order)</i>	MPF Registration No.	Effective Date for Withdrawal of Consent by the Principal Intermediary, for the attachment of its subsidiary intermediaries <i>(The Effective Date must not be earlier than the Date on which this notice is given to the MPFA (Notification Date)². If the Effective Date stated is earlier than the Notification Date to the MPFA, then the Notification Date will be treated as the Effective Date.)</i>
Total number of subsidiary intermediaries which cease to be attached			

² Please refer to Explanatory Note 1.

Section III – SUBSIDIARY INTERMEDIARIES (INDIVIDUALS) TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY³

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

No.	Name (same as HKID Card) (in alphabetical order)		MPF Registration No.	Qualification(s) as a Type B Regulatee ⁴	Central Entity Number/HKMA Registration Number/Licence Number of the Subsidiary Intermediary ⁵	To act as Responsible Officer (Yes/No) (If yes, "Form INT- 4 RO-Application" should also be completed to apply for approval of the subsidiary intermediary as a responsible officer.)
	Surname	Other Names				
Total number of subsidiary intermediaries to be attached						

Section IV – SUBSIDIARY INTERMEDIARIES (LICENSED LONG TERM INSURANCE AGENCIES) TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY³

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

No.	Name (in alphabetical order)	MPF Registration No.	Qualification(s) as a Type B Regulatee ⁴	Central Entity Number/HKMA Registration Number/Licence Number of the Subsidiary Intermediary ⁵

³ Including those subsidiary intermediaries to be newly attached within 90 days of the cessation of their last attachment or to be attached to an additional principal intermediary.

⁴ Please refer to *Explanatory Note 2*.

⁵ Means the Central Entity Number, HKMA Registration Number and Licence Number granted under the regime of the Securities and Futures Commission, the Hong Kong Monetary Authority and the Insurance Authority respectively to the subsidiary intermediary who is a Type B Regulatee of an industry regulator.

Total number of subsidiary intermediaries to be attached				

Section V – DECLARATION BY PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY

1. **For the cessation of the attachment of subsidiary intermediaries:**
 We, the abovenamed Principal Intermediary, hereby **give notice** of our withdrawal of consent to the subsidiary intermediaries listed in Section I/II being intermediaries carrying on regulated activities for our corporation.
2. **For subsidiary intermediaries to be attached to the principal intermediary:**
 - (a) We, the abovenamed Principal Intermediary / Corporation Seeking to be a Principal Intermediary* (*delete as appropriate*), hereby **apply** for approval of attachment of the subsidiary intermediaries listed in Section III/IV to our corporation for carrying on regulated activities.
 - (b) We **give our consent** to the subsidiary intermediaries listed in Section III/IV being intermediaries to carry on regulated activities for our corporation.
 - (c) We **certify** that these subsidiary intermediaries to be attached to our corporation are employed by, or act as agents or representatives for our corporation.
 - (d) We **declare** that these subsidiary intermediaries are Type B regulatees of an industry regulator that is the frontline regulator of our corporation (applicable to registered principal intermediary only).
 - (e) We **agree to**, before this application for approval of attachment is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in support of this application for approval of attachment.
3. We **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.
4. We **declare** that to the best of our knowledge and belief, the information given in this Form (including attachments) is correct and complete.✦
5. We **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 this Form.

Name of Authorized Signatory (<i>same as HKID Card</i>) (Responsible Officer of / Person Authorized by the Principal Intermediary; Person Authorized by the Corporation Seeking to be a Principal Intermediary; AND/OR Sole-proprietor / Partner / Director authorized by the Principal Intermediary in the situation where <u>one or more responsible officer(s) cease(s) to be</u> <u>attached to the Principal Intermediary</u>)* <i>*(Please delete as appropriate)</i>	
Position held	
Authorized Signature	
Date of Signature ⁶	

⁶ Please see *Explanatory Note 3*.

★ **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.

For Official Use Only					
Application No.					
Receipt Date			Date of Updating		
Input Officer		Checking Officer		Approving Officer	

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY**Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary / Application for Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary (Form to be completed by Principal Intermediary / Corporation seeking to be a Principal Intermediary)****Notes on Completion of this Form**

1. This Form is to be completed by a principal intermediary to notify the Mandatory Provident Fund Schemes Authority (MPFA) of withdrawal of its consent to a Subsidiary Intermediary for carrying on regulated activities for the Principal Intermediary / for applying for approval of attachment of a Subsidiary Intermediary to the Principal Intermediary / Corporation seeking to be a Principal Intermediary for the purpose of carrying on regulated activities.
2. Please read the *Handbook on MPF Intermediary Registration* (available at the MPFA website - www.mpfa.org.hk) and the *Personal Information Collection Statement* below before completing this Form.
3. Please initial any amendments made in this Form.
4. Please note that the MPFA may require further information and/or documentary evidence in support of the withdrawal of consent to a Subsidiary Intermediary and/or the application for approval of attachment of a Subsidiary Intermediary.
5. Please also note that some of the information provided in the notification / application may appear in a public register of intermediaries for regulated activities.
6. For application for approval of attachment of a subsidiary intermediary to a principal intermediary, the application fee for each application in respect of each of the subsidiary intermediaries named in sections III and IV of this Form is HK\$130. 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.
7. No fee is currently charged for notification of a principal intermediary's withdrawal of consent to a subsidiary intermediary.

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*
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Explanatory Notes

1. For a notification of withdrawal of consent given under this Form, the notification date is, in general, the date on which the MPFA **receives** this Form.
2. Please provide information on all Type B qualifications which the subsidiary intermediary currently possesses.

Sections III and IV must be completed by using the following code(s):

Regime	Code
Securities and Futures Commission Regime	
Licensed Representative (Type 1 and/or Type 4)	RA
Hong Kong Monetary Authority Regime	
Relevant Individual (including Executive Officer) (Type 1 and/or Type 4)	REI
Insurance Authority Regime	
Licensed Long Term Individual Insurance Agent	LAP
Licensed Long Term Insurance Agency	LAC
Licensed Long Term Technical Representative (Agent)	TRA
Licensed Long Term Technical Representative (Broker)	TRB

3. For an application for approval of attachment made under this Form, the date of the signature in Section V must be within two months prior to the submission date of this Form. If there is any delay in submitting the 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 approval of attachment of a subsidiary intermediary to a principal intermediary/corporation seeking to be a principal intermediary and/or notification of principal intermediary's withdrawal of consent to a subsidiary intermediary 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 or notification made by you under the MPFSO;
 - (c) considering any application or notification made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);
 - (d) establishing or operating an electronic system(s) for use for the purposes of the MPFSO and providing related services to its users;
 - (e) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;
 - (f) establishing and keeping a public register of MPF intermediaries for regulated activities;
 - (g) for research and statistical purposes; and
 - (h) other purposes as permitted by law.
2. It is obligatory for you to supply your personal data as requested in the Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary / Application for Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary in processing your application or notification. Failure to supply the requested personal data may result in refusal of your application or notification or request of the use of the electronic system, 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.