

Annual Return



Annual Return to be Delivered by MPF Principal Intermediary
For the Period 1 January to 31 December

Section 34ZO of the Mandatory Provident Fund Schemes Ordinance (Cap 485)

SECTION I - PARTICULARS OF THE MPF PRINCIPAL INTERMEDIARY

Name in English:	
Name in Chinese (if any):	
MPF Registration No.:	
Name of Contact Person:	<input type="text"/>
Telephone No. of Contact Person:	<input type="text"/>
E-mail Address of Contact Person:	<input type="text"/>

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SECTION II - BUSINESS INFORMATION

A

During the reporting period, did your company (including the subsidiary intermediaries attached to your company) carry on any MPF regulated activities as defined in section 34F of the Mandatory Provident Fund Schemes Ordinance (MPFSO)?

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If “No” is selected in SECTION II Question A, please proceed to SECTION IV-DECLARATION.

Yes

No

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SECTION II - BUSINESS INFORMATION

B

Did your company (including the subsidiary intermediaries attached to your company) provide regulated advice on MPF schemes and/or constituent funds as defined in section 34F of the MPFSO?

Provided Regulated Advice on	Employer (Yes / No)	Employee/ Personal Account Holder/ TVC Account ^{Note1} Holder (Yes / No)	Self-Employed Person (Yes / No)
MPF Schemes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Constituent Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Yes

No

“TVC account” is an account in an MPF scheme opened by a person under section 11A of the MPFSO and into which Tax Deductible Voluntary Contributions (TVC) are paid and in which the member’s benefits derived from those TVC and the TVC transferred to the account from another TVC account are held.

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SECTION II - BUSINESS INFORMATION

C

Please provide the names of all MPF scheme(s) for the purpose of section 34F(5) of the MPFSO when your company (including the subsidiary intermediaries attached to your company) carried on regulated activities during the reporting period:

	Name of MPF Scheme(s)	Is this the First Reporting Period for Reporting this Scheme under this Section II C? (Yes / No)
<input type="checkbox"/>	<input type="text"/>	<input type="text"/> Yes / No

[Add | Delete]

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AIA MPF - Prime Value Choice
 AMTD MPF Scheme
 BCOM Joyful Retirement MPF Scheme
 BCT (MPF) Industry Choice
 BCT (MPF) Pro Choice
 BCT Strategic MPF Scheme
 BEA (MPF) Industry Scheme
 BEA (MPF) Master Trust Scheme
 BEA (MPF) Value Scheme
 BOC-Prudential Easy-Choice Mandatory Provident Fund Scheme
 China Life MPF Master Trust Scheme
 Fidelity Retirement Master Trust

Haitong MPF Retirement Fund
 Hang Seng Mandatory Provident Fund - SuperTrust Plus
 HSBC Mandatory Provident Fund - SuperTrust Plus
 Manulife Global Select (MPF) Scheme
 Manulife RetireChoice (MPF) Scheme
 MASS Mandatory Provident Fund Scheme
 My Choice Mandatory Provident Fund Scheme
 Principal MPF - Simple Plan
 Principal MPF - Smart Plan
 Principal MPF Scheme Series 800
 SHKP MPF Employer Sponsored Scheme
 Sun Life Rainbow MPF Scheme

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Group of companies means any two or more companies or bodies corporate, one of which is the holding company of the other or others.

SECTION I SECTION II SECTION III SECTION IV Summary Confirmation

SECTION II - BUSINESS INFORMATION

D

Please provide the names of the top five MPF schemes, in terms of the number of forms ^{Note2} submitted to approved trustees (or, where an electronic MPF system has been designated in accordance with the MPFSO, to the approved trustees or the system operator of the electronic MPF system) involving regulated activities carried on by your company (including the subsidiary intermediaries attached to your company) during the reporting period:

Name of MPF Scheme(s)	Indicate "Yes" if Your Company / Group Company ^{Note3} is the Sponsor of this Scheme	Insert the Range Code for the Number of Forms Submitted according to the Range Code Table ^{Note4}
<input type="checkbox"/> <input type="text"/>	<input type="checkbox"/>	<input type="text"/>
[Add Delete]	<div>Yes</div> <div>No</div>	

Same as the list of Name of MPF Scheme(s) in SECTION II C

The data required in Section II D and E are the following forms:

- "Employee Choice Arrangement (ECA) – Transfer Election Form" (Form MPF(S) – P(P)) or the equivalent forms submitted
- "Scheme Member's Request for Fund Transfer Form" (Form MPF(S) – P(M)) or the equivalent forms submitted
- "Scheme Member's Request for Account Consolidation Form" (Form MPF(S) – P(C)) or the equivalent forms submitted
- "Scheme Member's Request for Transfer of Tax Deductible Voluntary Contributions (TVC)" (Form MPF(S)-P(T)) or the equivalent forms submitted
- "Employer's Request for Fund Transfer Form" (Form MPF(S) – P(E)) or the equivalent forms submitted
- Forms submitted for setting up new plans for employers and self-employed persons
- Forms submitted for setting up new special voluntary contribution accounts
- Forms submitted for setting up new TVC accounts

A: 0
 B: 1–49
 C: 50–99
 D: 100–499
 E: 500–999
 F: 1 000–4 999
 G: 5 000–9 999
 H: 10 000–49 999
 I: 50 000–99 999
 J: 100 000 and above

Range Code Table

Number of Forms	0	1-49	50-99	100-499	500-999	1 000-4 999	5 000-9 999	10 000-49 999	50 000-99 999	100 000 and above
Range Code	A	B	C	D	E	F	G	H	I	J

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SECTION II - BUSINESS INFORMATION

E Please provide the following statistics covering the reporting period:

Type of Transaction	Insert the Range Code for the Number of Forms Submitted according to the Range Code Table ^{Note 4}
<p>1. Employee Choice Arrangement (ECA) transfer</p> <p>Please indicate the number of "Employee Choice Arrangement (ECA) – Transfer Election Form" (Form MPF(S) – P(P)) or the equivalent forms submitted to approved trustees (or, where an electronic MPF system has been designated in accordance with the MPFSO, to the approved trustees or the system operator of the electronic MPF system). (i.e. For transactions related to employees who transfer their accrued benefits from a contribution account to an elected account during employment.)</p>	<div></div>
<p>2. Fund transfer (not related to ECA)</p> <p>Please indicate the number of "Scheme Member's Request for Fund Transfer Form" (Form MPF(S) – P(M)) or the equivalent forms submitted to approved trustees (or, where an electronic MPF system has been designated in accordance with the MPFSO, to the approved trustees or the system operator of the electronic MPF system). (i.e. For transactions related to self-employed persons, personal account holders, or employees ceasing employment.)</p>	<div></div>

Range Code Table										
Number of Forms	0	1-49	50-99	100-499	500-999	1 000-4 999	5 000-9 999	10 000-49 999	50 000-99 999	100 000 and above
Range Code	A	B	C	D	E	F	G	H	I	J

- A: 0
- B: 1–49
- C: 50–99
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- E: 500–999
- F: 1 000–4 999
- G: 5 000–9 999
- H: 10 000–49 999
- I: 50 000–99 999
- J: 100 000 and above

<p>3. Personal account consolidation</p> <p>Please indicate the number of "Scheme Member's Request for Account Consolidation Form" (Form MPF(S) – P(C)) or the equivalent forms submitted to approved trustees (or, where an electronic MPF system has been designated in accordance with the MPFSO, to the approved trustees or the system operator of the electronic MPF system).</p> <p>(i.e. For transactions related to members' request for consolidating multiple personal accounts into one account.)</p>	<input type="text"/>	
<p>4. TVC account transfer</p> <p>Please indicate the number of "Scheme Member's Request for Transfer of Tax Deductible Voluntary Contributions (TVC)" (Form MPF(S) - P(T)) or the equivalent forms submitted to approved trustees (or, where an electronic MPF system has been designated in accordance with the MPFSO, to the approved trustees or the system operator of the electronic MPF system).</p>	<input type="text"/>	
<p>5. Employer level transfer</p> <p>Please indicate the number of "Employer's Request for Fund Transfer Form" (Form MPF(S) - P(E)) or the equivalent forms submitted to approved trustees (or, where an electronic MPF system has been designated in accordance with the MPFSO, to the approved trustees or the system operator of the electronic MPF system).</p>	<input type="text"/>	
<p>6. Setting up of new plans for employers and self-employed persons</p> <p>Please indicate the number of employer/self-employed persons application forms submitted to approved trustees (or, where an electronic MPF system has been designated in accordance with the MPFSO, to the approved trustees or the system operator of the electronic MPF system).</p>	<input type="text"/>	
<p>7. Setting up of new special voluntary contribution ^{Note 5} (SVC) accounts</p> <p>Please indicate the number of application forms - SVC submitted to approved trustees (or, where an electronic MPF system has been designated in accordance with the MPFSO, to the approved trustees or the system operator of the electronic MPF system).</p>	<input type="text"/>	
<div data-bbox="165 1787 1077 2056" style="border: 1px solid black; padding: 5px;"> <p>The type of voluntary contributions paid directly by a scheme member to the trustee. Unlike normal voluntary contributions, these contributions do not go through the employer of the member. Trustees may use different names for this contribution service (e.g. Personal Contribution, Additional Voluntary Contribution).</p> </div> <div data-bbox="1157 1720 1453 2114" style="border: 1px solid black; padding: 5px;"> <p>A: 0 B: 1–49 C: 50–99 D: 100–499 E: 500–999 F: 1 000–4 999 G: 5 000–9 999 H: 10 000–49 999 I: 50 000–99 999 J: 100 000 and above</p> </div>		

8. Setting up of new TVC accounts

Please indicate the number of application forms - TVC submitted to approved trustees (or, where an electronic MPF system has been designated in accordance with the MPFSO, to the approved trustees or the system operator of the electronic MPF system).

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B: 1–49
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I: 50 000–99 999
J: 100 000 and above

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SECTION III - COMPLIANCE/INTERNAL AUDIT

F

Please indicate the frequency and the date(s) of your company's review to ensure compliance with Part 4A of the MPFSO.

Frequency of Review

Periodic Review (e.g. once a quarter or once a year):	<div>Yes</div> <div>No</div>	<div></div>
Continuing Review:		<div></div>

If you have indicated "Yes" to a periodic review, please state the start and end dates of each periodic review during the reporting period.

	Dates of Conducting Review	
	Start Date	End Date
<input type="checkbox"/>		

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SECTION IV - DECLARATION

<input type="checkbox"/>	We confirm that we have in place controls and procedures to ensure compliance with Part 4A of the MPFSO.
<input type="checkbox"/>	We declare that to the best of our knowledge and belief, the information given in this Annual Return is correct and complete. ♦
<input type="checkbox"/>	We confirm that the person completing and submitting this Annual Return is a person duly authorized by the principal intermediary, with the authority to do so. The principal intermediary and the authorized person will be responsible for the information provided.
<input type="checkbox"/>	We confirm that we have read the <i>Personal Information Collection Statement</i> (PICS) and understand our rights and obligations in relation to the personal data provided by us to the Mandatory Provident Fund Schemes Authority and consent to the manner in which the personal data may be used or dealt with as specified in the PICS.

Name of MPF principal intermediary	
Name of person authorized by principal intermediary for completing and submitting this annual return	<input type="text"/>
Position of authorized person	<input type="text"/>

♦ **Warning:** Section 43E 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, in a document given to a prescribed person which means, the Mandatory Provident Fund Schemes Authority, a system operator of an electronic MPF system, an approved trustee, a trustee of a relevant scheme, or an auditor of an approved trustee or of a registered scheme, in connection with the MPFSO, 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.

Important Note: It is obligatory for you to supply all the information, including personal data, requested in this annual return, which is applicable to you. Failure to provide the requested information, including personal data, may result in delay in the processing of or, as the case may be, refusal of your annual return or request of the use of an electronic system.

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MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

Personal Information Collection Statement (PICS)

This PICS is made by the Mandatory Provident Fund Schemes Authority (MPFA) in accordance with the Personal Data (Privacy) Ordinance (Cap 486) (PDPO). You are advised to read this PICS carefully as it sets out your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the MPFA may collect, use or deal with the personal data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in (or in support of) this Annual Return to be Delivered by MPF Principal Intermediary will be used and held by the MPFA for one or more of the following purposes:

(i) exercising and performing the MPFA's functions under the Mandatory Provident Fund Schemes Ordinance (Cap 485) (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;

(ii) processing annual returns made by you under the MPFSO;

(iii) establishing or operating an electronic system(s) for use for the purposes of the MPFSO and providing related services to its users;

(iv) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation, provided that such enablement or assistance by the MPFA is subject to the MPFSO;

(v) establishing and keeping a public register of MPF intermediaries for regulated activities;

(vi) research and statistical purposes; and

(vii) other purposes as permitted or required by law.

2. It is obligatory for you to supply your personal data as requested in this annual return and in processing your annual return. Failure to supply the requested personal data may result in delay in the processing of or, as the case may be, refusal of your annual return or request of the use of the electronic system(s), 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 your personal data held by the MPFA to third parties including the bodies listed below for one or more of the purposes mentioned in paragraph 1 above or any directly related 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:

- (i) the Hong Kong Monetary Authority;
- (ii) the Insurance Authority;
- (iii) the Securities and Futures Commission;
- (iv) the eMPF Platform Company Limited;
- (v) the system operator of an electronic MPF system¹;
- (vi) examination bodies for conducting qualifying examinations;
- (vii) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;
- (viii) the Chief Executive;
- (ix) the Financial Secretary;
- (x) the Secretary for Justice;
- (xi) the Commissioner of Inland Revenue;

¹ Electronic MPF system means an electronic system designated under section 19I(1) of the MPFSO.

- (xii) the Privacy Commissioner for Personal Data;
- (xiii) the Ombudsman;
- (xiv) the Registrar of Companies;
- (xv) the Official Receiver appointed under the Bankruptcy Ordinance (Cap 6);
- (xvi) a 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);
- (xvii) the Registrar of Occupational Retirement Schemes;
- (xviii) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap 588);
- (xix) the Hong Kong Police Force;
- (xx) any relevant courts, panels, tribunals and committees; and
- (xxi) other law enforcement agencies or government departments or 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 (i), (ii) and (iii) 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 (a) whether he/she is dealing with a regulated person (including an MPF intermediary) in matters of or connected with any regulated activity or (b) the particulars of the registration of a person as a principal or subsidiary intermediary or of 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 any of your personal data, and to request access to and/or correction of them, in the manner and subject to the limitations as set out in the PDPO. The MPFA has the right to charge a fee as permitted under the PDPO for processing any data access request, which fee shall not be excessive. All enquiries should be directed to:

Personal Data Privacy Officer
Mandatory Provident Fund Schemes Authority
Level 12, Tower 1, The Millennity
98 How Ming Street, Kwun Tong
Hong Kong

7. The MPFA's Privacy Policy Statement is available on the MPFA's website at <https://www.mpfa.org.hk/en/privacy-policy>.

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