Annual Return

SECTION I SECTION II SECTION I	V Summary Confirmation
Annual Return to be Delivered by MP For the Period 1 January to 31 Decem	
Section 34ZO of the Mandatory Provident Fund Se	chemes Ordinance (Cap 485)
SECTION I - PARTICULARS OF THE MPF PF	RINCIPAL INTERMEDIARY
Name in English:	
Name in Chinese (if any):	
MPF Registration No.:	
Name of Contact Person:	
Telephone No. of Contact Person:	
E-mail Address of Contact Person:	

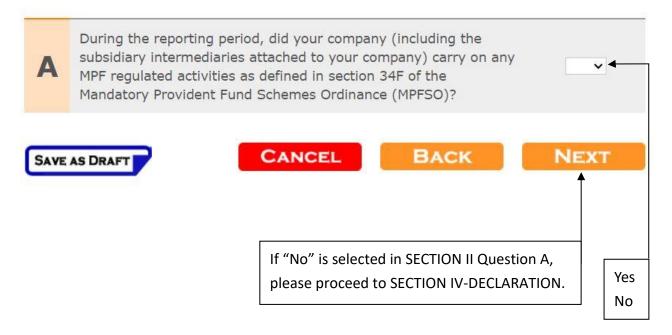
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SECTION II - BUSINESS INFORMATION



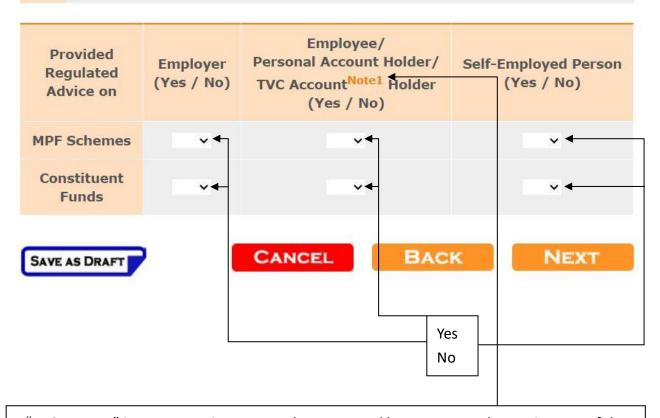
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SECTION II - BUSINESS INFORMATION

В

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?



"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.

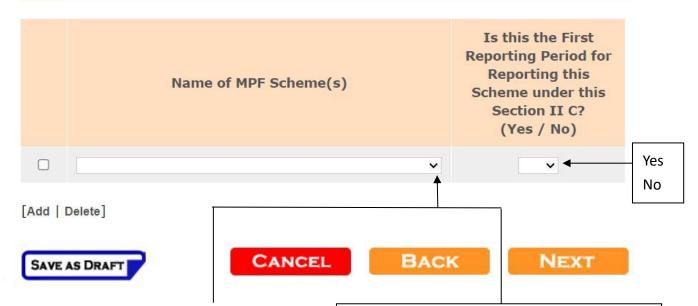
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SECTION II - BUSINESS INFORMATION

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:



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

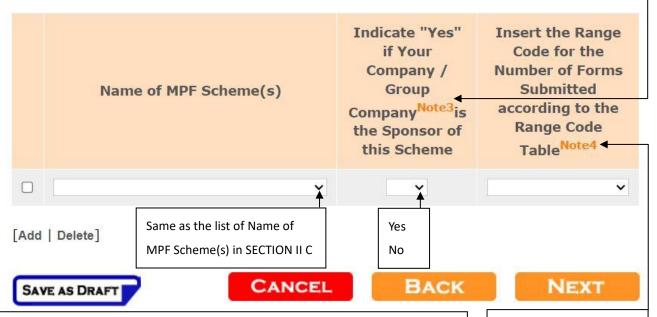
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Group of companies means any two or more companies or bodies corporate, one of which is the holding company of the other or others.



SECTION II - BUSINESS INFORMATION

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:



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

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

ange Code Tabl	e									
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	А	В	С	D	E	F	G	Н	1	J

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SECTION II - BUSINESS INFORMATION

E

Please provide the following statistics covering the reporting period:

Insert the Range Code for the Number of Forms Submitted Type of Transaction according to the Range Code Table Note4 1. Employee Choice Arrangement (ECA) transfer 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.) 2. Fund transfer (not related to ECA) 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.)

D	C	Table
Range	Coae	rabie

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	Α	В	С	D	Е	F	G	Н	1	J

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

3. Personal account consolidation

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).

(i.e. For transactions related to members' request for consolidating multiple personal accounts into one account.)

4. TVC account transfer

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).

5. Employer level transfer

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).

Setting up of new plans for employers and selfemployed persons

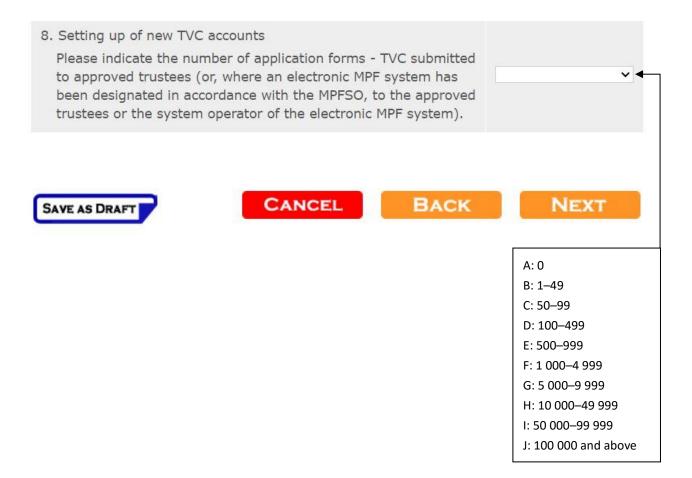
Please indicate the number of employer/self-employed persons application forms submitted to approved trustees (or, where an electronic MPF system has been designated in accordance with the MPFSO, to the approved trustees or the system operator of the electronic MPF system).

Setting up of new special voluntary contribution Note5 (SVC) accounts

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).

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).

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
J: 100 000 and above



Annual Return



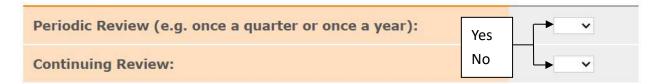
SECTION III - COMPLIANCE/INTERNAL AUDIT



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

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



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SECTION IV - DECLARATION

0	We confirm that we have in place contr with Part 4A of the MPFSO.	ols and procedures to ensure compliance
	We declare that to the best of our know this Annual Return is correct and comp	vledge and belief, the information given in lete.
	person duly authorized by the principal	and submitting this Annual Return is a intermediary, with the authority to do so. norized person will be responsible for the
	and understand our rights and obligation by us to the Mandatory Provident Fund	onal Information Collection Statement (PICS) ons in relation to the personal data provided Schemes Authority and consent to the y be used or dealt with as specified in the
Discourage of the Control of the Con		
Name	e of MPF principal intermediary	
inter	e of person authorized by principal mediary for completing and nitting this annual return	
Posit	ion of authorized person	

→ 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 Hone	a Kona	Monetary	Authorit	V
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- (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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