

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY
Continuing Professional Development Annual Return by a
Subsidiary Intermediary (Individual)
 Section 34ZO of the Mandatory Provident Fund Schemes Ordinance (Cap 485)

A. PARTICULARS OF THE SUBSIDIARY INTERMEDIARY

1. Name in English
(same as HKID Card) : _____
2. Name in Chinese (if any)
(same as HKID Card) : _____
3. MPF Registration No. : _____
4. Mobile Telephone No. : _____
5. Residential Address : _____

B. CONTINUING PROFESSIONAL DEVELOPMENT (CPD)

| Please state the number of hours you have attended on core CPD activities and non-core CPD activities respectively ¹ in the reporting year of _____. | Number of Hours | |
|---|---------------------|-------------------------|
| | Core CPD activities | Non-core CPD activities |
| | | |

C. DECLARATION

1. I certify that I have read the attached Personal Information Collection Statement (PICS). I understand my rights and obligations in relation to personal data provided by me to the Mandatory Provident Fund Schemes Authority (MPFA) and agree to the manner in which the MPFA may use or deal with the data as set out in the PICS.
2. For the purpose of my ongoing registration as a subsidiary intermediary and any purpose incidental thereto, I consent to the disclosure or release of my personal data or other information by my principal intermediary/intermediaries which I was/am/will be attached, to the MPFA and hereby authorize the MPFA to request for such disclosure or release and to release my personal data or other information to my principal intermediary/intermediaries.
3. For the purposes of monitoring my compliance with the MPF continuing training requirements as specified by the MPFA pursuant to section 34ZP of the Mandatory Provident Fund Schemes Ordinance (MPFSO) and my ongoing registration as a subsidiary

¹ Please refer to the Guidelines on Continuing Training for Subsidiary Intermediaries.

intermediary, and any purpose incidental thereto, I consent to my principal intermediary/intermediaries which I was/am/will be attached to and the provider(s) of MPF training that is specified by the MPFA under the MPFSO (MPF Training) disclosing and transferring my personal data (including MPF registration number and the name, date and training hours of the MPF Training that I have attended) and other information and supporting evidence held by them to the MPFA. I also consent to the MPFA carrying out matching or comparison of the personal data or other information so disclosed or transferred by my principal intermediary/intermediaries or the provider(s) of MPF Training with my personal data or other information collected or held by the MPFA.

4. I understand that the results of the matching procedures and comparison mentioned in this CPD annual return may result in the MPFA suspending or revoking any registration of myself as a subsidiary intermediary, and/or exercising any other powers conferred by or under the MPFSO, if the results show that I have failed to comply with any MPF continuing training requirements.
5. I declare that to the best of my knowledge and belief, the information given in this CPD annual return is correct and complete. ✦

Signature

(to be signed by subsidiary intermediary) : _____

Date : _____

✦ **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 MPFA, 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. If any item is not applicable, please write “N/A”. 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.

~ END ~

| For Official Use Only | | | | |
|-----------------------|--|------------------|------------------|-------------------|
| Receipt Date | | | Date of Updating | |
| Input Officer | | Checking Officer | | Approving Officer |

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 Continuing Professional Development Annual Return by a Subsidiary Intermediary (Individual) 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;

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

- (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;
 - (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, 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 Millennium
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>.