

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

I.2 Guidelines on Application for Registration of Provident Fund Schemes

INTRODUCTION

Section 21 of the Mandatory Provident Fund Schemes Ordinance (the Ordinance) provides for the application for registration of provident fund schemes as employer sponsored schemes or master trust schemes.

2. Section 6H of the Ordinance provides that the Mandatory Provident Fund Schemes Authority (the Authority) may issue guidelines for the guidance of approved trustees, service providers, participating employers and their employees, self-employed persons, regulated persons and other persons concerned with the Ordinance.

3. The Authority hereby issues guidelines relating to the application for registration of provident fund schemes as employer sponsored schemes or master trust schemes under the Ordinance.

EFFECTIVE DATE

4. These revised Guidelines (Version 8 – May 2025) shall become effective on 23 May 2025. The previous version of these Guidelines (Version 7 – June 2024) shall be superseded on that day.

APPLICATION FOR SCHEME REGISTRATION

The Applicant

5. The applicant making an application for registration of a provident

fund scheme as an employer sponsored scheme or a master trust scheme must be the approved trustee of the scheme, or a trustee who has applied for approval as an approved trustee, who is appointed or proposed to be appointed as the trustee of the scheme. If the application is made by two or more trustees, then the applicant refers to those trustees jointly.

Prescribed Forms

6. When making an application to the Authority for registration of a provident fund scheme as an employer sponsored scheme or a master trust scheme, the applicant must:

- (a) make the application in the prescribed form as set out in Annexes A to E:
 - Annex A refers to Part A (Form S) of the application which covers the information relating to the scheme to which the application relates (the Scheme);
 - Annex B refers to Part B (Form S(E)) of the application which is only applicable if the application is for registration as an employer sponsored scheme. It covers the information relating to the employer sponsoring the Scheme (the Employer) and the employers which are associated companies of the Employer and which will participate in the Scheme. If the Scheme is not to be registered as an employer sponsored scheme, then this Part is not required to be submitted to the Authority;
 - Annex C refers to Part C (Form S(T)) of the application which covers the information relating to the trustee of the Scheme. If the Scheme has more than one trustee, each trustee has to fill in a separate Form S(T);
 - Annex D refers to Part D (Form S(C)) of the application which covers the information relating to the custodian of the Scheme.

This Part is not required to be submitted to the Authority if, other than the trustee which also acts as the custodian of the scheme assets, no custodian has been or will be appointed under the Scheme. However, if one or more custodians have been appointed or will be appointed, then each custodian so appointed or proposed to be appointed (which is not a sub-custodian) has to fill in a separate Form S(C);

- Annex E refers to Part E (Form S(M)) of the application which covers the information relating to the investment manager of the Scheme. This Part is not required to be submitted to the Authority if the Scheme has not appointed or has not proposed to appoint an investment manager. However, if the Scheme has more than one investment manager, then each investment manager has to fill in a separate Form S(M);
- (b) submit the documents as prescribed in the forms in Annexes A to E, where applicable; and
- (c) pay the application fee as prescribed in the Mandatory Provident Fund Schemes (Fees) Regulation.

The prescribed forms in (a) above can be downloaded from the Authority's website at: www.mpfa.org.hk.

Signature Requirements

7. The application for registration of the scheme must be signed:
- (a) if the applicant is or includes a company, by at least two directors of the company; and
 - (b) if the applicant consists wholly of natural persons, by at least two of those persons, including the independent trustee.

Submission of Application

8. The completed application form and the relevant application documents for registration of a provident fund scheme should be submitted in hard copies and sent, together with the application fees, to:

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

DEFINITION OF TERMS

9. Where a term used in the Guidelines is defined in the Ordinance or the subsidiary legislation then, except where specified in the Guidelines, that term carries the meaning as defined in the Ordinance or the subsidiary legislation.

WARNING

10. If there is any change to the application information or documents after an application is submitted to the Authority, the applicant should inform the Authority as soon as reasonably practicable. It is an offence under section 43E of the Ordinance if a person, in any document given to a prescribed person¹ in connection with the Ordinance, 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.

¹ Prescribed person means (a) the Authority; (b) a system operator of an electronic MPF system; (c) an approved trustee; (d) a trustee of a relevant scheme; or (e) an auditor of an approved trustee or of a registered scheme.

FORM S

MANDATORY PROVIDENT FUND SCHEMES ORDINANCE (CAP 485)

APPLICATION FOR REGISTRATION OF SCHEME

**(PART A)
(INFORMATION RELATING TO THE SCHEME)**

Section 21 of the Mandatory Provident Fund Schemes Ordinance (Cap 485)

NOTES:

- (1) *The applicant making an application for registration of a provident fund scheme (the Scheme) under section 21 of the Mandatory Provident Fund Schemes Ordinance (the Ordinance) should refer to the Guidelines on Application for Registration of Provident Fund Schemes.*
- (2) *Please read the Personal Information Collection Statement before completing this application form.*
- (3) *It is obligatory for you to supply all the information, including personal data, requested in this application form. If any item is not applicable, please write "N.A.". Failure to provide the requested information, including personal data, may result in rejection or refusal of your application.*
- (4) *Please provide any other information which may assist the Mandatory Provident Fund Schemes Authority (the Authority) in reaching a decision on the application if necessary.*
- (5) *If boxes are provided, please tick whichever is appropriate.*

FOR OFFICIAL USE ONLY

Application no.: _____	Date application received: _____
Fee receipt no.: _____	Subject officer: _____
Date of fee receipt: _____	Input officer: _____
Date of letter of acknowledgement: _____	Verification officer: _____

SECTION I - THE SCHEME

(1) Name of the Scheme
(in English): _____

(in Chinese): _____

(2) Is the Scheme to be registered as an employer sponsored scheme or a master trust scheme?

If it is to be registered as an employer sponsored scheme, please also fill in Form S(E).

(3) Proposed financial year end date of the Scheme:

Day		Month	

(4) Will the Scheme be governed by the law of Hong Kong? Yes

No

SECTION II - TRUSTEE(S) OF THE SCHEME

(1) No. of trustee(s): _____

(2) Name of trustee(s) of the Scheme: _____

SECTION III - CUSTODIAN(S)1 OF THE SCHEME ASSETS**

(1) Does the trustee act as the custodian of the assets of the Scheme? Yes **2 No

(2) (If the answer to (1) is "Yes") Besides the trustee of the Scheme who also acts as the custodian, has one or more persons been appointed or will one or more persons be appointed as the custodians of the assets of the Scheme? Yes No

- (3) (If the answer to (1) is “No”, or if the answer to (2) is “Yes”)
Please state:

(A) No. of custodian(s) appointed or to be appointed: _____

(B) Name of custodian(s) appointed or to be appointed: _____

**** 1.** *For the purpose of this application form, “custodian”, in relation to the assets of a scheme, includes:*

(a) *the person appointed by the trustee of the scheme as a custodian of the scheme assets; and*

(b) *the trustee of the scheme who also acts as a custodian of the scheme assets, but does not include a sub-custodian.*

**** 2.** *Please submit a deed of undertaking in accordance with section 69(2) of the Mandatory Provident Fund Schemes (General) Regulation (the Regulation).*

SECTION IV - INVESTMENT MANAGER(S) OF THE SCHEME

- (1) Has the trustee of the Scheme appointed or proposed to appoint an investment manager of the Scheme? Yes No

- (2) If the trustee of the Scheme has appointed or proposed to appoint one or more investment managers, please state:

(A) No. of investment manager(s) appointed or to be appointed: _____

(B) Name of investment manager(s) appointed or to be appointed: _____

SECTION V - CONSTITUENT FUND(S) OF THE SCHEME

- (1) No. of constituent fund(s) in the Scheme: _____
- (2) Name and approval information** of constituent fund(s) in the Scheme: _____

** *If the constituent fund has been approved by the Authority, please state the relevant approval no. If the constituent fund has not been approved by the Authority, please state whether an application for approval has been submitted to the Authority and state the relevant application no., if any.*

SECTION VI - DOCUMENTS TO BE ATTACHED

	If "YES", specify		Not Applicable
	Yes	no. of form(s) attached	
(1) <i>(For employer sponsored schemes)</i> Completed Form S(E) for information relating to the employer sponsoring the Scheme and the employers who will participate in the Scheme.	<input type="checkbox"/>	_____	<input type="checkbox"/>
(2) Completed Form S(T) for information relating to the trustee(s) of the Scheme.	<input type="checkbox"/>	_____	<input type="checkbox"/>
(3) <i>(For schemes that have appointed or have proposed to appoint custodians)</i> Completed Form S(C) for information relating to the custodian(s) of the assets of the Scheme.	<input type="checkbox"/>	_____	<input type="checkbox"/>
(4) <i>(For schemes that have appointed or have proposed to appoint investment managers)</i> Completed Form S(M) for information relating to the investment manager(s) of the Scheme.	<input type="checkbox"/>	_____	<input type="checkbox"/>
(5) An undertaking by the applicant to the Authority regarding compliance with requirements and standards stipulated under section 22 of the Regulation.	<input type="checkbox"/>		<input type="checkbox"/>
(6) A statement setting out the investment policy (including the investment objectives) of the Scheme in accordance with section 24 of the Regulation.	<input type="checkbox"/>		<input type="checkbox"/>
(7) A copy of the governing rules or proposed governing rules that are going to govern the Scheme.	<input type="checkbox"/>		<input type="checkbox"/>
(8) A checklist showing the clause nos. of the governing rules of the Scheme that meet the requirements and standards stipulated in Part 4 of the Regulation.	<input type="checkbox"/>		<input type="checkbox"/>
(9) Statement(s) showing the control objectives, and the internal control procedures for achieving the control objectives, of the Scheme.	<input type="checkbox"/>		<input type="checkbox"/>
(10) <i>(If the trustee also acts as the custodian of the assets of the Scheme)</i> Deed of undertaking by the trustee in accordance with section 69(2) of the Regulation.	<input type="checkbox"/>		<input type="checkbox"/>

SECTION VII - DECLARATION

We certify that we have read the Personal Information Collection Statement and understand our rights and obligations in relation to the supply of personal data to the Authority and the manner in which the Authority may use or deal with the data.

We declare that to the best of our knowledge and belief, the information given in this application form is correct and complete. ✦

We certify that the documents attached to this application form are true and correct copies.

We undertake to notify the Authority of any matter which affects the validity of any information given in (or in support of) this application.

After the application is approved, we undertake to notify the Authority of any material changes to, or affecting the completeness or accuracy of, the information provided in this application form and any documents in relation to the application as soon as possible.

Name of applicant:

Signature and company chop (if any):

Name of persons signing:

Title or position of persons signing:

Date:

✦ **Warning:** Section 43E of the Ordinance 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 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 Ordinance, 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.

Name and telephone no. of the contact person for the Authority's enquiries in connection with this application:

Name: _____

Telephone no.: _____

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY
PERSONAL INFORMATION COLLECTION STATEMENT (PICS)

This PICS is made by the Mandatory Provident Fund Schemes Authority (the Authority) 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 Authority may collect, use or deal with your personal data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in (or in support of) this application under section 21 of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (the Ordinance) will be used and held by the Authority for one or more of the following purposes:
 - (i) exercising and performing the Authority's functions under the Ordinance, including but not limited to:
 - (a) exercising and performing functions related to section 21 of the Ordinance of registering provident fund schemes as employer sponsored schemes or master trust schemes; and
 - (b) ensuring compliance with the Ordinance;
 - (ii) enabling or assisting the Authority and other regulatory bodies/law enforcement agencies/government departments to perform functions under the Ordinance or their respective regimes including without limitation monitoring, surveillance, inspection, investigation, taking supervisory and/or enforcement actions, overseeing the operation of an electronic MPF system¹, and/or conducting any legal, disciplinary or appeal proceedings, provided that such enablement or assistance by the Authority is subject to the Ordinance;
 - (iii) research and statistical purposes; and
 - (iv) other purposes as permitted or required by law.
2. It is obligatory for you to supply your personal data as requested in this application and in processing your application. Failure to supply the requested personal data may result in rejection or refusal of your application by the Authority, and, in some circumstances, hindering the Authority from processing the application in accordance with section 21 of the Ordinance.

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

Transfer of Personal Data

3. The Authority may disclose or transfer your personal data held by the Authority 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:
- (i) an approved trustee(s);
 - (ii) the system operator of an electronic MPF system;
 - (iii) the eMPF Platform Company Limited;
 - (iv) the Chief Executive;
 - (v) the Financial Secretary;
 - (vi) the Secretary for Justice;
 - (vii) the Registrar of Occupational Retirement Schemes;
 - (viii) the Insurance Authority;
 - (ix) the Hong Kong Monetary Authority;
 - (x) the Securities and Futures Commission;
 - (xi) the Commissioner of Inland Revenue;
 - (xii) the Privacy Commissioner for Personal Data;
 - (xiii) the Ombudsman;
 - (xiv) the Registrar of Companies;
 - (xv) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap 588);
 - (xvi) the Official Receiver appointed under the Bankruptcy Ordinance (Cap 6);
 - (xvii) 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);
 - (xviii) the Hong Kong Police Force;
 - (xix) any relevant courts, panels, tribunals and committees; and
 - (xx) other law enforcement agencies, government departments or regulatory bodies.

Access to Personal Data

4. You are entitled under the PDPO to ascertain whether the Authority 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 Authority 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

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

FORM S(E)

MANDATORY PROVIDENT FUND SCHEMES ORDINANCE (CAP 485)

APPLICATION FOR REGISTRATION OF EMPLOYER SPONSORED SCHEME

**(PART B)
(INFORMATION RELATING TO THE EMPLOYER SPONSORING,
AND EMPLOYERS PARTICIPATING IN, THE SCHEME)**

Section 21 of the Mandatory Provident Fund Schemes Ordinance (Cap 485)

NOTES:

- (1) *The applicant making an application for registration of a provident fund scheme (the Scheme) under section 21 of the Mandatory Provident Fund Schemes Ordinance (the Ordinance) should refer to the Guidelines on Application for Registration of Provident Fund Schemes.*
- (2) *This application form must be completed by the employer sponsoring the Scheme to which this application for registration relates.*
- (3) *Please read the Personal Information Collection Statement before completing this application form.*
- (4) *It is obligatory for you to supply all the information, including personal data, requested in this application form. If any item is not applicable, please write "N.A.". Failure to provide the requested information, including personal data, may result in rejection or refusal of your application.*
- (5) *Please provide any other information which may assist the Mandatory Provident Fund Schemes Authority (the Authority) in reaching a decision on the application if necessary.*
- (6) *If boxes are provided, please tick whichever is appropriate.*
- (7) ** means delete whichever is inappropriate.*

FOR OFFICIAL USE ONLY

Application no.: _____ **Date application received:** _____

Subject officer: _____ **Input officer:** _____

SECTION I - THE SCHEME

- (1) Name of the Scheme
(in English): _____

(in Chinese): _____
- (2) No. of employer(s) (including the employer sponsoring the Scheme) that will participate in the Scheme: _____

SECTION II - EMPLOYER SPONSORING THE SCHEME

- (1) Name of the employer
(in English): _____

(in Chinese, if any): _____

- (2) Address (Registered office in Hong Kong/Principal place of business in Hong Kong*):

Flat/Room	Floor	Block	Name of building
Street no.		Name of street	
			<i>Hong Kong/Kowloon/New Territories*</i>
Name of district			

Telephone no.: _____ Fax no.: _____

- (3) Business registration no. in Hong Kong (if any): _____

- (4) (For employer without business registration no.)

(A) Has the employer registered with the government bureau or any of the government departments listed in (B) below? Yes No

(B) If "yes", please tick against the name of the relevant government bureau and departments and state the relevant registration no. with them, if any. More than one tick is possible, if appropriate. Registration no.

Inland Revenue Department

– in respect of charitable organizations

Societies Office of the Hong Kong Police Force

– in respect of societies

Education Bureau

Registry of Trade Unions of the Labour
Department

SECTION III - EMPLOYER(S) PARTICIPATING IN THE SCHEME

(1) (A) Is the employer sponsoring the Scheme a company?

Yes No

(B) (If the answer to (A) is “yes”) Does the employer have one or more associated companies?

Yes No

(C) (If the answer to (B) is “yes”) Will the Scheme be participated by the relevant employee(s) of the associated companies as member(s)?

Yes No

(D) (If the answer to (C) is “yes”) Please state the no. of associated companies which will participate in the Scheme and give particulars of each of the associated companies as requested in (b)-(d) below:

(a) No. of associated companies that will participate in the Scheme: _____

(b) Name of the associated company (in English): _____

(in Chinese, if any): _____

(c) Address (Registered office in Hong Kong/Principal place of business in Hong Kong*):

Flat/Room	Floor	Block	Name of building

Street no.	Name of street

	<i>Hong Kong/Kowloon/New Territories*</i>
Name of district	

Telephone no.: _____ Fax no.: _____

(d) Business registration no. in Hong Kong (if any): _____

SECTION IV - DOCUMENT TO BE ATTACHED

- | | <u>Yes</u> | <u>Not
Applicable</u> |
|--|--------------------------|---------------------------|
| (1) <i>(If the associated companies of the employer sponsoring the Scheme will also participate in the Scheme)</i>
A copy of organizational chart showing the relationship between the employer sponsoring the Scheme and its associated companies. | <input type="checkbox"/> | <input type="checkbox"/> |

SECTION V - DECLARATION

We certify that we have read the Personal Information Collection Statement and understand our rights and obligations in relation to the supply of personal data to the Authority and the manner in which the Authority may use or deal with the data.

We declare that to the best of our knowledge and belief, the information given in this application form is correct and complete. ✦

We certify that the document attached to this application form is a true and correct copy.

We undertake to notify the Authority of any matter which affects the validity of any information given in (or in support of) this application.

After the application is approved, we undertake to notify the Authority of any material changes to, or affecting the completeness or accuracy of, the information provided in this application form and any documents in relation to the application as soon as possible.

Name of employer: _____

Signature and company chop (if any): _____

Name of person(s) signing: _____

Title or position of person(s) signing: _____

Date: _____

✦ **Warning:** Section 43E of the Ordinance 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 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 Ordinance, 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.

Name and telephone no. of the contact person for the Authority’s enquiries in connection with this application:

Name: _____

Telephone no.: _____

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

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Purpose of Collection and Use

1. The personal data provided in (or in support of) this application under section 21 of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (the Ordinance) will be used and held by the Authority for one or more of the following purposes:
 - (i) exercising and performing the Authority's functions under the Ordinance, including but not limited to:
 - (a) exercising and performing functions related to section 21 of the Ordinance of registering provident fund schemes as employer sponsored schemes or master trust schemes; and
 - (b) ensuring compliance with the Ordinance;
 - (ii) enabling or assisting the Authority and other regulatory bodies/law enforcement agencies/government departments to perform functions under the Ordinance or their respective regimes including without limitation monitoring, surveillance, inspection, investigation, taking supervisory and/or enforcement actions, overseeing the operation of an electronic MPF system¹, and/or conducting any legal, disciplinary or appeal proceedings, provided that such enablement or assistance by the Authority is subject to the Ordinance;
 - (iii) research and statistical purposes; and
 - (iv) other purposes as permitted or required by law.
2. It is obligatory for you to supply your personal data as requested in this application and in processing your application. Failure to supply the requested personal data may result in rejection or refusal of your application by the Authority, and, in some circumstances, hindering the Authority from processing the application in accordance with section 21 of the Ordinance.

Transfer of Personal Data

3. The Authority may disclose or transfer your personal data held by the Authority to third parties including the bodies listed below for one or more of the purposes mentioned in

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

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:

- (i) an approved trustee(s);
- (ii) the system operator of an electronic MPF system;
- (iii) the eMPF Platform Company Limited;
- (iv) the Chief Executive;
- (v) the Financial Secretary;
- (vi) the Secretary for Justice;
- (vii) the Registrar of Occupational Retirement Schemes;
- (viii) the Insurance Authority;
- (ix) the Hong Kong Monetary Authority;
- (x) the Securities and Futures Commission;
- (xi) the Commissioner of Inland Revenue;
- (xii) the Privacy Commissioner for Personal Data;
- (xiii) the Ombudsman;
- (xiv) the Registrar of Companies;
- (xv) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap 588);
- (xvi) the Official Receiver appointed under the Bankruptcy Ordinance (Cap 6);
- (xvii) 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);
- (xviii) the Hong Kong Police Force;
- (xix) any relevant courts, panels, tribunals and committees; and
- (xx) other law enforcement agencies, government departments or regulatory bodies.

Access to Personal Data

4. You are entitled under the PDPO to ascertain whether the Authority 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 Authority 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

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

FORM S(T)

MANDATORY PROVIDENT FUND SCHEMES ORDINANCE (CAP 485)**APPLICATION FOR REGISTRATION OF SCHEME****(PART C)****(INFORMATION RELATING TO THE TRUSTEE OF THE SCHEME)**

Section 21 of the Mandatory Provident Fund Schemes Ordinance (Cap 485)

NOTES:

- (1) *The applicant making an application for registration of a provident fund scheme (the Scheme) under section 21 of the Mandatory Provident Fund Schemes Ordinance (the Ordinance) should refer to the Guidelines on Application for Registration of Provident Fund Schemes.*
 - (2) *Please read the Personal Information Collection Statement before completing this application form.*
 - (3) *It is obligatory for you to supply all the information, including personal data, requested in this application form. If any item is not applicable, please write "N.A.". Failure to provide the requested information, including personal data, may result in rejection or refusal of your application.*
 - (4) *For verification purpose, please attach a copy of the Hong Kong Identity Card (if the Hong Kong Identity Card number is provided) or copies of the relevant pages of the passport (if the passport number is provided) of the trustee who is a natural person. Alternatively, the trustee may choose to present the Hong Kong Identity Card or the relevant pages of the passport in person at our office. Failure to provide a document for verification purpose (either by (i) attaching a copy of the Hong Kong Identity Card or copies of the relevant pages of the passport to the application; or (ii) presenting the Hong Kong Identity Card or the relevant pages of the passport in person at our office) may result in rejection or refusal of your application.*
 - (5) *Please provide any other information which may assist the Mandatory Provident Fund Schemes Authority (the Authority) in reaching a decision on the application if necessary.*
 - (6) *If boxes are provided, please tick whichever is appropriate.*
 - (7) ** means delete whichever is inappropriate.*
-
-

FOR OFFICIAL USE ONLY

Application no.: _____ **Date application received:** _____

Subject officer: _____ **Input officer:** _____

SECTION I - THE SCHEME

- (1) Name of the Scheme in respect of which the trustee is appointed or proposed to be appointed: _____

SECTION II - TRUSTEE OF THE SCHEME

- (1) Name of the trustee (in English): _____

 (in Chinese, if any): _____

- (2) Business registration no./ Hong Kong Identity Card no./passport no.*: _____

SECTION III - STATUS OF THE TRUSTEE

- (1) Is the trustee an approved trustee? Yes No
- (2) If the answer to (1) is “Yes”, please state the trustee approval no.: _____
- (3) If the answer to (1) is “No”, has an application for approval as an approved trustee been submitted to the Authority? Yes No
- (4) If the answer to (3) is “Yes”, please state the application number and/or date of submission: _____
- (5) Is there in force, or have arrangements been made to enter into, adequate insurance in accordance with section 23(9) of the Mandatory Provident Fund Schemes (General) Regulation (the Regulation)? Yes No
- (6) If the answer to (5) is “Yes”, is the insurance obtained from a person specified in section 6(1) of the Insurance Ordinance (Cap 41)? (If the answer to (6) is “No”, please submit Form EI in respect of the person.) Yes No

For trustee that is a natural person only:

- (7) Is the trustee an independent trustee of the Scheme? Yes No
- (8) Is the trustee a member/prospective member of the Scheme? Yes No

For trustee that is an independent trustee only:

- (9) Are you a controller, close relative, partner or employee of the employer or of an associate of the employer? Yes No
- (10) Do you hold any shares of the employer or do you hold any shares of any associate of the employer? Yes No
- (11) Do you have any past or present association (financial or otherwise) with :
 (A) the employer; or
 (B) any controller of the employer; or
 (C) any associate of the employer or any associate of any such controller, that could affect the impartiality of your independent judgment? Yes No
- (12) Are you an auditor or actuary of the Scheme? Yes No

SECTION IV - DOCUMENTS TO BE ATTACHED

	Documents	Attachment No.
(1)	An undertaking by the trustee in accordance with section 21(8) of the Ordinance	
(2)	Evidence of adequate insurance in accordance with section 23(9) of the Regulation (if not yet submitted when making an application for approval as an approved trustee)	
(3)	Completed Form EI if the insurance is not entered into with a person specified in section 6(1) of the Insurance Ordinance (Cap 41), if applicable	
(4)	(For trustee that is a natural person only) Evidence of performance guarantee in accordance with section 23(6) of the Regulation (if not yet submitted when making an application for approval as an approved trustee)	

SECTION V - DECLARATION

*(For trustee who is a natural person) I certify that I have read the Personal Information Collection Statement and understand my rights and obligations in relation to the supply of personal data to the Authority and the manner in which the Authority may use or deal with the data.

I/We* declare that myself/ourselves*, the custodian and the delegates of the custodians appointed or to be appointed are/will be independent from the investment manager appointed in respect of the Scheme and of all the delegates of the investment manager.

I/We* declare that to the best of my/our* knowledge and belief, the information given in this application form is correct and complete. ✦

I/We* certify that the documents attached to this application form are true and correct copies.

I/We* undertake to notify the Authority of any matter which affects the validity of any information given in (or in support of) this application.

After the application is approved, I/we* undertake to notify the Authority of any material changes to, or affecting the completeness or accuracy of, the information provided in this application form and any documents in relation to the application as soon as possible.

Name of trustee: _____

Signature (and company chop)
(to be signed by two directors if the trustee is a company): _____

Name of person(s) signing: _____

Title or position of person(s) signing: _____

Date: _____

✦ **Warning:** Section 43E of the Ordinance 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 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 Ordinance, 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.

Name and telephone no. of the contact person for the Authority's enquiries in connection with this application:

Name: _____

Telephone no.: _____

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

PERSONAL INFORMATION COLLECTION STATEMENT (PICS)

This PICS is made by the Mandatory Provident Fund Schemes Authority (the Authority) 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 Authority may collect, use or deal with your personal data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in (or in support of) this application under section 21 of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (the Ordinance) will be used and held by the Authority for one or more of the following purposes:
 - (i) exercising and performing the Authority's functions under the Ordinance, including but not limited to:
 - (a) exercising and performing functions related to section 21 of the Ordinance of registering provident fund schemes as employer sponsored schemes or master trust schemes; and
 - (b) ensuring compliance with the Ordinance;
 - (ii) enabling or assisting the Authority and other regulatory bodies/law enforcement agencies/government departments to perform functions under the Ordinance or their respective regimes including without limitation monitoring, surveillance, inspection, investigation, taking supervisory and/or enforcement actions, overseeing the operation of an electronic MPF system¹, and/or conducting any legal, disciplinary or appeal proceedings, provided that such enablement or assistance by the Authority is subject to the Ordinance;
 - (iii) research and statistical purposes; and
 - (iv) other purposes as permitted or required by law.
2. It is obligatory for you to supply your personal data as requested in this application and in processing your application. Failure to supply the requested personal data may result in rejection or refusal of your application by the Authority, and, in some circumstances, hindering the Authority from processing the application in accordance with section 21 of the Ordinance.

Transfer of Personal Data

3. The Authority may disclose or transfer your personal data held by the Authority to third parties including the bodies listed below for one or more of the purposes mentioned in

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

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:

- (i) an approved trustee(s);
- (ii) the system operator of an electronic MPF system;
- (iii) the eMPF Platform Company Limited;
- (iv) the Chief Executive;
- (v) the Financial Secretary;
- (vi) the Secretary for Justice;
- (vii) the Registrar of Occupational Retirement Schemes;
- (viii) the Insurance Authority;
- (ix) the Hong Kong Monetary Authority;
- (x) the Securities and Futures Commission;
- (xi) the Commissioner of Inland Revenue;
- (xii) the Privacy Commissioner for Personal Data;
- (xiii) the Ombudsman;
- (xiv) the Registrar of Companies;
- (xv) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap 588);
- (xvi) the Official Receiver appointed under the Bankruptcy Ordinance (Cap 6);
- (xvii) 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);
- (xviii) the Hong Kong Police Force;
- (xix) any relevant courts, panels, tribunals and committees; and
- (xx) other law enforcement agencies, government departments or regulatory bodies.

Access to Personal Data

4. You are entitled under the PDPO to ascertain whether the Authority 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 Authority 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

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

FORM S(C)

MANDATORY PROVIDENT FUND SCHEMES ORDINANCE (CAP. 485)

**APPLICATION FOR REGISTRATION OF SCHEME
(PART D)
(INFORMATION RELATING TO THE CUSTODIAN
OF THE ASSETS OF THE SCHEME)**

Section 21 of the Mandatory Provident Fund Schemes Ordinance (Cap. 485)

NOTES:

- (1) *The applicant making an application for registration of a provident fund scheme (the Scheme) under section 21 of the Mandatory Provident Fund Schemes Ordinance (the Ordinance) should refer to the Guidelines on Application for Registration of Provident Fund Schemes.*
 - (2) *Please read the Guidelines on Custodians before completing this application form.*
 - (3) *Please read the Personal Information Collection Statement before completing this application form.*
 - (4) *It is obligatory for you to supply all the information, including personal data, requested in this application form. If any item is not applicable, please write "N.A.". Failure to provide the requested information, including personal data, may result in rejection or refusal of your application.*
 - (5) *Please provide any other information which may assist the Mandatory Provident Fund Schemes Authority (the Authority) in reaching a decision on the application if necessary.*
 - (6) *If boxes are provided, please tick whichever is appropriate.*
 - (7) ** means delete whichever is inappropriate.*
-
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FOR OFFICIAL USE ONLY

Application no.: _____ **Date application received:** _____

Subject officer: _____ **Input officer:** _____

** For the purpose of this application form, “custodian”, in relation to the assets of a scheme, means the person appointed by the trustee of the scheme as a custodian of the assets of the scheme but does not include sub-custodians appointed by the trustee or the custodian.

- (7) Address where the business is carried out in Hong Kong (if not the same as the registered office):

Flat/Room	Floor	Block	Name of building

Street no.	Name of street

Name of district	

<i>Hong Kong/Kowloon/New Territories*</i>

Telephone no.: _____ Fax no.: _____

- (8) Address where day to day business activities are conducted (if not the same as (7)):

Flat/Room	Floor	Block	Name of building

Street no.	Name of street

Name of district/city/province	Area code/Postal code

Name of region/country

Telephone no.: (____) _____ Fax no. : (____) _____

- (9) Financial year end date:

Day		Month	

SECTION III - CAPITAL ADEQUACY

(1) Nature of the custodian:

(A) Authorized financial institution (B) Registered trust company (RTC)

(2) Capital adequacy of the custodian: (please state the currency used)

(A) Paid up share capital **: _____

(B) Net asset value **: _____

(C) Date of valuation: _____

** *If the custodian is an RTC with paid up capital or net assets value of less than HK\$150 million, please also complete (3) and (4) below.*

(3) Nature of the company that provides continuous financial support to the custodian (if applicable):

(A) RTC (B) Authorized financial institution (C) Authorized insurer (D) Overseas trust company ** Approving authority: _____(E) Overseas bank ** Approving authority: _____(F) Overseas insurer ** Approving authority: _____

** *Please also complete 5(H) and 5(I) with regard to the approving authority and the company's credit rating.*

(4) Capital adequacy of the company that provides continuous financial support to the custodian (if applicable) (please state the currency used)

(A) Paid up share capital: _____

(B) Net asset value: _____

(C) Date of valuation: _____

(5) Particulars of the company that provides continuous financial support to the custodian (if applicable)

(A) Name of the company
(in English): _____

(in Chinese, if any): _____

(B) Date of incorporation:

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Day Month Year

(C) Place of incorporation: _____

(D) Place of domicile: _____

(E) Registration number under Part XI of the predecessor Ordinance (as defined in the CO) or Part 16 of the CO (if any): _____

(F) Financial year end date:

--	--	--	--

Day Month

(G) Relationship with the custodian: _____

(H) Particulars of the approving authority stated under (3)(D), (3)(E) or (3)(F):

(a) Address

Flat/Room	Floor	Block	Name of building
Street no.		Name of street	
Name of district/city/province			Area code/Postal code
Name of region/country			

Telephone no.: (____) _____ Fax no.: (____) _____

- (b) Type of licence, registration, authorization, or permit issued to the company by the approving authority and date of issue:

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Day Month Year

- (I) Credit rating of the company that provides continuous financial support to the custodian if either (3)(D), (3)(E) or (3)(F) is applicable:

(a) Current credit rating of the company: _____

(b) Name of credit rating agency: _____

(c) Date when the credit rating was given: _____

SECTION IV - DOCUMENTS TO BE ATTACHED

	Documents	Attachment No.
(1)	A copy of the certificate of incorporation of the custodian	
(2)	(For custodian which is a re-domiciled company as defined in the CO) A copy of the certificate of re-domiciliation issued by the Registrar of Companies of Hong Kong under section 820C of the CO and a document evidencing the deregistration in its place of incorporation (as required in section 820E of the CO)	
(3)	A copy of the audited financial statements of the custodian for the last three years or since its incorporation if it has been incorporated for less than three years	
(4)	A copy of the certificate of incorporation (or its equivalent) with a non-local authority in respect of the company that provides continuous financial support to the custodian, if applicable	
(5)	<p>A copy of the certificate of incorporation/ certificate of registration/ certificate of re-domiciliation* with the Companies Registry in Hong Kong in respect of the company that provides continuous financial support to the custodian, if applicable</p> <p>*For the company that provides continuous financial support to the custodian, which is a re-domiciled company as defined in the CO, in addition to a copy of the certificate of re-domiciliation issued under section 820C of the CO, please also provide a document evidencing the deregistration in its place of incorporation as required in section 820E of the CO.</p>	

(6)	A copy of the audited financial statements of the company that provides continuous financial support to the custodian for the last three years or since its incorporation if it has been incorporated for less than three years, if applicable	
(7)	An organizational chart showing the relationship (with percentage of shareholding) between the custodian and the company that provides continuous financial support to the custodian, if applicable	
(8)	An undertaking to the Authority by the company that provides continuous financial support to the custodian in accordance with section 68(5) of the Mandatory Provident Fund Schemes (General) Regulation, if applicable	

SECTION V - DECLARATION

We certify that we have read the Personal Information Collection Statement and understand our rights and obligations in relation to the supply of personal data to the Authority and the manner in which the Authority may use or deal with the data.

We declare that to the best of our knowledge and belief, the information given in this application form is correct and complete. ✦

We certify that the documents attached to this application form are true and correct copies.

We undertake to notify the Authority of any matter which affects the validity of any information given in (or in support of) this application.

After the application is approved, we undertake to notify the Authority of any material changes to, or affecting the completeness or accuracy of, the information provided in this application form and any documents in relation to the application as soon as possible.

Name of custodian:

Signature and company chop
(to be signed by two directors):

Name of persons signing:

Title or position of persons signing:

Date:

✦ **Warning:** Section 43E of the Ordinance 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 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 Ordinance, 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.

Name and telephone no. of the contact person for the Authority's enquiries in connection with this application:

Name: _____

Telephone no.: _____

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

PERSONAL INFORMATION COLLECTION STATEMENT (PICS)

This PICS is made by the Mandatory Provident Fund Schemes Authority (the Authority) 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 Authority may collect, use or deal with your personal data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in (or in support of) this application under section 21 of the Mandatory Provident Fund Schemes Ordinance (Cap. 485) (the Ordinance) will be used and held by the Authority for one or more of the following purposes:
 - (i) exercising and performing the Authority's functions under the Ordinance, including but not limited to:
 - (a) exercising and performing functions related to section 21 of the Ordinance of registering provident fund schemes as employer sponsored schemes or master trust schemes; and
 - (b) ensuring compliance with the Ordinance;
 - (ii) enabling or assisting the Authority and other regulatory bodies/law enforcement agencies/government departments to perform functions under the Ordinance or their respective regimes including without limitation monitoring, surveillance, inspection, investigation, taking supervisory and/or enforcement actions, overseeing the operation of an electronic MPF system¹, and/or conducting any legal, disciplinary or appeal proceedings, provided that such enablement or assistance by the Authority is subject to the Ordinance;
 - (iii) research and statistical purposes; and
 - (iv) other purposes as permitted or required by law.
2. It is obligatory for you to supply your personal data as requested in this application and in processing your application. Failure to supply the requested personal data may result in rejection or refusal of your application by the Authority, and, in some circumstances, hindering the Authority from processing the application in accordance with section 21 of the Ordinance.

Transfer of Personal Data

3. The Authority may disclose or transfer your personal data held by the Authority to third
-

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

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:

- (i) an approved trustee(s);
- (ii) the system operator of an electronic MPF system;
- (iii) the eMPF Platform Company Limited;
- (iv) the Chief Executive;
- (v) the Financial Secretary;
- (vi) the Secretary for Justice;
- (vii) the Registrar of Occupational Retirement Schemes;
- (viii) the Insurance Authority;
- (ix) the Hong Kong Monetary Authority;
- (x) the Securities and Futures Commission;
- (xi) the Commissioner of Inland Revenue;
- (xii) the Privacy Commissioner for Personal Data;
- (xiii) the Ombudsman;
- (xiv) the Registrar of Companies;
- (xv) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap. 588);
- (xvi) the Official Receiver appointed under the Bankruptcy Ordinance (Cap. 6);
- (xvii) 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);
- (xviii) the Hong Kong Police Force;
- (xix) any relevant courts, panels, tribunals and committees; and
- (xx) other law enforcement agencies, government departments or regulatory bodies.

Access to Personal Data

4. You are entitled under the PDPO to ascertain whether the Authority 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 Authority 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

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

FORM S(M)

MANDATORY PROVIDENT FUND SCHEMES ORDINANCE (CAP. 485)

APPLICATION FOR REGISTRATION OF SCHEME

**(PART E)
(INFORMATION RELATING TO
THE INVESTMENT MANAGER OF THE SCHEME)**

Section 21 of the Mandatory Provident Fund Schemes Ordinance (Cap. 485)

NOTES:

- (1) *The applicant making an application for registration of a provident fund scheme (the Scheme) under section 21 of the Mandatory Provident Fund Schemes Ordinance (the Ordinance) should refer to the Guidelines on Application for Registration of Provident Fund Schemes.*
 - (2) *Please read the Personal Information Collection Statement before completing this application form.*
 - (3) *It is obligatory for you to supply all the information, including personal data, requested in this application form. If any item is not applicable, please write "N.A.". Failure to provide the requested information, including personal data, may result in rejection or refusal of your application.*
 - (4) *Please provide any other information which may assist the Mandatory Provident Fund Schemes Authority (the Authority) in reaching a decision on the application if necessary.*
 - (5) *If boxes are provided, please tick whichever is appropriate.*
 - (6) ** means delete whichever is inappropriate.*
-
-

FOR OFFICIAL USE ONLY

Application no.: _____ **Date application received:** _____

Subject officer: _____ **Input officer:** _____

SECTION I - THE SCHEME

- (1) Name of the Scheme in respect of which the investment manager is appointed or proposed to be appointed: _____

SECTION II - INVESTMENT MANAGER OF THE SCHEME

- (1) Name of the investment manager:
(in English) _____

(in Chinese, if any) _____

- (2) Date of incorporation:

Day		Month		Year			

- (3) Place of incorporation: _____

- (4) Place of domicile: _____

- (5) Registered office in Hong Kong:

Flat/Room	Floor	Block	Name of building
Street no.		Name of street	
		<i>Hong Kong / Kowloon / New Territories*</i>	
Name of district			

Telephone no.: _____ Fax no.: _____

- (6) Registration status with the Securities and Futures Commission (SFC) and other regulatory authorities:

SECTION III - CAPITAL ADEQUACY

- (1) Paid up share capital (HK\$): _____
- (2) Net asset value (HK\$): _____
- (3) Date of valuation: _____

SECTION IV - INVESTMENT ACTIVITIES

- (1) Name of constituent fund(s) in the Scheme under the investment manager's management:

- (2) Financial futures and option trading

If any of the constituent funds managed by the investment manager will engage in financial futures and option trading for purposes other than hedging, please demonstrate that the investment manager has the relevant experience in this respect.

SECTION V - DOCUMENTS TO BE ATTACHED

	Documents	Attachment No.
(1)	A copy of the certificate of incorporation of the investment manager	
(2)	(For investment manager which is a re-domiciled company as defined in the CO) A copy of the certificate of re-domiciliation issued by the Registrar of Companies of Hong Kong under section 820C of the CO and a document evidencing the deregistration in its place of incorporation (as required in section 820E of the CO)	
(3)	Copies of certificates of registration with the SFC and other regulatory authorities	
(4)	A copy of the latest audited accounts or the auditor's certificate in respect of the paid up share capital and net asset value of the investment manager	

SECTION VI - DECLARATION

We certify that we have read the Personal Information Collection Statement and understand our rights and obligations in relation to the supply of personal data to the Authority and the manner in which the Authority may use or deal with the data.

We declare that to the best of our knowledge and belief, the information given in this application form is correct and complete. ✦

We certify that the documents attached to this application form are true and correct copies.

We undertake to notify the Authority of any matter which affects the validity of any information given in (or in support of) this application.

After the application is approved, we undertake to notify the Authority of any material changes to, or affecting the completeness or accuracy of, the information provided in this application form and any documents in relation to the application as soon as possible.

Name of investment manager: _____

Signature and company chop
(to be signed by two directors): _____

Name of persons signing: _____

Title or position of persons signing: _____

Date: _____

✦ **Warning:** Section 43E of the Ordinance 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 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 Ordinance, 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.

Name and telephone no. of the contact person for the Authority's enquiries in connection with this application:

Name: _____

Telephone no.: _____

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

PERSONAL INFORMATION COLLECTION STATEMENT (PICS)

This PICS is made by the Mandatory Provident Fund Schemes Authority (the Authority) 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 Authority may collect, use or deal with your personal data for the purposes specified below.

Purpose of Collection and Use

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 - (a) exercising and performing functions related to section 21 of the Ordinance of registering provident fund schemes as employer sponsored schemes or master trust schemes; and
 - (b) ensuring compliance with the Ordinance;
 - (ii) enabling or assisting the Authority and other regulatory bodies/law enforcement agencies/government departments to perform functions under the Ordinance or their respective regimes including without limitation monitoring, surveillance, inspection, investigation, taking supervisory and/or enforcement actions, overseeing the operation of an electronic MPF system¹, and/or conducting any legal, disciplinary or appeal proceedings, provided that such enablement or assistance by the Authority is subject to the Ordinance;
 - (iii) research and statistical purposes; and
 - (iv) other purposes as permitted or required by law.
2. It is obligatory for you to supply your personal data as requested in this application and in processing your application. Failure to supply the requested personal data may result in rejection or refusal of your application by the Authority, and, in some circumstances, hindering the Authority from processing the application in accordance with section 21 of the Ordinance.

Transfer of Personal Data

3. The Authority may disclose or transfer your personal data held by the Authority to third parties including the bodies listed below for one or more of the purposes mentioned in

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

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:

- (i) an approved trustee(s);
- (ii) the system operator of an electronic MPF system;
- (iii) the eMPF Platform Company Limited;
- (iv) the Chief Executive;
- (v) the Financial Secretary;
- (vi) the Secretary for Justice;
- (vii) the Registrar of Occupational Retirement Schemes;
- (viii) the Insurance Authority;
- (ix) the Hong Kong Monetary Authority;
- (x) the Securities and Futures Commission;
- (xi) the Commissioner of Inland Revenue;
- (xii) the Privacy Commissioner for Personal Data;
- (xiii) the Ombudsman;
- (xiv) the Registrar of Companies;
- (xv) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap. 588);
- (xvi) the Official Receiver appointed under the Bankruptcy Ordinance (Cap. 6);
- (xvii) 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);
- (xviii) the Hong Kong Police Force;
- (xix) any relevant courts, panels, tribunals and committees; and
- (xx) other law enforcement agencies, government departments or regulatory bodies.

Access to Personal Data

4. You are entitled under the PDPO to ascertain whether the Authority 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 Authority 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

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