

## **MANDATORY PROVIDENT FUND SCHEMES AUTHORITY**

### **I.6 Guidelines on Application for Approval of Pooled Investment Funds**

#### **INTRODUCTION**

Section 6 of Schedule 1 to the Mandatory Provident Fund Schemes (General) Regulation (the Regulation) provides that the funds of a constituent fund of a registered scheme may invest in an approved pooled investment fund.

2. Section 6(1) of the Regulation provides that an investment fund is an approved pooled investment fund for the purposes of the Regulation if it is an insurance policy, authorized unit trust or authorized mutual fund<sup>1</sup> that:

- (a) complies with the requirements set out in section 17(2) of Schedule 1 to the Regulation; and
- (b) is approved by the Mandatory Provident Fund Schemes Authority (the Authority).

3. Section 6(2) of the Regulation provides that the granting of an approval in respect of a pooled investment fund (PIF) is subject to the payment to the Authority of such fee (if any) as may be prescribed in the Mandatory Provident Fund Schemes (Fees) Regulation and to such conditions (if any) as the Authority considers appropriate. The Authority may vary any such conditions by written notice given to the investment manager of the investment fund concerned.

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<sup>1</sup> The existing law does not permit the incorporation of mutual fund corporations in Hong Kong. The guidelines issued therefore refer only to insurance policies and authorized unit trusts.

4. Section 6H of the Mandatory Provident Fund Schemes Ordinance (the Ordinance) provides that 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.

5. The Authority hereby issues guidelines relating to the application for approval of PIFs. There is a separate set of guidelines issued in the form of a code which prescribes the detailed requirements in respect of PIFs.

## **EFFECTIVE DATE**

6. These revised Guidelines (Version 8 – June 2024) shall become effective on 13 June 2024. The previous version of these Guidelines (Version 7 – April 2023) shall be superseded on that day.

## **APPLICATION FOR APPROVAL OF PIF**

### **The Applicant**

7. The applicant seeking approval of a PIF in the case of an authorized unit trust may be the trustee or the investment manager and in the case of an insurance policy, the authorized insurer. The trustee in this case refers to the approved trustee or the person who has applied for approval as approved trustee under section 20 of the Ordinance.

### **Prescribed Forms**

8. The prescribed forms for approval of a PIF are provided in Annexes A to E:

- (a) Annex A refers to Part A (Form PF) of the application which covers the information relating to the PIF and a summary of the parties

involved in administering and managing the PIF. The form should be completed by the applicant of the PIF.

- (b) Annex B refers to Part B (Form PF(T)) of the application which covers the information relating to the trustee of the PIF, being an authorized unit trust. It should be completed by the trustee.
- (c) Annex C refers to Part C (Form PF(I)) of the application which covers the information relating to the authorized insurer of the PIF, being an insurance policy. It should be completed by the authorized insurer.
- (d) Annex D refers to Part D (Form PF(C)) of the application which covers the information relating to the custodian of the PIF. It should be completed by the custodian. However, if the trustee assumes the custodial function, the trustee is not required to complete this form.
- (e) Annex E refers to Part E (Form PF(M)) of the application which covers the information relating to the investment manager of the PIF. It should be completed by the investment manager. In the case of an insurance policy with the authorized insurer assuming the investment management function, the authorized insurer has to complete this form as well.

9. The prescribed forms in the Annexes can be downloaded from the Authority's website at: [www.mpfa.org.hk](http://www.mpfa.org.hk).

### **Signature Requirements**

10. The application for approval of the PIF must be signed by at least two directors of the applicant.

## **Submission of Application**

11. The completed application forms and the relevant documents should be submitted in hard copies and sent to:

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

12. The application should be accompanied by the fees as prescribed in the Mandatory Provident Fund Schemes (Fees) Regulation.

## **DEFINITION OF TERMS**

13. 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**

14. 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 person<sup>2</sup> 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.

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<sup>2</sup> 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.

<b>FORM PF</b>
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**MANDATORY PROVIDENT FUND SCHEMES ORDINANCE (CAP 485)****APPLICATION FOR APPROVAL OF POOLED INVESTMENT FUND****(PART A)****(INFORMATION RELATING TO THE POOLED INVESTMENT FUND)***Section 6 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485A)***NOTES:**

- (1) *The applicant making an application for approval of a pooled investment fund under section 6 of the Mandatory Provident Fund Schemes (General) Regulation (the Regulation) should refer to the Guidelines on Application for Approval of Pooled Investment Funds.*
- (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**

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

**SECTION I - THE POOLED INVESTMENT FUND (PIF)**

(1) Name of the PIF

(In English): \_\_\_\_\_

(In Chinese): \_\_\_\_\_

(2) Statement of investment policy

(Please state the investment policy as prescribed in section 24 of the Regulation and specify whether the PIF will engage in security lending, financial futures and option trading other than hedging.)

(3) Type of the PIF

(A) Authorized unit trust ☐

(B) Insurance policy ☐

(4) Structure of the PIF

(A) Internal portfolio ☐

(B) Feeder fund ☐  
Name of the underlying PIF

(C) Portfolio management fund ☐  
Name of the underlying PIFs

- (5) Portfolio of underlying investments  
(Please provide a brief description of the proposed asset allocation, in percentage term, by type and by country/region.)

(6) Fund type (e.g. bond, equity, money market, other): \_\_\_\_\_

(7) Specialized fund (complete only if applicable)

(A) Capital preservation fund

Is the PIF a capital preservation fund? Yes ☐ No ☐

(B) Guaranteed fund

(a) Is the PIF a guaranteed fund? Yes ☐ No ☐

(b) If the answer to (a) is “Yes”, please state:

(i) The name of the guarantor

(ii) The guarantee features

(8) Insurance policy (complete (A)-(B) only if the PIF is an insurance policy)

(A) Please provide details to show compliance with requirements specified in section 19 of Schedule 1 to the Regulation.

(B) For class G insurance policy with no external guarantor, please state the reserving basis.

(9) Is the PIF unitized?

Yes ☐ No ☐

(10) Proposed launch date of the PIF (DD/MM/YYYY):

\_\_\_\_\_

(11) Financial year end date of the PIF (DD/MM):

\_\_\_\_\_

(12) Currency denomination:

\_\_\_\_\_

(13) Level of all charges payable by investors of the PIF

(14) Level/basis of calculation of all charges payable by the PIF



(15) Level of performance fee (if any)

(16) Valuation and dealing frequency (daily/weekly/other): \_\_\_\_\_

(17) Pricing method (forward/other): \_\_\_\_\_

(18) Minimum initial subscription and minimum subsequent holding (if any)

(19) List of the constitutive documents (including trust deed/insurance contract, investment management contract and custodial agreement) of the PIF and date of execution

(20) Address where books and records of the PIF are kept

## SECTION II - THE TRUSTEE, AUTHORIZED INSURER, CUSTODIAN AND INVESTMENT MANAGER OF THE PIF

### (1) Particulars

	Name	Name of Ultimate Holding Company	Registration status with SFC <sup>*1</sup> (if any)
Trustee <sup>*2</sup>			
Authorized Insurer			
Custodian <sup>*3</sup>			
Investment Manager			

<sup>\*1</sup> Securities and Futures Commission

<sup>\*2</sup> The trustee may be the approved trustee or the person who has applied for approval as approved trustee under section 20 of the Mandatory Provident Fund Schemes Ordinance (the Ordinance).

<sup>\*3</sup> For the purposes of this application form, “custodian”, in relation to the assets of a PIF, includes:

- (a) the person appointed as a custodian of the PIF assets; and
- (b) the trustee of the PIF who also acts as a custodian of the PIF assets, but does not include a sub-custodian.

## (2) Investment manager

## (A) Independence of investment manager

(a) Do the investment manager and all of its delegates comply with the independence requirement as stipulated in section 46(1) of the Regulation? Yes ☐ No ☐

(b) If the answer to (a) is “No”, in respect of the investment manager and the delegates who fail to satisfy the independence requirement of section 46(1) of the Regulation, do they comply with the requirements as stipulated in section 46(2) and section 46(3)(a) & (b) of the Regulation? Yes ☐ No ☐

(c) If the answer to (b) is “Yes”, please provide undertakings in accordance with section 46(3)(c) of the Regulation.

(B) Please list below the name and registered office address of all delegates appointed by the investment manager:

No.	Name	Address	Registration Status*
1.			A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/>
2.			A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/>
3.			A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/>

\* For each of the delegates, please specify under the column of “Registration Status” whether the delegate meets one of the following requirements:

- (a) section 45(3) of the Regulation (put a tick in box A)
- (b) section 45(4)(a) of the Regulation (put a tick in box B)
- (c) section 45(4)(b) of the Regulation (put a tick in box C)
- (d) section 45(4)(c) of the Regulation (put a tick in box D)

**SECTION III - INVESTMENT ACTIVITIES****(1) Security lending**

(A) Will the PIF engage in security lending activities? Yes ☐ No ☐

(B) If the answer to (A) is “Yes”, please specify the relevant clauses in the constitutive documents which provide the investment manager the power to terminate/suspend security lending arrangements at any time.

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(C) If the answer to (A) is “Yes” and a custodian has been appointed, please specify the relevant clauses in the custodial agreement which indicate that the custodian has been delegated the authority to enter into security lending arrangements.

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**(2) Financial futures and option trading**

(A) Will the PIF engage in financial futures and option trading for purposes other than hedging? Yes ☐ No ☐

(B) If the answer to (A) is “Yes”, please demonstrate that the trustee (in the case of a unit trust) or the custodian (in the case of an insurance policy) has the relevant experience in this respect.

**SECTION IV - MARKETING DOCUMENTS & ADVERTISEMENTS**

- (1) Have the marketing documents and advertisements been approved by the SFC? Yes ☐ No ☐
- (2) If the answer to (1) is “Yes”, please attach final copies of the marketing documents and advertisements and proof of authorization by the SFC.
- (3) If the answer to (1) is “No”, have the marketing documents and advertisements been submitted to the SFC for approval? Yes ☐ No ☐

**SECTION V - DOCUMENTS TO BE ATTACHED**

	Documents	Attachment No.
(1)	Copies of constitutive documents (please specify): _____ _____ _____ _____	
(2)	Undertakings in accordance with section 46(3)(c) of the Regulation	
(3)	Final copies of the marketing documents and advertisements	
(4)	A copy of the proof of authorization by the SFC in respect of the marketing documents and advertisements	

## 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 the trustee, the custodian and delegates of the custodian in this application form will be independent from the investment manager and all of its delegates.

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  
(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 6 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485A) (the Regulation) 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 Mandatory Provident Fund Schemes Ordinance (Cap 485) (the Ordinance), including but not limited to:
    - (a) exercising and performing functions related to section 6 of the Regulation of approving an application for approval of a pooled investment fund for the purposes of the Regulation; 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 system<sup>1</sup>, 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 6 of the Regulation.

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<sup>1</sup> 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>.

<b>FORM PF(T)</b>
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**MANDATORY PROVIDENT FUND SCHEMES ORDINANCE (CAP 485)****APPLICATION FOR APPROVAL OF POOLED INVESTMENT FUND**

**(PART B)**  
**(INFORMATION RELATING TO THE TRUSTEE**  
**OF THE POOLED INVESTMENT FUND)**

*Section 6 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485A)*

**NOTES:**

- (1) *The applicant making an application for approval of a pooled investment fund under section 6 of the Mandatory Provident Fund Schemes (General) Regulation (the Regulation) should refer to the Guidelines on Application for Approval of Pooled Investment Funds.*
- (2) *This application form must be completed by the trustee (an approved trustee or the person who has applied for approval as an approved trustee under section 20 of the Mandatory Provident Fund Schemes Ordinance (the Ordinance)) of the Pooled Investment Fund.*
- (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.*

**FOR OFFICIAL USE ONLY**

**Application no.:** \_\_\_\_\_ **Date application received:** \_\_\_\_\_

**Subject officer:** \_\_\_\_\_ **Input officer:** \_\_\_\_\_

**SECTION I - THE POOLED INVESTMENT FUND (PIF)**

(1) Name of the PIF: \_\_\_\_\_

**SECTION II - THE TRUSTEE**

(1) Name of the trustee  
(in English): \_\_\_\_\_

(in Chinese, if any): \_\_\_\_\_

(2) Is the trustee an approved trustee? Yes ☐ No ☐

(3) If the answer to (2) is “Yes”, please state the trustee approval no.: \_\_\_\_\_

(4) If the answer to (2) is “No”, has an application for approval as an approved trustee been submitted to the Authority? Yes ☐ No ☐

(5) If the answer to (4) is “Yes”, please state the application no. and/or date of submission: \_\_\_\_\_

**SECTION III - THE CUSTODIAN\*\***

(1) Will the trustee act as a custodian of the PIF? Yes ☐ No ☐

(2) If the answer to (1) is “Yes”, please submit an undertaking to the Authority by deed, or by a document of like effect acceptable to the Authority in accordance with section 69(2) of the Regulation.

**\*\* For the purposes of this application form, “custodian”, in relation to the assets of a PIF, includes:**

- (a) the person appointed as a custodian of the PIF assets; and
- (b) the trustee of the PIF who also acts as a custodian of the PIF assets, but does not include a sub-custodian.

**SECTION IV - DOCUMENT TO BE ATTACHED**

	Document	Attachment No.
(1)	An undertaking to the Authority by deed, or by a document of like effect acceptable to the Authority by the trustee to act as a custodian of the PIF in accordance with section 69(2) of the Regulation	

**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 trustee:

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

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Name of persons signing:

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Title or position of persons signing:

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Date:

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✦ **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 6 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485A) (the Regulation) 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 Mandatory Provident Fund Schemes Ordinance (Cap 485) (the Ordinance), including but not limited to:
    - (a) exercising and performing functions related to section 6 of the Regulation of approving an application for approval of a pooled investment fund for the purposes of the Regulation; 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 system<sup>1</sup>, 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 6 of the Regulation.

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<sup>1</sup> 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>.

<b>FORM PF(I)</b>
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**MANDATORY PROVIDENT FUND SCHEMES ORDINANCE (CAP 485)****APPLICATION FOR APPROVAL OF POOLED INVESTMENT FUND****(PART C)****(INFORMATION RELATING TO THE AUTHORIZED INSURER  
OF THE POOLED INVESTMENT FUND)***Section 6 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485A)***NOTES:**

- (1) *The applicant making an application for approval of a pooled investment fund under section 6 of the Mandatory Provident Fund Schemes (General) Regulation should refer to the Guidelines on Application for Approval of Pooled Investment Funds.*
- (2) *This application form must be completed by the authorized insurer of the pooled investment fund.*
- (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 POOLED INVESTMENT FUND (PIF)**

(1) Name of the PIF: \_\_\_\_\_

**SECTION II - THE AUTHORIZED INSURER**

(1) Name of the authorized insurer  
(in English): \_\_\_\_\_

(in Chinese, if any): \_\_\_\_\_

(2) Authorization status with the  
Insurance Authority: \_\_\_\_\_  
(Please attach proof of authorization status with the Insurance Authority.)

(3) Date of incorporation: 

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Day Month Year

(4) Place of incorporation: \_\_\_\_\_

(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.: \_\_\_\_\_

**SECTION III - DOCUMENT TO BE ATTACHED**

	Document	Attachment No.
(1)	A copy of the proof of authorization status with the Insurance Authority	

**SECTION IV - 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 authorized insurer: \_\_\_\_\_

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 Mandatory Provident Fund Schemes 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 that 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 6 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485A) (the Regulation) 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 Mandatory Provident Fund Schemes Ordinance (Cap 485) (the Ordinance), including but not limited to:
    - (a) exercising and performing functions related to section 6 of the Regulation of approving an application for approval of a pooled investment fund for the purposes of the Regulation; 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 system<sup>1</sup>, 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 6 of the Regulation.

#### **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

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<sup>1</sup> 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>.

<b>FORM PF(C)</b>
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**MANDATORY PROVIDENT FUND SCHEMES ORDINANCE (CAP 485)**

**APPLICATION FOR APPROVAL OF POOLED INVESTMENT FUND**

**(PART D)**  
**(INFORMATION RELATING TO THE CUSTODIAN**  
**OF THE POOLED INVESTMENT FUND)**

*Section 6 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485A)*

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**NOTES:**

- (1) *The applicant making an application for approval of a pooled investment fund under section 6 of the Mandatory Provident Fund Schemes (General) Regulation should refer to the Guidelines on Application for Approval of Pooled Investment Funds.*
  - (2) *Please read the Guidelines on Custodians before completing this application form.*
  - (3) *This application form must be completed by the custodian of the pooled investment fund.*
  - (4) *Please read the Personal Information Collection Statement before completing this application form.*
  - (5) *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.*
  - (6) *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.*
  - (7) *If boxes are provided, please tick whichever is appropriate.*
  - (8) *\* means delete whichever is inappropriate.*
- 
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**FOR OFFICIAL USE ONLY**

**Application no.:** \_\_\_\_\_ **Date application received:** \_\_\_\_\_

**Subject officer:** \_\_\_\_\_ **Input officer:** \_\_\_\_\_

**SECTION I - THE POOLED INVESTMENT FUND (PIF)**

(1) Name of the PIF: \_\_\_\_\_

**SECTION II - CUSTODIAN OF THE PIF ASSETS\*\***(1) Name of the custodian  
(in English): \_\_\_\_\_

(in Chinese, if any): \_\_\_\_\_

(2) Date of incorporation: 

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Day Month Year

(3) Place of incorporation: \_\_\_\_\_

(4) Registered office:

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. : (\_\_\_\_)\_\_\_\_\_

\*\* For the purposes of this application form, “custodian”, in relation to the assets of a PIF, includes:

- (a) the person appointed as a custodian of the PIF assets; and  
 (b) the trustee of the PIF who also acts as a custodian of the PIF assets, but does not include a sub-custodian.

(5) 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	Hong Kong/Kowloon/New Territories*

Telephone no.: \_\_\_\_\_ Fax no.: \_\_\_\_\_

- (6) Address where the day to day business activities are conducted (if not the same as (5)):

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.: (\_\_\_\_) \_\_\_\_\_

- (7) Financial year end date:

Day		Month	

### SECTION III - CAPITAL ADEQUACY

- (1) Nature of the custodian:

- (A) Authorized financial institution in Hong Kong ☐
- (B) Registered Trust Company (RTC) in Hong Kong ☐

- (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 share capital or net asset 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 in Hong Kong ☐
- (B) Authorized financial institution in Hong Kong ☐
- (C) Authorized insurer in Hong Kong ☐
- (D) Overseas trust company \*\* ☐ Approving authority: \_\_\_\_\_
- (E) Overseas bank \*\* ☐ Approving authority: \_\_\_\_\_

(F) Overseas insurer \*\* ☐ Approving authority: \_\_\_\_\_

\*\* Please also complete 5(G) and 5(H) 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) Registration number under Part XI of the predecessor Ordinance (as defined in the Companies Ordinance (Cap 622)) or Part 16 of the Companies Ordinance (Cap 622) (if any): \_\_\_\_\_

(E) Financial year end date: 

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Day Month

(F) Relationship with the custodian (please attach an organizational chart showing the relationship):  
\_\_\_\_\_

(G) 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:

\_\_\_\_\_

Day		Month		Year			

- (H) Credit rating of the company that provides continuous financial support to the custodian if (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)	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)	
(3)	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	
(4)	A copy of the certificate of incorporation/ certificate of registration with the Companies Registry in Hong Kong in respect of the company that provides continuous financial support to the custodian, if applicable	
(5)	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	

(6)	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	
(7)	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 Mandatory Provident Fund Schemes 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 that 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 6 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485A) (the Regulation) 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 Mandatory Provident Fund Schemes Ordinance (Cap 485) (the Ordinance), including but not limited to:
    - (a) exercising and performing functions related to section 6 of the Regulation of approving an application for approval of a pooled investment fund for the purposes of the Regulation; 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 system<sup>1</sup>, 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 6 of the Regulation.

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<sup>1</sup> 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>.

<b>FORM PF(M)</b>
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**MANDATORY PROVIDENT FUND SCHEMES ORDINANCE (CAP 485)****APPLICATION FOR APPROVAL OF POOLED INVESTMENT FUND**

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

*Section 6 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485A)*

**NOTES:**

- (1) *The applicant making an application for approval of a pooled investment fund under section 6 of the Mandatory Provident Fund Schemes (General) Regulation should refer to the Guidelines on Application for Approval of Pooled Investment Funds.*
- (2) *This application form must be completed by the investment manager of the pooled investment fund.*
- (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 POOLED INVESTMENT FUND (PIF)**

(1) Name of the PIF: \_\_\_\_\_

**SECTION II - THE INVESTMENT MANAGER**

(1) Name of the investment manager  
(in English): \_\_\_\_\_

(in Chinese, if any): \_\_\_\_\_

(2) Date of incorporation: 

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Day Month Year

(3) Place of incorporation: \_\_\_\_\_  
(Please attach a copy of the certificate of incorporation.)

(4) 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.: \_\_\_\_\_

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

\_\_\_\_\_  
(Please attach copies of certificates of registration.)

**SECTION III - CAPITAL ADEQUACY**

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

(Please attach 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 IV - INVESTMENT ACTIVITIES**

- (1) Financial futures and option trading

If the PIF managed by the investment manager engages 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**

	<b>Documents</b>	<b>Attachment No.</b>
(1)	A copy of the certificate of incorporation	
(2)	Copies of certificates of registration with the SFC and other regulatory authorities	
(3)	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 Mandatory Provident Fund Schemes 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 that 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 6 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485A) (the Regulation) 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 Mandatory Provident Fund Schemes Ordinance (Cap 485) (the Ordinance), including but not limited to:
    - (a) exercising and performing functions related to section 6 of the Regulation of approving an application for approval of a pooled investment fund for the purposes of the Regulation; 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 system<sup>1</sup>, 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 6 of the Regulation.

#### **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

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<sup>1</sup> 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>.