MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

VI.1 Guidelines on MPF Intermediary Registration and Notification of Changes

INTRODUCTION

Application for Registration as Principal Intermediary

Pursuant to section 34T(1) of the Mandatory Provident Fund Schemes Ordinance (the Ordinance), a person may apply to the Mandatory Provident Fund Schemes Authority (MPFA) for registration as an intermediary for carrying on regulated activities.

2. Section 34T(3) of the Ordinance requires that the application under section 34T(1) of the Ordinance:

(a) must be made in the specified form; and

(b) must be accompanied by an application fee of the amount prescribed by the regulations.

Application for Registration as Subsidiary Intermediary

3. Pursuant to section 34U(1) of the Ordinance, a person may apply to the MPFA for registration as an intermediary for carrying on regulated activities for a principal intermediary to which the person is to be attached.

4. Section 34U(3) of the Ordinance requires that the application under section 34U(1) of the Ordinance:

(a) must be made in the specified form; and

(b) must be accompanied by an application fee of the amount prescribed by the regulations.

Application for Approval of Attachment of Subsidiary Intermediary to Principal Intermediary

5. Pursuant to section 34V(1) of the Ordinance, a person specified in section 34V(2) of the Ordinance may apply to the MPFA for approval of attachment of another person to the specified person for the purpose of carrying on regulated activities.

6. Pursuant to section 34V(2) of the Ordinance, the person is:

(a) a principal intermediary; or

(b) a person who applies under section 34T(1) for registration as an intermediary for carrying on regulated activities.

7. Section 34V(3) of the Ordinance requires that the application under section 34V(1) of the Ordinance:

(a) must be made in the specified form; and

(b) must be accompanied by an application fee of the amount prescribed by the regulations.

Application for Approval as Responsible Officer

8. Pursuant to section 34W(1) of the Ordinance, a person specified in section 34W(2) of the Ordinance may apply to the MPFA for approval of an individual as an officer with specified responsibilities in relation to the specified person.

9. Pursuant to section 34W(2) of the Ordinance, the person is:

(a) a principal intermediary; or

(b) a person who applies under section 34T(1) for registration as an intermediary for carrying on regulated activities.

10. Section 34W(3) of the Ordinance requires that the application under section 34W(1) of the Ordinance:

(a) must be made in the specified form; and

(b) must be accompanied by an application fee of the amount prescribed by the regulations.

Withdrawal of Consent by Principal Intermediary

11. Pursuant to section 34ZG(2) of the Ordinance, a withdrawal of a principal intermediary's consent referred to in section 34ZG(1) of the Ordinance takes effect on the date on which the principal intermediary gives the MPFA a notice in the specified form of the withdrawal or if a later date is specified in such a notice as the date on which the withdrawal is to take effect, that later date.

Qualifying Examinations for Subsidiary Intermediary (Individual)

12. Pursuant to section 34U(4)(f) of the Ordinance, on application under section 34U(1) of the Ordinance, the MPFA may register a principal applicant as an intermediary for carrying on regulated activities for a principal intermediary to which the principal applicant is to be attached if it is satisfied, among other requirements, that the principal applicant, if he/she is an individual, has, within one year immediately before the date of the application, passed a qualifying examination specified by the MPFA.

Other Changes in Relation to Registered Intermediaries

13. Pursuant to section 34ZE(2) of the Ordinance, a principal intermediary must give the MPFA a notice in writing of, among other changes, a change in the address or any contact details of the principal intermediary. Similarly, pursuant to section 34ZI(2) of the Ordinance, a subsidiary intermediary must give the MPFA a notice in writing of, among other changes, a change in the address or any contact details of the subsidiary intermediary.

14. Section 47A(1) of the Ordinance provides that the MPFA may specify or approve the form and contents of documents required for the purposes of the Ordinance.

15. Section 6KA(1) and (2) of the Ordinance provides that the MPFA may designate an electronic system that is established and operated by it for use for the purposes of the Ordinance.

16. Section 6KA(7) of the Ordinance provides, among other things, that the MPFA must, as soon as practicable after making a designation under section 6KA(1) of the Ordinance, publish information about the designation in any manner that the MPFA considers appropriate.

17. Section 6H of the Ordinance provides that the MPFA 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.

18. The MPFA hereby issues guidelines:

(a) to set out the specified forms for the purposes of sections 34T(3)(a), 34U(3)(a), 34V(3)(a), 34W(3)(a) and 34ZG(2) of the Ordinance;

(b) to set out the specified qualifying examination(s) for the purpose of section 34U(4)(f) of the Ordinance and to provide guidance on these examinations;

(c) on the designation of an electronic system under section 6KA(1) and (2) of the Ordinance for use for the purposes of sections 34ZE(2), 34ZG(2) and 34ZI(2) of the Ordinance, such that the notifications can be submitted electronically in accordance with section

206(2)(c)[1] of the Mandatory Provident Fund Schemes (General) Regulation (the Regulation);

(d) to provide guidance on the signature requirements and submission of the specified forms; and

(e) to provide guidance on notification of a change in address and contact details for the purposes of sections 34ZE(1) and 34ZI(1) of the Ordinance.

EFFECTIVE DATE

19. These revised Guidelines (Version 8 – August 2020) shall become effective on 31 August 2020. The previous version of these Guidelines (Version 7 – September 2019) shall be superseded on that day.

SPECIFIED FORMS

Application for Registration as Principal Intermediary

20. Form INT-1, as set out in Annex A, is the specified form for section 34T(3)(a) of the Ordinance for an applicant applying under section 34T(1) of the Ordinance for registration as an intermediary for carrying on regulated activities.

Application for Registration as Subsidiary Intermediary

21. Form INT-2, as set out in Annex B, is the specified form for section 34U(3)(a) of the Ordinance for an applicant who is an individual applying under section 34U(1) of the Ordinance for registration as an intermediary for carrying on regulated activities for a principal intermediary to which the applicant is to be attached.

[1] Under section 206(2)(c) of the Regulation, a notice or other document is taken to have been given for the purposes of the Ordinance if it is made available to the recipient by means of an electronic system designated by the MPFA under section 6KA(1) of the Ordinance for use for the purposes of this subsection.

22. Form INT-3, as set out in Annex C, is the specified form for section 34U(3)(a) of the Ordinance for an applicant who is a licensed long term insurance agency applying under section 34U(1) of the Ordinance for registration as an intermediary for carrying on regulated activities for a principal intermediary to which the applicant is to be attached.

Application for Approval of Attachment of Subsidiary Intermediary to Principal Intermediary

23. Form INT-2, as set out in Annex B, is the specified form for section 34V(3)(a) of the Ordinance for an applicant applying under section 34V(1) of the Ordinance for approval of another person who is an individual to be attached to the applicant for carrying on regulated activities.

24. Form INT-3, as set out in Annex C, is the specified form for section 34V(3)(a) of the Ordinance for an applicant applying under section 34V(1) of the Ordinance for approval of another person who is a licensed long term insurance agency to be attached to the applicant for carrying on regulated activities.

25. Form INT-5, as set out in Annex E, is the specified form for section 34V(3)(a) of the Ordinance for an applicant applying under section 34V(1) of the Ordinance for approval of a person who is already a subsidiary intermediary to be attached to the applicant for carrying on regulated activities.

Application for Approval as Responsible Officer

26. Form INT-4, as set out in Annex D, is the specified form for section 34W(3)(a) of the Ordinance for an applicant applying under section 34W(1) of the Ordinance for approval of an individual as an officer with specified responsibilities in relation to the applicant.

Withdrawal of Consent by Principal Intermediary

27. Both Form INT-5 (Annex E) and eForm INT-5B (Annex F), are the specified forms for section 34ZG(2) of the Ordinance to be submitted by a principal intermediary for giving notice of withdrawal of consent to a subsidiary intermediary attached to the principal intermediary for carrying on regulated activities for the principal intermediary. Principal intermediaries may choose to submit either the physical form (i.e. Form INT-5) or the electronic form (i.e. eForm INT-5B) through the electronic system designated by the MPFA.

QUALIFYING EXAMINATIONS

28. The following examinations are the qualifying examinations specified for section 34U(4)(f) of the Ordinance:

(a) the "Mandatory Provident Fund Schemes Examination" conducted by the Vocational Training Council; and

(b) the "MPF Intermediaries Examination" conducted by the Hong Kong Securities and Investment Institute.

29. For the avoidance of doubt, the specified qualifying examinations include examinations held whether before or after the effective date of the Guidelines.

DESIGNATION OF THE eService

30. The MPFA has designated the eService as an electronic system under section 6KA(1) and (2) of the Ordinance for use for the purposes of sections 34ZE(2), 34ZG(2) and 34ZI(2) of the Ordinance, such that with effect from 31 August 2020, the notifications can be submitted electronically in accordance with section 206(2)(c) of the Regulation. The MPFA also publishes information

about the designation of the eService in these guidelines.

31. In these guidelines, eService means an electronic system for registered intermediaries to use their user identity (ID) assigned by the MPFA to submit electronic notifications pursuant to sections 34ZE(2), 34ZG(2) and 34ZI(2) of the Ordinance through the MPFA's website.

SIGNATURE REQUIRMENTS ON THE SPECIFIED FORMS

32. The signature requirement which applies to the physical forms is not applicable to the electronic form. Registered intermediaries must use their user IDs assigned by the MPFA and their individual passwords as authentication to submit the electronic form (Annex F) through the eService.

SUBMISSION OF APPLICATION AND NOTIFICATION

33. Completed specified forms for the applications made under sections 34T(1), 34U(1), 34V(1) and 34W(1) of the Ordinance and the relevant application documents should be submitted in hard copies and sent by post or by hand, together with the application fees.

34. Registered intermediaries may submit notifications under sections 34ZE(2), 34ZG(2) and 34ZI(2) of the Ordinance by electronic means through the eService or by hard copy.

35. Hard copy of the applications and notifications should be submitted to:

Mandatory Provident Fund Schemes Authority
Level 8, Tower 1, Kowloon Commerce Centre
51 Kwai Cheong Road, Kwai Chung
Hong Kong

NOTIFICATION OF CHANGES

36. The MPFA considers that the following are "address" or "contact details" of a principal intermediary and a subsidiary intermediary that are required to be notified to the MPFA within seven working days after a change has occurred under sections 34ZE(1) and 34ZI(1) of the Ordinance:

(a) For Principal Intermediary (section 34ZE(1))

(i) Address:

(1) Address of Principal Place of Business in Hong Kong (English and Chinese);

(2) Address of Registered Office *(if different from the Address of Principal Intermediary's Principal Place of Business)*; and

(3) Correspondence Address *(if different from the Address of Principal Intermediary's Principal Place of Business)*.

(ii) Contact Details:

(1) Principal Intermediary's Telephone Number;

(2) Principal Intermediary's Fax Number;

(3) Principal Intermediary's Email Address;

(4) Contact Person's Name (English and Chinese);

(5) Contact Person's Office Address *(if different from the Address of Principal Intermediary's Principal Place of Business)*;

(6) Contact Person's Telephone Number;

(7) Contact Person's Fax Number;

(8) Contact Person's Email Address; and

(9) Office Address(es) of its Responsible Officer(s).

(b) For Subsidiary Intermediary (Licensed Long Term Insurance

Agency) (section 34ZI(1))

(i) Address:

(1) Address of Principal Place of Business in Hong Kong (English and Chinese);

(2) Address of Registered Office *(if different from the Address of Subsidiary Intermediary's Principal Place of Business)*; and

(3) Correspondence Address *(if different from the Address of Subsidiary Intermediary's Principal Place of Business)*.

(ii) Contact Details:

(1) Subsidiary Intermediary's Telephone Number;

(2) Subsidiary Intermediary's Fax Number;

(3) Subsidiary Intermediary's Email Address;

(4) Contact Person's Name (English and Chinese);

(5) Contact Person's Telephone Number;

(6) Contact Person's Fax Number; and

(7) Contact Person's Email Address.

(c) For Subsidiary Intermediary (Individual) (section 34ZI(1))

(i) Address:

(1) Residential Address; and

(2) Office Address of Responsible Officer *(if Subsidiary Intermediary is a Responsible Officer)*.

(ii) Contact Details:

(1) Mobile Telephone Number;

(2) Office Telephone Number; and

(3) Business Email Address.

DEFINITION OF TERMS

37. 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.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

Application for Registration as a Principal Intermediary

(under section 34T(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

Form INT-1
PI-Application

Section I – PARTICULARS OF APPLICANT	
Name in English	
Name in Chinese *(if any)*	
Business Registration No.	
Address of Principal Place of Business in Hong Kong (English)	_____ _____ _____ _____ *(Flat/Room)* *(Floor)* *(Block)* *(Name of Building)* _____ _____ *(Number & Name of Street)* *(District)* *HK / KLN / NT *(Please delete as appropriate)*
Address of Principal Place of Business in Hong Kong (Chinese)	_____ _____ _____ _____ *(Flat/Room)* *(Floor)* *(Block)* *(Name of Building)* _____ _____ *(Number & Name of Street)* *(District)* *HK / KLN / NT *(Please delete as appropriate)*
Address of Registered Office *(if different from the Address of Principal Place of Business in Hong Kong)*	_____ _____ _____ _____ *(Flat/Room)* *(Floor)* *(Block)* *(Name of Building)* _____ _____ *(Number & Name of Street)* *(District)* *HK / KLN / NT *(Please delete as appropriate)*
Correspondence Address *(if different from the Address of Principal Place of Business in Hong Kong)*	_____ _____ _____ _____ *(Flat/Room)* *(Floor)* *(Block)* *(Name of Building)* _____ _____ *(Number & Name of Street)* *(District)* *HK / KLN / NT *(Please delete as appropriate)*
Telephone No.	
Fax No.	
Email Address	

Section II – PARTICULARS OF PERSON(S) PROPOSED TO BE APPOINTED AS RESPONSIBLE OFFICER(S) *(If there is insufficient space, please continue on a separate sheet)*		
Name in English *(same as HKID Card)*	1.	2.
Name in Chinese *(if any)* (*same as HKID Card*)	1.	2.
HKID Card No.	1.	2.
MPF Registration No. *(if any)*	1.	2.

Section III – COMPLIANCE OFFICER INFORMATION		
Name *(same as HKID Card)*	(English) _____ _____ (*Surname*) (*Other Names*)	(Chinese) *(if any)* _____ _____ (*Surname*) (*Other Name*)
Position held		
Telephone No.		
Fax No.		
Email Address		

Section IV – CONTACT PERSON INFORMATION (IF DIFFERENT FROM COMPLIANCE OFFICER INFORMATION)		
Name *(same as HKID Card)*	(English) _____ _____ (*Surname*) (*Other Names*)	(Chinese) *(if any)* _____ _____ (*Surname*) (*Other Name*)
Position held		
Office Address *(if different from the Address of Principal Place of Business of the Applicant)*	_____ _____ _____ _____ *(Flat/Room)* *(Floor)* *(Block)* *(Name of Building)* _____ _____ *(Number & Name of Street)* *(District)* *HK / KLN / NT *(Please delete as appropriate)*	
Telephone No.		
Fax No.		
Email Address		

Section V – QUALIFICATION(S) AS A "TYPE A REGULATEE"

*(Please tick **ALL** qualifications as a Type A regulatee **currently** possessed by your corporation.)*

Securities and Futures Commission Regime
☐ Licensed Corporation (Type 1 and/or Type 4)
Hong Kong Monetary Authority Regime
☐ Authorized Financial Institution (Type 1 and/or Type 4)
Insurance Authority Regime
☐ Authorized Long Term Insurer
☐ Licensed Long Term Insurance Broker Company

Section VI – FURTHER INFORMATION OF APPLICANT

1. Have any of your qualifications as a Type A regulatee, currently or formerly possessed by your corporation, been revoked on disciplinary grounds under circumstances as specified in s34J(1) of the MPFSO, within one year immediately before the date of signing this application?

   Yes/No*

2. Do you have any of your qualifications as a Type A regulatee, that is currently possessed by your corporation, currently suspended under circumstances as specified in s34J(2) of the MPFSO?

   Yes/No*

3. Has your registration as an MPF registered intermediary (if any) ever been revoked by the MPFA under s34ZW(3)(a)(i) of the MPFSO within one year immediately before the date of signing this application?

   Yes/No*

4. Has your corporation ever been disqualified by the MPFA under s34ZW(3)(a)(ii) of the MPFSO from being registered as an intermediary for carrying on regulated activities?

   Yes/No*

** (please delete as appropriate)*

Section VII – DECLARATION

We, the above-named applicant, hereby

1. **declare** that to the best of our knowledge and belief, all information given in this application (including this Form and all attachments) is correct and complete.✦
2. **agree** to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in support of this application.
3. **agree** to, before this application is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application (including this Form and all attachments).
4. **declare** that the board of directors / the partnership has passed a resolution approving this application.
5. **understand** that s34ZE(5) of the MPFSO makes it an offence for a person who, without reasonable excuse, fails to give the MPFA a notice in writing of any cessation, change, acquisition or suspension in relation to principal intermediary referred to in s34ZE(1) of the MPFSO within seven working days after it occurs.

Name of Authorized Signatory *(same as HKID Card)* *(The Authorized Signatory must be a sole proprietor, partner or director of the Applicant.)*	1.	2.
Capacity	Sole Proprietor / Partner / Director* Authorized by the Applicant **(Please delete as appropriate)*	Sole Proprietor / Partner / Director* Authorized by the Applicant **(Please delete as appropriate)*
Authorized Signature[1]	1.	2.
Date of Signature[2]		

✦ **Warning**: Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of $100,000 for the first occasion and two years' imprisonment and a fine of $200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

Section VIII – CONSENT / AUTHORIZATION

We, _____(Name of the Applicant)

Business Registration No.:_____, hereby

1. **certify** that we have read the attached Personal Information Collection Statement (PICS) and **understand** our rights and obligations in relation to the personal data provided by us to the MPFA and **consent** to the manner in which the personal data may be used or dealt with as specified in the PICS;
2. **consent** to the MPFA using, disclosing or transferring information (including personal data where applicable) and materials provided or to be provided by us or relating to us which are obtained by the MPFA in the exercise or performance of its functions (whether obtained in application(s), notification(s), annual return(s), complaints handling, investigation, disciplinary proceedings, enforcement or otherwise) (the Relevant Information) in a manner similar to that for personal data mentioned in the PICS;

[1] Please see *Explanatory Note 1* on the signing requirements.
[2] Please see *Explanatory Note 2*.

3. **consent** to the MPFA disclosing or transferring the Relevant Information to each and all of the Insurance Authority, the Hong Kong Monetary Authority and the Securities and Futures Commission (the three regulators), even if we do not possess any qualification capacity under all of the three regulators, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application and other applications relating to us, our ongoing registration as an MPF intermediary or any purpose incidental thereto;
4. **consent** to the MPFA disclosing or transferring the Relevant Information to any panel or committee established by the Chief Executive or the Financial Secretary for the purpose of reviewing or advising on procedural or policy matters in relation to the performance or exercising of the MPFA's functions;
5. **consent** to the three regulators disclosing and transferring to the MPFA information (including but not limited to personal data where applicable) and materials provided or to be provided by us or relating to us, whether obtained by them in their respective regimes or not, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application or other applications relating to us, our ongoing registration as an MPF intermediary or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
6. **consent** to the MPFA and/or the three regulators comparing, verifying or carrying out matching procedure (as defined in the Personal Data (Privacy) Ordinance) on information (including but not limited to personal data where applicable) disclosed or transferred to them under (3) or (5) above (as the case may be) with information (including personal data where applicable) held or to be held by them; and
7. **understand** that the results of the comparison verification or matching procedure mentioned above (including those mentioned in the PICS where applicable) may result in the MPFA rejecting this application or other application(s) relating to us and where applicable, suspension or revocation of our registration as an MPF intermediary, suspension or revocation of approval of attachment of subsidiary intermediary/intermediaries to us, suspension or revocation of approval of our responsible officer(s), updating of the register of intermediaries for regulated activities, the MPFA exercising any power under the MPFSO and/or other regulators exercising any power under the MPFSO or their respective regimes.

Name of Authorized Signatory *(same as HKID Card)* *(The Authorized Signatory must be a sole proprietor, partner or director of the applicant.)*	1.	2.
Capacity	Sole Proprietor / Partner / Director* Authorized by the Applicant **(Please delete as appropriate)*	Sole Proprietor / Partner / Director* Authorized by the Applicant **(Please delete as appropriate)*
Authorized Signature[3]	1.	2.
Date of Signature[4]		

For Official Use Only					
Application No.			MPF Registration No.		
Receipt Date			MPF Registration Date		
Input Officer		Checking Officer		Approving Officer	

[3] Please see *Explanatory Note 1* on the signing requirements.
[4] Please see *Explanatory Note 2*.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

Application for Registration as a Principal Intermediary

Notes on Completion of this Form

1. Please read the *Handbook on MPF Intermediary Registration* (available at the Mandatory Provident Fund Schemes Authority (MPFA) website - www.mpfa.org.hk) and the *Personal Information Collection Statement* below before completing this Form.

2. All boxes must be completed. If it is not applicable, please write "N/A".

3. A copy of the relevant business registration certificate must accompany this Form. In the case of a limited company, a copy of the certificate of incorporation or the certificate of registration if an overseas company, must accompany this Form.

4. Please note that an application will not be approved if any of the statutory requirements is not satisfied. Such requirements include but are not limited to the applicant being a Type A regulatee of an industry regulator at the time of submitting the application (Section V).

5. Please note that this Form must be submitted together with [Form INT-2] (registration as a subsidiary intermediary and approval of attachment of a subsidiary intermediary to a principal intermediary) and [Form INT-4] (approval as a responsible officer) if an individual who will act as a responsible officer has not yet been registered as a subsidiary intermediary. If an individual who will act as a responsible officer has already been registered as a subsidiary intermediary, then this Form should be submitted together with [Form INT-5] for approval of attachment of the subsidiary intermediary to the applicant and [Form INT-4] (approval as a responsible officer).

6. Please initial any amendments made in this Form.

7. Please note that the MPFA may require further information and/or documentary evidence in support of the application when necessary.

8. Please also note that some of the information provided in the application form may appear in a public register of intermediaries for regulated activities.

9. The application fee is HK$2,340. Please make the payment by a crossed cheque in Hong Kong dollar payable to "MPFA Administration Account" or such other electronic payment methods as provided by the MPFA from time to time.

Please staple your cheque here (Cheque no.:_____) and write down the following information of the applicant on the back of the cheque:

- ☐ ***name***
- ☐ ***day time contact number***

Explanatory Notes

1. Signing Requirements

   This application form must be signed by:

   (a) a sole-proprietor if the applicant is in form of a sole-proprietorship;

   (b) two partners if the applicant is in form of a partnership;

   (c) a director of the applicant if the applicant is in form of a limited company with a sole director; and

   (d) two directors authorized by the board of directors of the applicant if the applicant is in form of a limited company with two or more directors.

2. If there is any delay in submitting this application to the MPFA after signing, supplemental information or confirmation in writing may be required from the applicant and where applicable, the relevant parties, and that may delay the application.

Personal Information Collection Statement

This Personal Information Collection Statement is made in accordance with the Personal Data (Privacy) Ordinance (PDPO). You are advised to read the following regarding your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the Mandatory Provident Fund Schemes Authority (MPFA) may use or deal with such data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in support of an application for the registration as an MPF intermediary and/or an application for approval of attachment of a subsidiary intermediary to a principal intermediary/corporation seeking to be a principal intermediary and/or an application for approval of an individual as a responsible officer and/or any other form of application and/or pursuant to the MPFA's request for information (as the case may be) will be used by the MPFA for one or more of the following purposes:

   (a) exercising or performing its functions under the Mandatory Provident Fund Schemes Ordinance (MPFSO) including but not limited to ensuring compliance with the MPFSO, regulating sales and marketing activities and the giving of advice in relation to registered schemes, registration of MPF intermediaries, granting approval of responsible officers and related matters, inspection, investigation, and taking disciplinary or enforcement action;

   (b) processing any application made by you under the MPFSO;

   (c) considering any application made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);

   (d) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;

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

   (f) for research and statistical purposes; and

   (g) other purposes as permitted by law.

2. Failure to supply the requested personal data may result in delay in the processing of or, as the case may be, refusal of your application and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

Transfer / Matching of Personal Data

3. The MPFA may disclose or transfer the personal data to other persons including the bodies listed below for one or more of the aforesaid purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, or pursuant to any regulatory or investigatory assistance arrangements between the MPFA and other regulators or law enforcement agents:

   (a) the Hong Kong Monetary Authority;

   (b) the Insurance Authority;

   (c) the Securities and Futures Commission;

   (d) examination bodies for conducting qualifying examinations;

   (e) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;

   (f) the Chief Executive;

   (g) the Financial Secretary;

   (h) the Commissioner of Inland Revenue;

   (i) the Official Receiver appointed under the Bankruptcy Ordinance;

(j) 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);

(k) the Registrar of Occupational Retirement Schemes;

(l) the Financial Reporting Council established under the Financial Reporting Council Ordinance;

(m) the Hong Kong Police Force;

(n) any relevant courts, panels, tribunals and committees; and

(o) other law enforcement agents or government/regulatory bodies.

4. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the regulators listed in paragraph 3 (a), (b) and (c) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

Public Register

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain whether he/she is dealing with a regulated person (including MPF intermediary) in matters of or connected with any regulated activity or the approval of an individual as a responsible officer of a principal intermediary, a member of the public may inspect the register or may inspect a reproduction of any information recorded in the register in a legible form (as the case may be), free of charge. A member of the public may also on payment of a prescribed fee obtain a copy or a certified true copy of an entry in or extract of the register.

Access to Personal Data

6. You are entitled under the PDPO to ascertain whether the MPFA holds personal data relating to you, and to request access to or to request the correction of any personal data relating to you held by the MPFA, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the Personal Data Privacy Officer of the MPFA at Level 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

Form INT-2
SI-Application
(Individual)

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

Applications for Registration as a Subsidiary Intermediary (by an Individual) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary

(under sections 34U(1) and 34V(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

Section I – PARTICULARS OF APPLICANT (For Registration as a Subsidiary Intermediary)	
Name in English *(same as HKID Card)*	_____ _____ *(Surname)* *(Other Names)*
Name in Chinese *(if any)* *(same as HKID Card)*	_____ _____ *(Surname)* *(Other Name)*
Salutation	Mr/Miss/Mrs/Ms **(Please delete as appropriate)*
HKID Card No.	_____( )
Residential Address	_____ _____ _____ _____ *(Flat/Room)* *(Floor)* *(Block)* *(Name of Building)* _____ _____ *(Number & Name of Street)* *(District)* *HK / KLN / NT* **(Please delete as appropriate)* _____ _____ _____ _____ *(Country)* *(City)* *(State)* *(Postal Code (if any))*
Mobile Telephone No.	
Office Telephone No.	
Business Email Address	
Personal Email Address (optional)	

Section II – QUALIFYING EXAMINATION	
Examination Body (Qualifying Examination)	☐ Vocational Training Council (Mandatory Provident Fund Schemes Examination) ☐ Hong Kong Securities and Investment Institute (MPF Intermediaries Examination) *(Please tick the appropriate box)*
Date of Passing Examination (dd/mm/yyyy)	
*Please ensure that you take and pass a qualifying examination specified by the MPFA within one year immediately before the date of application (1) if you have **not** been registered as an MPF intermediary for the past three years OR (2) if you have been registered as a subsidiary intermediary for the past three years, but your registration has been revoked and the last revocation is because of non-compliance of continuing training requirement.*	

Section III – QUALIFICATION(S) AS A TYPE B REGULATEE

*(Please tick **ALL** qualifications as a Type B regulatee which you **currently** possess.)*

Securities and Futures Commission Regime

☐ Licensed Representative (Type 1 and/or Type 4)

Hong Kong Monetary Authority Regime

☐ Relevant Individual (including Executive Officer) (Type 1 and/or Type 4)

Insurance Authority Regime

☐ Licensed Long Term Individual Insurance Agent

☐ Licensed Long Term Technical Representative (Agent)

☐ Licensed Long Term Technical Representative (Broker)

Section IV – FURTHER INFORMATION OF APPLICANT

1. Have any of your qualifications as a Type B regulatee, currently or formerly possessed by you, been revoked on disciplinary grounds as specified in s34K(1) of the MPFSO within one year immediately before the date of signing this application?

   Yes/No*

2. Do you have any of your qualifications as a Type B regulatee, that is currently possessed by you, currently suspended as specified in s34K(2) of the MPFSO?

   Yes/No*

3. Has your registration as an MPF registered intermediary (if any) ever been revoked by the MPFA under s34ZW(3)(a)(i) of the MPFSO within one year immediately before the date of signing this application?

   Yes/No*

4. Have you ever been disqualified by the MPFA under s34ZW(3)(a)(ii) of the MPFSO from being registered as an intermediary for carrying on regulated activities?

   Yes/No*

**(please delete as appropriate)*

Section V – DECLARATION	
I, the above-named applicant, hereby 1. **declare** that to the best of my knowledge and belief, all information given in this application (including this Form and all attachments) is correct and complete.✦ 2. **agree** to immediately notify the MPFA of any matter which has come to my attention and which may affect the validity of any information given in support of this application. 3. **agree** to, before this application is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application (including this Form and all attachments). 4. **understand** that s34ZI(3) of the MPFSO makes it an offence for a person who, without reasonable excuse, fails to give the MPFA a notice in writing of the change, acquisition, cessation or suspension in relation to subsidiary intermediary referred to in s34ZI(1) of the MPFSO within seven working days after it occurs.	
Name of Applicant *(same as HKID Card)*	
Signature of Applicant	
Date of Signature[1]	

✦ **Warning**: Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of $100,000 for the first occasion and two years' imprisonment and a fine of $200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

[1] Please see *Explanatory Notes.*

Section VI - CONSENT / AUTHORIZATION

I,_____(name of the individual applicant for registration as a subsidiary intermediary), hereby

1. **certify** that I have read the attached Personal Information Collection Statement (PICS) and **understand** my rights and obligations in relation to the personal data provided by me to the MPFA and **consent** to the manner in which the personal data may be used or dealt with as specified in the PICS;
2. **consent** to the MPFA using, disclosing or transferring information (including personal data where applicable) and materials provided or to be provided by me or relating to me which are obtained by the MPFA in the exercise or performance of its functions (whether obtained in application(s), notification(s), annual return(s), complaints handling, investigation, disciplinary proceedings, enforcement or otherwise) (the Relevant Information) in a manner similar to that for personal data mentioned in the PICS;
3. **consent** to the MPFA disclosing or transferring the Relevant Information to each and all of the Insurance Authority, the Hong Kong Monetary Authority and the Securities and Futures Commission (the three regulators), even if I do not possess any qualification capacity under all of the three regulators, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application and other applications relating to me, my ongoing registration as an MPF intermediary or any purpose incidental thereto;
4. **consent** to the MPFA disclosing or transferring the Relevant Information to any panel or committee established by the Chief Executive or the Financial Secretary for the purpose reviewing or advising on procedural or policy matters in relation to the performance or exercising of the MPFA's functions;
5. **consent** to the three regulators disclosing or transferring to the MPFA information (including but not limited to personal data where applicable) and materials provided or to be provided by me or relating to me, whether obtained by them in their respective regimes or not, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application or other application relating to me, my ongoing registration as an MPF intermediary or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
6. **consent** to my principal intermediary/intermediaries, to which I was/am/will be attached, disclosing or transferring to the MPFA and/or the three regulators personal data, other information and materials provided or to be provided by me or relating to me, for the purposes of verifying information, performing functions of the MPFA or of the other regulators, or for the purposes of this application or any other application made by me or relating to me, my ongoing registration as an MPF intermediary or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
7. **consent** to the examination body/bodies, which conduct(s) qualifying examination(s) specified by the MPFA under the MPFSO, currently the Hong Kong Securities and Investment Institute, and the Vocational Training Council, disclosing or transferring to the MPFA personal data (including my Hong Kong Identify Card number and my examination records) and other information and materials provided or to be provided by me or relating to me, for the purposes of verifying information, performing functions of the MPFA, or for the purposes of this application or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
8. **consent** to the provider(s) of MPF training that is specified by the MPFA under the MPFSO disclosing or transferring my personal data (including MPF registration number and the title, date and training hours of the MPF Continuing Professional Development activities or other training that I have attended), other information and materials provided or to be provided by me or relating to me to the MPFA, for the purposes of verifying information, performing functions of the MPFA or of other regulators, monitoring my compliance with the MPF training requirements, my ongoing registration as a subsidiary intermediary and any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
9. **consent** to the MPFA and/or the three regulators comparing, verifying or carrying out matching procedure (as defined in the Personal Data (Privacy) Ordinance) on information (including but not limited to personal data where applicable) disclosed or transferred to them under (3), (5), (6), (7) or (8) above (as the case may be) with information (including personal data where applicable) held or to be held by them; and

10. **understand** that the results of the comparison verification or matching procedure mentioned above (including those mentioned in the PICS where applicable) may result in the MPFA rejecting application(s) relating to me and where applicable, suspension or revocation of my registration as an MPF intermediary, suspension or revocation of approval of my attachment to a principal intermediary, suspension or revocation of approval as responsible officer, updating of the register of intermediaries for regulated activities, the MPFA exercising any power under the MPFSO and/or other regulators exercising any power under the MPFSO or their respective regimes, if the results show that I do not possess the relevant qualification capacity or that my qualification capacity has been terminated, suspended or revoked, or that I have failed to comply with any MPF continuing training requirements, or that I have failed to pass a qualifying examination specified by the MPFA within the time specified in the MPFSO.	
Name of Applicant *(same as HKID Card)*	
Signature of Applicant	
Date of Signature[2]	

Section VII – DECLARATION BY PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY, TO WHICH THE APPLICANT IS TO BE ATTACHED (For Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary)

1. We hereby apply for approval of attachment of [_____] **(name of the individual applicant for registration as a subsidiary intermediary)** (Applicant) to our corporation as the principal intermediary for the purpose of carrying on regulated activities.
2. We give our consent to the Applicant being an intermediary to carry on regulated activities for our corporation.
3. We certify that the Applicant is employed by, or acts as an agent or representative for our corporation.
4. We declare that the Applicant is a Type B regulatee of an industry regulator that is the frontline regulator of our corporation assigned by the MPFA (applicable to registered principal intermediary only).
5. We declare that to the best of our knowledge and belief the information given in this Form is correct and complete.✦
6. We undertake to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in this Form.
7. We undertake to, before this application for approval of attachment is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application (including all attachments).

Principal Intermediary / Corporation Seeking to be a Principal Intermediary	
Name	
MPF Registration No.(if any)/Business Registration No. if there is no MPF Registration No.	
Name of Contact Person	
Telephone No. of Contact Person	

[2] Please see *Explanatory Notes.*

Name of Authorized Signatory *(same as HKID Card)* (Responsible Officer of/Person Authorized by, the Principal Intermediary, **OR** Person Authorized by the Corporation Seeking to be a Principal Intermediary*) **(Please delete as appropriate)*	
Position held	
Authorized Signature	
Date of Signature[3]	

✦ **Warning**: Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of $100,000 for the first occasion and two years' imprisonment and a fine of $200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

For Official Use Only					
Application No.			MPF Registration No.		
Receipt Date			MPF Registration Date		
Input Officer		Checking Officer		Approving Officer	

[3] Please see *Explanatory Notes.*

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

Application for Registration as a Subsidiary Intermediary (by an Individual) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary

Notes on Completion of this Form

1. Please read the *Handbook on MPF Intermediary Registration* (available at the Mandatory Provident Fund Schemes Authority (MPFA) website - www.mpfa.org.hk) and the *Personal Information Collection Statement* below before completing this Form.

2. All boxes must be completed. If it is not applicable, please write "N/A".

3. Please attach a copy of your Hong Kong identity card to the application.

4. Please note that your application will not be approved if any of the statutory requirements is not satisfied. Such requirements include but are not limited to (i) you are a Type B regulatee of an industry regulator but not a Type A regulatee of any industry regulator at the time of submitting the application, and (ii) you have, within one year immediately before the date of the application, passed a qualifying examination specified by the MPFA unless you have been registered as a subsidiary intermediary for the past three years and your registration has not been last revoked by the MPFA due to the non-compliance of continuing training requirement.

5. Please initial any amendments made in this Form.

6. Please note that the MPFA may require further information and/or documentary evidence in support of the application when necessary.

7. Please also note that some of the information provided in the application form may appear in a public register of intermediaries for regulated activities.

8. The total application fees are HK$420 (HK$290 for registration of a subsidiary intermediary and HK$130 for approval of attachment of a subsidiary intermediary to a principal intermediary). Please make the payment by a crossed cheque in Hong Kong dollar payable to "MPFA Administration Account" or such other electronic payment methods as provided by the MPFA from time to time.

Please staple your cheque here (Cheque no.:_____) and write down the following information of the applicant on the back of the cheque:

- ☐ ***name***
- ☐ ***day time contact number***

Explanatory Notes

1. If there is any delay in submitting this application to the MPFA after signing, supplemental information or confirmation in writing may be required from the applicant and where applicable, the relevant parties, and that may delay the application.

Personal Information Collection Statement

This Personal Information Collection Statement is made in accordance with the Personal Data (Privacy) Ordinance (PDPO). You are advised to read the following regarding your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the Mandatory Provident Fund Schemes Authority (MPFA) may use or deal with such data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in support of an application for the registration as an MPF intermediary and/or an application for approval of attachment of a subsidiary intermediary to a principal intermediary/corporation seeking to be a principal intermediary and/or an application for approval of an individual as a responsible officer and/or any other form of application and/or pursuant to the MPFA's request for information (as the case may be) will be used by the MPFA for one or more of the following purposes:

   (a) exercising or performing its functions under the Mandatory Provident Fund Schemes Ordinance (MPFSO) including but not limited to ensuring compliance with the MPFSO, regulating sales and marketing activities and the giving of advice in relation to registered schemes, registration of MPF intermediaries, granting approval of responsible officers and related matters, inspection, investigation, and taking disciplinary or enforcement action;

   (b) processing any application made by you under the MPFSO;

   (c) considering any application made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);

   (d) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;

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

   (f) for research and statistical purposes; and

   (g) other purposes as permitted by law.

2. Failure to supply the requested personal data may result in delay in the processing of or, as the case may be, refusal of your application and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

Transfer / Matching of Personal Data

3. The MPFA may disclose or transfer the personal data to other persons including the bodies listed below for one or more of the aforesaid purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, or pursuant to any regulatory or investigatory assistance arrangements between the MPFA and other regulators or law enforcement agents:

   (a) the Hong Kong Monetary Authority;

   (b) the Insurance Authority;

   (c) the Securities and Futures Commission;

   (d) examination bodies for conducting qualifying examinations;

   (e) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;

   (f) the Chief Executive;

   (g) the Financial Secretary;

   (h) the Commissioner of Inland Revenue;

   (i) the Official Receiver appointed under the Bankruptcy Ordinance;

   (j) 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);

(k) the Registrar of Occupational Retirement Schemes;

(l) the Financial Reporting Council established under the Financial Reporting Council Ordinance;

(m) the Hong Kong Police Force;

(n) any relevant courts, panels, tribunals and committees; and

(o) other law enforcement agents or government/regulatory bodies.

4. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the regulators listed in paragraph 3(a), (b) and (c) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

Public Register

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain whether he/she is dealing with a regulated person (including MPF intermediary) in matters of or connected with any regulated activity or the approval of an individual as a responsible officer of a principal intermediary, a member of the public may inspect the register or may inspect a reproduction of any information recorded in the register in a legible form (as the case may be), free of charge. A member of the public may also on payment of a prescribed fee obtain a copy or a certified true copy of an entry in or extract of the register.

Access to Personal Data

6. You are entitled under the PDPO to ascertain whether the MPFA holds personal data relating to you, and to request access to or to request the correction of any personal data relating to you held by the MPFA, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the Personal Data Privacy Officer of the MPFA at Level 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

Form INT-3
SI-Application
(Ins. Agency)

Applications for Registration as a Subsidiary Intermediary
(by a Licensed Long Term Insurance Agency) and
Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary

(under sections 34U(1) and 34V(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

Section I – PARTICULARS OF APPLICANT (For Registration as a Subsidiary Intermediary)	
Name in English	
Name in Chinese *(if any)*	
Business Registration No.	
Address of Principal Place of Business in Hong Kong	_____ *(Flat/Room)* _____ *(Floor)* _____ *(Block)* _____ *(Name of Building)* _____ *(Number & Name of Street)* _____ *(District)* *HK / KLN / NT *(Please delete as appropriate)*
Address of Registered Office *(if different from the Address of Principal Place of Business in Hong Kong)*	_____ *(Flat/Room)* _____ *(Floor)* _____ *(Block)* _____ *(Name of Building)* _____ *(Number & Name of Street)* _____ *(District)* *HK / KLN / NT *(Please delete as appropriate)*
Correspondence Address *(if different from the Address of Principal Place of Business in Hong Kong)*	_____ *(Flat/Room)* _____ *(Floor)* _____ *(Block)* _____ *(Name of Building)* _____ *(Number & Name of Street)* _____ *(District)* *HK / KLN / NT *(Please delete as appropriate)*
Telephone No.	
Fax No.	
Email Address	

Contact Person Information		
Name *(same as HKID card)*	(English) _____ _____ (*Surname*) (*Other Names*)	(Chinese) *(if any)* _____ _____ (*Surname*) (*Other Name*)
Position held		
Telephone No.		
Fax No.		
Email Address		

Section II – FURTHER INFORMATION OF APPLICANT

(a) Is your corporation a Type B regulatee of an industry regulator (by being a licensed long term insurance agency) but not a Type A regulatee of an industry regulator?

Yes/No*

(b) Have any of your corporation's qualifications as a Type B regulatee of any industry regulator, currently or formerly possessed by your corporation, been revoked on disciplinary grounds as specified in s34K(1) of the MPFSO within one year immediately before the date of signing this application?

Yes/No*

(c) Do you have any of your corporation's qualifications as a Type B regulatee, that is currently possessed by your corporation, currently suspended as specified in s34K(2) of the MPFSO?

Yes/No*

(d) Has your corporation's registration as an MPF registered intermediary (if any) ever been revoked by the MPFA under s34ZW(3)(a)(i) of the MPFSO within one year immediately before the date of signing this application?

Yes/No*

(e) Has your corporation ever been disqualified by the MPFA under s34ZW(3)(a)(ii) of the MPFSO from being registered as an intermediary for carrying on regulated activities?

Yes/No*

**(please delete as appropriate)*

Section III – DECLARATION

We, the above-named applicant, hereby

1. **declare** that to the best of our knowledge and belief, all information given in this application (including this Form and all attachments) is correct and complete.✦
2. **agree** to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in support of this application.
3. **agree** to, before this application is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application (including this Form and all attachments).
4. **declare** that the board of directors / the partnership has passed a resolution approving this application.
5. **understand** that s34ZI(3) of the MPFSO makes it an offence for a person who, without reasonable excuse, fails to give the MPFA a notice in writing of the change, acquisition, cessation or suspension in relation to subsidiary intermediary referred to in s34ZI(1) of the MPFSO within seven working days after it occurs.

Name of Authorized Signatory *(same as HKID Card)* *(The Authorized Signatory must be a sole proprietor, partner or director of the applicant.)*	1.	2.
Capacity	Sole Proprietor / Partner / Director* Authorized by the Applicant **(Please delete as appropriate)*	Sole Proprietor / Partner / Director* Authorized by the Applicant **(Please delete as appropriate)*
Authorized Signature[1]	1.	2.
Position held		
Date of Signature[2]		

✦ **Warning**: Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of $100,000 for the first occasion and two years' imprisonment and a fine of $200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

[1] Please see *Explanatory Note 1* on the signing requirements.

[2] Please see *Explanatory Note 2*.

Section IV - CONSENT / AUTHORIZATION

We,_____(name of the applicant for registration of as a subsidiary intermediary)

Business Registration No.:_____ , hereby

1. **certify** that we have read the attached Personal Information Collection Statement (PICS) and **understand** our rights and obligations in relation to the personal data provided by us to the MPFA and **consent** to the manner in which the personal data may be used or dealt with as specified in the PICS;
2. **consent** to the MPFA using, disclosing or transferring information (including personal data where applicable) and materials provided or to be provided by us or relating to us which are obtained by the MPFA in the exercise or performance of its functions (whether obtained in application(s), notification(s), annual return(s), complaints handling, investigation, disciplinary proceedings, enforcement or otherwise) (the Relevant Information) in a manner similar to that for personal data mentioned in the PICS;
3. **consent** to the MPFA disclosing or transferring the Relevant Information to each and all of the Insurance Authority, the Hong Kong Monetary Authority and the Securities and Futures Commission (the three regulators), even if we do not possess any qualification capacity under all of the three regulators, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application and other applications relating to us, our ongoing registration as an MPF intermediary or any purpose incidental thereto;
4. **consent** to the MPFA disclosing or transferring the Relevant Information to any panel or committee established by the Chief Executive or the Financial Secretary for the purpose reviewing or advising on procedural or policy matters in relation to the performance or exercising of the MPFA's functions;
5. **consent** to the three regulators disclosing or transferring to the MPFA the information (including but not limited to personal data where applicable) and materials provided or to be provided by us or relating to us, whether obtained by them in their respective regimes or not, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application or other application relating to us, our ongoing registration as an MPF intermediary or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
6. **consent** to our principal intermediary/intermediaries, to which we were/are/will be attached, disclosing or transferring to the MPFA and/or the three regulators personal data, other information and materials provided or to be provided by me or relating to me, for the purposes of verifying information, performing functions of the MPFA or of the other regulators, or for the purposes of this application or any other application made by me or relating to me, my ongoing registration as an MPF intermediary or any purpose incidental thereto;
7. **consent** to the MPFA and/or the three regulators comparing, verifying or carrying out matching procedure (as defined in the PDPO) on information (including but not limited to personal data where applicable) disclosed or transferred to them under (3), (5) or (6) above (as the case may be) with information (including personal data where applicable) held or to be held by them; and
8. **understand** that the results of the comparison verification or matching procedure mentioned above (including those mentioned in the PICS where applicable) may result in the MPFA rejecting application(s) relating to us and where applicable, suspension or revocation of our registration as an MPF intermediary, suspension or revocation of approval of our attachment to a principal intermediary, updating of the register of intermediaries for regulated activities, the MPFA exercising any power under the MPFSO and/or other regulators exercising any power under the MPFSO or their respective regimes, if the results show that we do not possess the relevant qualification capacity or that our qualification capacity has been terminated, suspended or revoked.

Name of Authorized Signatory *(same as HKID Card)*	1.	2.
Capacity	Sole Proprietor / Partner / Director* Authorized by the Applicant **(Please delete as appropriate)*	Sole Proprietor / Partner / Director* Authorized by the Applicant **(Please delete as appropriate)*
Authorized Signature[3]	1.	2.

[3] Please see *Explanatory Note 1* on the signing requirements.

Position held		
Date of Signature[4]		

[4] Please see *Explanatory Note 2.*

Section V – DECLARATION BY PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY, TO WHICH THE APPLICANT IS TO BE ATTACHED (For Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary)

1. We hereby apply for approval of attachment of **[_____] (name)** (Applicant) to our corporation for the purpose of carrying on regulated activities.
2. We give our consent to the Applicant being an intermediary to carry regulated activities for our corporation.
3. We certify that the Applicant acts as an agent for our corporation.
4. We declare that the Applicant is a Type B regulatee of an industry regulator that is the frontline regulator of our corporation assigned by the MPFA (applicable to registered principal intermediary only).
5. We declare that to the best of our knowledge and belief the information given in this Form is correct and complete.✦
6. We agree to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in this Form.
7. We agree to, before this application for approval of attachment is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application (including all attachments).

Principal Intermediary / Corporation Seeking to be a Principal Intermediary	
Name	
MPF Registration No.(if any)/Business Registration No. if there is no MPF Registration No.	
Name of Contact Person	
Telephone No. of Contact Person	
Name of Authorized Signatory *(same as HKID Card)* *(Responsible Officer of / Person Authorized by the Principal Intermediary **OR** Person Authorized by the Corporation Seeking to be a Principal Intermediary*)* **(Please delete as appropriate)*	
Position held	
Authorized Signature[5]	
Date of Signature[6]	

✦ **Warning**: Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of $100,000 for the first occasion and two years' imprisonment and a fine of $200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

[5] Please see *Explanatory Note 1* on the signing requirements

[6] Please see *Explanatory Note 2.*

For Official Use Only					
Application No.			MPF Registration No.		
Receipt Date			MPF Registration Date		
Input Officer		Checking Officer		Approving Officer	

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

Application for Registration as a Subsidiary Intermediary (by a Licensed Long Term Insurance Agency) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary

Notes on Completion of this Form

1. Please read the *Handbook on MPF Intermediary Registration* (available at the Mandatory Provident Fund Schemes Authority (MPFA) website - www.mpfa.org.hk) and the *Personal Information Collection Statement* below before completing this Form.

2. All boxes must be completed. If it is not applicable, please write "N/A".

3. A copy of the relevant business registration certificate must accompany this Form. In the case of a limited company, a copy of the certificate of incorporation or the certificate of registration if an overseas company must accompany this Form.

4. Please note that applications by using this form will not be approved if any of the statutory requirements is not satisfied. Such requirements include but are not limited to the requirement that you are a Type B regulatee of an industry regulator (being a licensed long term insurance agency) but not a Type A regulatee of any industry regulator at the time of submitting the application.

5. Please initial any amendments made in this Form.

6. Please note that the MPFA may require further information and/or documentary evidence in support of the application, when necessary.

7. Please also note that some of the information provided in the application form may appear in a public register of intermediaries for regulated activities.

8. The total application fees are HK$420 (HK$290 for registration of a subsidiary intermediary and HK$130 for approval of attachment of a subsidiary intermediary to a principal intermediary). Please make the payment by a crossed cheque in Hong Kong dollar payable to "MPFA Administration Account" or such other electronic payment methods as provided by the MPFA from time to time.

Please staple your cheque here (Cheque no.:_____) and write down the following information of the applicant on the back of the cheque:

- ☐ ***name***
- ☐ ***day time contact number***

Explanatory Notes

1. Signing Requirements

   This application form must be signed by:

   (a) a sole-proprietor if the applicant is in form of a sole-proprietorship;

   (b) two partners if the applicant is in form of a partnership;

   (c) a director of the applicant if the applicant is in form of a limited company with a sole director; and

   (d) two directors authorized by the board of directors of the applicant if the applicant is in form of a limited company with two or more directors.

2. If there is any delay in submitting this application to the MPFA after signing, supplemental information or confirmation in writing may be required from the applicant and where applicable, the relevant parties, and that may delay the application.

Personal Information Collection Statement

This Personal Information Collection Statement is made in accordance with the Personal Data (Privacy) Ordinance (PDPO). You are advised to read the following regarding your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the Mandatory Provident Fund Schemes Authority (MPFA) may use or deal with such data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in support of an application for the registration as an MPF intermediary and/or an application for approval of attachment of a subsidiary intermediary to a principal intermediary/corporation seeking to be a principal intermediary and/or an application for approval of an individual as a responsible officer and/or any other form of application and/or pursuant to the MPFA's request for information (as the case may be) will be used by the MPFA for one or more of the following purposes:

   (a) exercising or performing its functions under the Mandatory Provident Fund Schemes Ordinance (MPFSO) including but not limited to ensuring compliance with the MPFSO, regulating sales and marketing activities and the giving of advice in relation to registered schemes, registration of MPF intermediaries, granting approval of responsible officers and related matters, inspection, investigation, and taking disciplinary or enforcement action;

   (b) processing any application made by you under the MPFSO;

   (c) considering any application made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);

   (d) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;

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

   (f) for research and statistical purposes; and

   (g) other purposes as permitted by law.

2. Failure to supply the requested personal data may result in delay in the processing of or, as the case may be, refusal of your application and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

Transfer / Matching of Personal Data

3. The MPFA may disclose or transfer the personal data to other persons including the bodies listed below for one or more of the aforesaid purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, or pursuant to any regulatory or investigatory assistance arrangements between the MPFA and other regulators or law enforcement agents:

   (a) the Hong Kong Monetary Authority;

   (b) the Insurance Authority;

   (c) the Securities and Futures Commission;

   (d) examination bodies for conducting qualifying examinations;

   (e) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;

   (f) the Chief Executive;

   (g) the Financial Secretary;

   (h) the Commissioner of Inland Revenue;

   (i) the Official Receiver appointed under the Bankruptcy Ordinance;

   (j) 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);

(k) the Registrar of Occupational Retirement Schemes;

(l) the Financial Reporting Council established under the Financial Reporting Council Ordinance;

(m) the Hong Kong Police Force;

(n) any relevant courts, panels, tribunals and committees; and

(o) other law enforcement agents or government/regulatory bodies.

4. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the regulators listed in paragraph 3(a), (b) and (c) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

Public Register

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain whether he/she is dealing with a regulated person (including MPF intermediary) in matters of or connected with any regulated activity or the approval of an individual as a responsible officer of a principal intermediary, a member of the public may inspect the register or may inspect a reproduction of any information recorded in the register in a legible form (as the case may be), free of charge. A member of the public may also on payment of a prescribed fee obtain a copy or a certified true copy of an entry in or extract of the register.

Access to Personal Data

6. You are entitled under the PDPO to ascertain whether the MPFA holds personal data relating to you, and to request access to or to request the correction of any personal data relating to you held by the MPFA, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the Personal Data Privacy Officer of the MPFA at Level 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

Form INT-4
RO-Application

Application for Approval of an Individual as a Responsible Officer

(under section 34W(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

Name of Principal Intermediary / Corporation Seeking to be a Principal Intermediary*:

_____

**(Please delete as appropriate)*

MPF Registration No. (if any) / Business Registration No. if there is no MPF Registration No.:

_____

Section I – PARTICULARS OF INDIVIDUAL TO ACT AS A RESPONSIBLE OFFICER	
Name in English *(same as HKID Card)*	_____ *(Surname)* _____ *(Other Names)*
Name in Chinese *(if any)* (*same as HKID Card*)	_____ *(Surname)* _____ *(Other Name)*
HKID Card No.	_____( )
Office Address (English) *(if different from the Address of Principal Place of Business of the Principal Intermediary)*	_____ *(Flat/Room)* _____ *(Floor)* _____ *(Block)* _____ *(Name of Building)* _____ *(Number & Name of Street)* _____ *(District)* *HK / KLN / NT *(Please delete as appropriate)*
Office Address (Chinese) *(if different from the Address of Principal Place of Business of the Principal Intermediary)*	_____ *(Flat/Room)* _____ *(Floor)* _____ *(Block)* _____ *(Name of Building)* _____ *(Number & Name of Street)* _____ *(District)* *HK / KLN / NT *(Please delete as appropriate)*
MPF Registration No. (if any)	
Position held	

Is the individual applying to act as your "Responsible Officer" already registered as a Subsidiary Intermediary?

- ☐ No, please go to Section II and arrange for the individual and your corporation to complete Form INT-2 "SI Application-Individual" for registration and approval of attachment
- ☐ Yes

  Is the individual currently attached to your corporation?

  - ☐ Yes, please go to Section II
  - ☐ No, please go to Section II and arrange for your corporation to complete Form INT – 5 "Change Attachment" for approval of attachment of the individual to your corporation

  Please note that the individual attached to your corporation does not include an individual whose registration as a subsidiary intermediary is suspended under Part 4A of the MPFSO or the approval of whose attachment to your corporation is suspended under the same Part.

Does the individual also act as a responsible officer/executive officer in other regulatory regimes (the Securities and Futures Commission, the Hong Kong Monetary Authority and the Insurance Authority)?

- ☐ No
- ☐ Yes, please specify:_____

Section II – JOB RESPONSIBILITIES OF INDIVIDUAL TO ACT AS A RESPONSIBLE OFFICER IN THE PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY, AND INDIVIDUAL'S POSITION IN THE CORPORATION STRUCTURE

Please state the job responsibilities (please attach a separate sheet if there is insufficient space):

***Please provide an organization chart showing the position of the individual in the corporation structure.**

Section III – RESOURCES AND SUPPORT TO BE PROVIDED TO THE INDIVIDUAL BY THE PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY

Please describe what resources and support your corporation will provide to the individual who will act as a responsible officer of your corporation (please attach a separate sheet if there is insufficient space):

Section IV – DECLARATION BY THE PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY

1. We apply for approval of the above-named individual to act as an officer with specified responsibilities (as specified in s34I(3) of the MPFSO in relation to our corporation as the Principal Intermediary and confirm that he/she has sufficient authority within our corporation to carry out the specified responsibilities. We also undertake to provide him/her with sufficient resources and support to carry out the specified responsibilities in relation to our corporation.
2. To the best of our knowledge, information and belief, we confirm that, within one year immediately before the date of signing this application, the individual has not had an approval as a responsible officer revoked under s34ZW(4)(a)(i) of the MPFSO by the MPFA.
3. To the best of our knowledge, information and belief, we also confirm that the individual is not disqualified under s34ZW(4)(a)(ii) of the MPFSO by the MPFA from being approved as an officer with specified responsibilities in relation to a principal intermediary. We declare that to the best of our knowledge and belief all information given in this application (including this Form and all attachments) is correct and complete.✦
4. We agree to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in support of this application.
5. We agree to, before this application is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application.
6. We declare that the board of directors / the partnership has passed a resolution approving this application.

Principal Intermediary / Corporation Seeking to be a Principal Intermediary	
Name	
MPF Registration No.(if any) / Business Registration No. if there is no MPF Registration No.	
Name of Contact Person	
Telephone No. of Contact Person	
Name of Authorized Signatory *(same as HKID Card)* *(The authorized signatory must be a sole proprietor, partner or director, depending on the company form of the principal intermediary or the corporation seeking to be a principal intermediary.)*	
Capacity	Sole Proprietor / Partner / Director * **(Please delete as appropriate)*
Authorized Signature	
Date of Signature[1]	

✦ **Warning**: Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of $100,000 for the first occasion and two years' imprisonment and a fine of $200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

[1] Please see *Explanatory Notes.*

Section V – DECLARATION OF INDIVIDUAL TO ACT AS A RESPONSIBLE OFFICER

I, _____(name of the individual to act as a Responsible Officer of the applicant), hereby:

1. **certify** that I have read the attached Personal Information Collection Statement (PICS) and **understand** my rights and obligations in relation to my personal data and **consent** to the manner in which the personal data may be used or dealt with as specified in the PICS;
2. **consent** to the application made herein by the Principal Intermediary / Corporation Seeking to be a Principal Intermediary (the applicant) for approving myself as, and I agree to so act as, an officer with specified responsibilities in relation to it;
3. **declare** that all information relating to me and given in the applicant's application (including this Form and all supplements and attachments) is correct and complete;✦
4. **undertake** to immediately notify the MPFA of any matter which has come to my attention and which may affect the validity of any information given in support of the applicant's application;
5. **undertake** to, before this application is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in the applicant's application (including this Form and all attachments); and
6. **undertake** to, after this application is approved, notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this Form within seven working days of the change.

Name of Individual *(same as HKID Card)*	
Signature of Individual	
Date of Signature[2]	

✦ **Warning**: Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of $100,000 for the first occasion and two years' imprisonment and a fine of $200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

For Official Use Only					
Application No.					
Receipt Date			Date of Approval		
Input Officer		Checking Officer		Approving Officer	

[2] Please see *Explanatory Notes.*

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

Application for Approval of an Individual as a Responsible Officer

Notes on Completion of this Form

1. This Form should be completed by a principal intermediary who would like to apply for approval of an individual as a responsible officer. The relevant individual should also complete section V of this Form. Please read the *Handbook on MPF Intermediary Registration* (available at the Mandatory Provident Fund Schemes Authority (MPFA) website - www.mpfa.org.hk) and the *Personal Information Collection Statement* below before completing this Form.

2. All boxes must be completed. If it is not applicable, please write "N/A".

3. Please initial any amendments made in this Form.

4. Please note that, when necessary, the MPFA may require further information and/or documentary evidence in support of the application.

5. Please also note that some of the information provided in the application form may appear in a public register of intermediaries for regulated activities.

6. The application fee is HK$660. Please make the payment by a crossed cheque in Hong Kong dollar payable to "MPFA Administration Account" or such other electronic payment methods as provided by the MPFA from time to time.

Please staple your cheque here (Cheque no.:_____) and write down the following information of the applicant on the back of the cheque:

- ☐ ***name***
- ☐ ***day time contact number***

Explanatory Notes

1. If there is any delay in submitting this application to the MPFA after signing, supplemental information or confirmation in writing may be required from the applicant and where applicable, the relevant parties, and that may delay the application.

Personal Information Collection Statement

This Personal Information Collection Statement is made in accordance with the Personal Data (Privacy) Ordinance (PDPO). You are advised to read the following regarding your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the Mandatory Provident Fund Schemes Authority (MPFA) may use or deal with such data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in support of an application for the registration as an MPF intermediary and/or an application for approval of attachment of a subsidiary intermediary to a principal intermediary/corporation seeking to be a principal intermediary and/or an application for approval of an individual as a responsible officer and/or any other form of application and/or pursuant to the MPFA's request for information (as the case may be) will be used by the MPFA for one or more of the following purposes:

   (a) exercising or performing its functions under the Mandatory Provident Fund Schemes Ordinance (MPFSO) including but not limited to ensuring compliance with the MPFSO, regulating sales and marketing activities and the giving of advice in relation to registered schemes, registration of MPF intermediaries, granting approval of responsible officers and related matters, inspection, investigation, and taking disciplinary or enforcement action;

   (b) processing any application made by you under the MPFSO;

   (c) considering any application made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);

   (d) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;

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

   (f) for research and statistical purposes; and

   (g) other purposes as permitted by law.

2. Failure to supply the requested personal data may result in delay in the processing of or, as the case may be, refusal of your application and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

Transfer / Matching of Personal Data

3. The MPFA may disclose or transfer the personal data to other persons including the bodies listed below for one or more of the aforesaid purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, or pursuant to any regulatory or investigatory assistance arrangements between the MPFA and other regulators or law enforcement agents:

   (a) the Hong Kong Monetary Authority;

   (b) the Insurance Authority;

   (c) the Securities and Futures Commission;

   (d) examination bodies for conducting qualifying examinations;

   (e) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;

   (f) the Chief Executive;

   (g) the Financial Secretary;

   (h) the Commissioner of Inland Revenue;

   (i) the Official Receiver appointed under the Bankruptcy Ordinance;

   (j) 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);

(k) the Registrar of Occupational Retirement Schemes;

(l) the Financial Reporting Council established under the Financial Reporting Council Ordinance;

(m) the Hong Kong Police Force;

(n) any relevant courts, panels, tribunals and committees; and

(o) other law enforcement agents or government/regulatory bodies.

4. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the regulators listed in paragraph 3(a), (b) and (c) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

Public Register

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain whether he/she is dealing with a regulated person (including MPF intermediary) in matters of or connected with any regulated activity or the approval of an individual as a responsible officer of a principal intermediary, a member of the public may inspect the register or may inspect a reproduction of any information recorded in the register in a legible form (as the case may be), free of charge. A member of the public may also on payment of a prescribed fee obtain a copy or a certified true copy of an entry in or extract of the register.

Access to Personal Data

6. You are entitled under the PDPO to ascertain whether the MPFA holds personal data relating to you, and to request access to or to request the correction of any personal data relating to you held by the MPFA, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the Personal Data Privacy Officer of the MPFA at Level 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

Form INT-5
Change
Attachment

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary / Application for Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary (Form to be completed by Principal Intermediary/Corporation seeking to be a Principal Intermediary)

(under section 34ZG(2)/section 34V(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

Name of Principal Intermediary / Corporation Seeking to be a Principal Intermediary*:

_____

**(Please delete as appropriate)*

MPF Registration No. (if any) / Business Registration No. if there is no MPF Registration No.:

_____

Section I – SUBSIDIARY INTERMEDIARIES (INDIVIDUALS) WHO CEASE TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY
(If there is insufficient space, please continue on a separate sheet.)

No.	Name *(same as HKID Card for individuals)* *(in alphabetical order)*		MPF Registration No.	Effective Date for Withdrawal of Consent by the Principal Intermediary, for the attachment of its subsidiary intermediaries *(The Effective Date must not be earlier than the Date on which this notice is given to the MPFA (Notification Date)[1]. If the Effective Date stated is earlier than the Notification Date to the MPFA, then the Notification Date will be treated as the Effective Date.)*	Responsible Officer (Yes /No)
	Surname	Other Names			
Total number of subsidiary intermediaries who cease to be attached					

[1] Please refer to *Explanatory Note 1.*

Section II – SUBSIDIARY INTERMEDIARIES (LICENSED LONG TERM INSURANCE AGENCIES) WHO CEASE TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY

(If there is insufficient space, please continue on a separate sheet.)

No.	Name *(in alphabetical order)*	MPF Registration No.	Effective Date for Withdrawal of Consent by the Principal Intermediary, for the attachment of its subsidiary intermediaries *(The Effective Date must not be earlier than the Date on which this notice is given to the MPFA (Notification Date)[2]. If the Effective Date stated is earlier than the Notification Date to the MPFA, then the Notification Date will be treated as the Effective Date.)*
Total number of subsidiary intermediaries which cease to be attached			

[2] Please refer to *Explanatory Note 1.*

Section III – SUBSIDIARY INTERMEDIARIES (INDIVIDUALS) TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY[3]

(If there is insufficient space, please continue on a separate sheet)

No.	Name *(same as HKID Card)* *(in alphabetical order)*		MPF Registration No.	Qualification(s) as a Type B Regulatee[4]	To act as Responsible Officer (Yes/No) *(If yes, "Form INT-4 RO-Application" should also be completed to apply for approval of the subsidiary intermediary as a responsible officer.)*
	Surname	Other Names			
Total number of subsidiary intermediaries to be attached					

Section IV – SUBSIDIARY INTERMEDIARIES (LICENSED LONG TERM INSURANCE AGENCIES) TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY[3]

(If there is insufficient space, please continue on a separate sheet)

No.	Name *(in alphabetical order)*	MPF Registration No.	Qualification(s) as a Type B Regulatee[4]
Total number of subsidiary intermediaries to be attached			

[3] Including those subsidiary intermediaries to be newly attached within 90 days of the cessation of their last attachment or to be attached to an additional principal intermediary.

[4] Please refer to *Explanatory Note 2*.

Section V – DECLARATION BY PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY

1. **For the cessation of the attachment of subsidiary intermediaries:**

   We, the abovenamed Principal Intermediary, hereby **give notice** of our withdrawal of consent to the subsidiary intermediaries listed in Section I/II being intermediaries carrying on regulated activities for our corporation.

2. **For subsidiary intermediaries to be attached to the principal intermediary:**

   (a) We, the abovenamed Principal Intermediary / Corporation Seeking to be a Principal Intermediary* *(delete as appropriate)*, hereby **apply** for approval of attachment of the subsidiary intermediaries listed in Section III/IV to our corporation for carrying on regulated activities.

   (b) We **give** our **consent** to the subsidiary intermediaries listed in Section III/IV being intermediaries to carry on regulated activities for our corporation.

   (c) We **certify** that these subsidiary intermediaries to be attached to our corporation are employed by, or act as agents or representatives for our corporation.

   (d) We **declare** that these subsidiary intermediaries are Type B regulatees of an industry regulator that is the frontline regulator of our corporation (applicable to registered principal intermediary only).

   (e) We **agree to**, before this application for approval of attachment is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in support of this application for approval of attachment.

3. We **certify** that we have read the attached Personal Information Collection Statement (PICS) and understand our rights and obligations in relation to the personal data provided by us to the MPFA and consent to the manner in which the personal data may be used or dealt with as specified in the PICS.

4. We **declare** that to the best of our knowledge and belief, the information given in this Form (including attachments) is correct and complete.✦

5. We **agree** to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in this Form.

Name of Authorized Signatory *(same as HKID Card)* (Responsible Officer of / Person Authorized by, the Principal Intermediary; Person Authorized by the Corporation Seeking to be a Principal Intermediary; **AND/OR** Sole-proprietor / Partner / Director authorized by the Principal Intermediary in the situation where one or more responsible officer(s) cease(s) to be attached to the Principal Intermediary)* **(Please delete as appropriate)*	
Position held	
Authorized Signature	
Date of Signature	

✦ **Warning**: Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of $100,000 for the first occasion and two years' imprisonment and a fine of $200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

For Official Use Only					
Application No.					
Receipt Date			Date of Updating		
Input Officer		Checking Officer		Approving Officer	

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary / Application for Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary (Form to be completed by Principal Intermediary / Corporation seeking to be a Principal Intermediary)

Notes on Completion of this Form

1. This Form is to be completed by a principal intermediary to notify the Mandatory Provident Fund Schemes Authority (MPFA) of withdrawal of its consent to a Subsidiary Intermediary for carrying on regulated activities for the Principal Intermediary / for applying for approval of attachment of a Subsidiary Intermediary to the Principal Intermediary / Corporation seeking to be a Principal Intermediary for the purpose of carrying on regulated activities.
2. Please read the *Handbook on MPF Intermediary Registration* (available at the MPFA website - www.mpfa.org.hk) and the *Personal Information Collection Statement* below before completing this Form.
3. Please initial any amendments made in this Form.
4. Please note that the MPFA may require further information and/or documentary evidence in support of the withdrawal of consent to a Subsidiary Intermediary and/or the application for approval of attachment of a Subsidiary Intermediary.
5. Please also note that some of the information provided in the notification / application may appear in a public register of intermediaries for regulated activities.
6. For application for approval of attachment of a subsidiary intermediary to a principal intermediary, the application fee for each application in respect of each of the subsidiary intermediaries named in sections III and IV of this Form is HK$130. Please make the payment by a crossed cheque in Hong Kong dollar payable to "MPFA Administration Account" or such other electronic payment methods as provided by the MPFA from time to time.
7. No fee is currently charged for notification of a principal intermediary's withdrawal of consent to a subsidiary intermediary.

Please staple your cheque here (Cheque no.:_____) and write down the following information of the applicant on the back of the cheque:

- ☐ ***name***
- ☐ ***day time contact number***

Explanatory Notes

1. (a) For a notification of withdrawal of consent given under this form, the notification date is, in general, the date on which the MPFA **receives** this form.

   (b) For an application for approval of attachment made under this form, if there is any delay in submitting the application to the MPFA after signing, supplemental information or confirmation in writing may be required from the applicant and where applicable, the relevant parties, and that may delay the application.

2. Please provide information on all Type B qualifications which the subsidiary intermediary currently possesses.

   Sections III and IV must be completed by using the following code(s):

Regime	**Code**
Securities and Futures Commission Regime	
Licensed Representative (Type 1 and/or Type 4)	RA
Hong Kong Monetary Authority Regime	
Relevant Individual (including Executive Officer) (Type 1 and/or Type 4)	REI
Insurance Authority Regime	
Licensed Long Term Individual Insurance Agent	LAP
Licensed Long Term Insurance Agency	LAC
Licensed Long Term Technical Representative (Agent)	TRA
Licensed Long Term Technical Representative (Broker)	TRB

Personal Information Collection Statement

This Personal Information Collection Statement is made in accordance with the Personal Data (Privacy) Ordinance (PDPO). You are advised to read the following regarding your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the Mandatory Provident Fund Schemes Authority (MPFA) may use or deal with such data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in support of an application for approval of attachment of a subsidiary intermediary to a principal intermediary/corporation seeking to be a principal intermediary and/or notification of principal intermediary's withdrawal of consent to a subsidiary intermediary and/or pursuant to the MPFA's request for information (as the case may be) will be used by the MPFA for one or more of the following purposes:

   (a) exercising or performing its functions under the Mandatory Provident Fund Schemes Ordinance (MPFSO) including but not limited to ensuring compliance with the MPFSO, regulating sales and marketing activities and the giving of advice in relation to registered schemes, registration of MPF intermediaries, granting approval of responsible officers and related matters, inspection, investigation, and taking disciplinary or enforcement action;

   (b) processing any application made by you under the MPFSO;

   (c) considering any application made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);

   (d) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;

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

   (f) for research and statistical purposes; and

   (g) other purposes as permitted by law.

2. Failure to supply the requested personal data may result in delay in the processing of or, as the case may be, refusal of your application or notification, and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

Transfer / Matching of Personal Data

3. The MPFA may disclose or transfer the personal data to other persons including the bodies listed below for one or more of the aforesaid purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, or pursuant to any regulatory or investigatory assistance arrangements between the MPFA and other regulators or law enforcement agents:

   (a) the Hong Kong Monetary Authority;

   (b) the Insurance Authority;

   (c) the Securities and Futures Commission;

   (d) examination bodies for conducting qualifying examinations;

   (e) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;

   (f) the Chief Executive;

   (g) the Financial Secretary;

   (h) the Commissioner of Inland Revenue;

   (i) the Official Receiver appointed under the Bankruptcy Ordinance;

   (j) 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);

(k) the Registrar of Occupational Retirement Schemes;

(l) the Financial Reporting Council established under the Financial Reporting Council Ordinance;

(m) the Hong Kong Police Force;

(n) any relevant courts, panels, tribunals and committees; and

(o) other law enforcement agents or government/regulatory bodies.

4. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the regulators listed in paragraph 3(a), (b) and (c) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

Public Register

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain whether he/she is dealing with a regulated person (including MPF intermediary) in matters of or connected with any regulated activity or the approval of an individual as a responsible officer of a principal intermediary, a member of the public may inspect the register or may inspect a reproduction of any information recorded in the register in a legible form (as the case may be), free of charge. A member of the public may also on payment of a prescribed fee obtain a copy or a certified true copy of an entry in or extract of the register.

Access to Personal Data

6. You are entitled under the PDPO to ascertain whether the MPFA holds personal data relating to you, and to request access to or to request the correction of any personal data relating to you held by the MPFA, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the Personal Data Privacy Officer of the MPFA at Level 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary

(eForm to be Completed by Principal Intermediary)

(under section 34ZG(2) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

eForm INT-5B
Attachment Cessation

Notes on Completion of this eForm | Personal Information Collection Statement

For a notification of withdrawal of consent given under this eForm, the notification date is, in general, the date on which the MPFA receives this eForm.

Name of principal intermediary:

MPF registration no.:

Section I [SI (Individuals)] | Section II [SI (Licensed Long Term Insurance Agencies)] | Section III [Declaration by PI]

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Section I - SUBSIDIARY INTERMEDIARIES (INDIVIDUALS) WHO CEASE TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY

	Del.	eForm No.	Name (*Same as HKID card for individuals*)		MPF Registration No.	Effective Date for Withdrawal of Consent by the Principal Intermediary, for the Attachment of its Subsidiary Intermediaries *(The effective date must not be earlier than the date on which this notice is given to the MPFA (notification date). If the effective date stated is earlier than the notification date to the MPFA, then the notification date will be treated as the effective date.)*	Responsible Officer *(Please tick the box if the subsidiary intermediary is the responsible officer of your corporation.)*
			Surname	Other Names			
1	☐						☐
2	☐						☐
3	☐						☐
4	☐						☐
5	☐						☐
6	☐						☐
7	☐						☐
8	☐						☐
9	☐						☐
10	☐						☐

11	☐						☐
12	☐						☐
13	☐						☐
14	☐						☐
15	☐						☐
16	☐						☐
17	☐						☐
18	☐						☐
19	☐						☐
20	☐						☐
Total number of subsidiary intermediaries who cease to be attached							

Date of notification submitted to the MPFA

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MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)
Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary
(eForm to be Completed by Principal Intermediary)
(under section 34ZG(2) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

eForm INT-5B
Attachment Cessation

Notes on Completion of this eForm | Personal Information Collection Statement

For a notification of withdrawal of consent given under this eForm, the notification date is, in general, the date on which the MPFA receives this eForm.

Name of principal intermediary:

MPF registration no.:

Section I [SI (Individuals)] | Section II [SI (Licensed Long Term Insurance Agencies)] | Section III [Declaration by PI]

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Section II - SUBSIDIARY INTERMEDIARIES (LICENSED LONG TERM INSURANCE AGENCIES) WHO CEASE TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY

	Del.	eForm No.	Name	MPF Registration No.	Effective Date for Withdrawal of Consent by the Principal Intermediary, for the Attachment of its Subsidiary Intermediaries *(The effective date must not be earlier than the date on which this notice is given to the MPFA (notification date). If the effective date stated is earlier than the notification date to the MPFA, then the notification date will be treated as the effective date.)*
1	☐				
2	☐				
3	☐				
4	☐				
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15	☐					
16	☐					
17	☐					
18	☐					
19	☐					
20	☐					
Total number of subsidiary intermediaries which cease to be attached						

Date of notification submitted to the MPFA	

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MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary

(eForm to be Completed by Principal Intermediary)

(under section 34ZG(2) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

eForm INT-5B
Attachment Cessation

Notes on Completion of this eForm | Personal Information Collection Statement

Name of principal intermediary:

MPF registration no.:

Section I [SI (Individuals)]	Section II [SI (Licensed Long Term Insurance Agencies)]	Section III [Declaration by PI]

Click here to download the Excel template for import Import

Section III - DECLARATION BY PRINCIPAL INTERMEDIARY

1. We, _____, hereby **give notice** of our withdrawal of consent to the subsidiary intermediaries listed in Section I/II being intermediaries carrying on regulated activities for our corporation.
2. We **certify** that we have read the Personal Information Collection Statement (PICS) and **understand** our rights and obligations in relation to the personal data provided by us to the MPFA and consent to the manner in which the personal data may be used or dealt with as specified in the PICS.
3. We **declare** that to the best of our knowledge and belief, the information given in this eForm (including attachments) is correct and complete.✦
4. We **agree** to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in this eForm.

☐ We **have read and understood** each of the above statements in this Section III.

Name of person authorized by the principal intermediary for completing and submitting this notification *(Same as HKID card)* Responsible officer ○ Yes ○ No ☐Sole-proprietor / Partner / Director in the situation where one or more responsible officer(s) cease(s) to be attached to the principal intermediary	
Position of this authorized person	

♦**Warning**: Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of $100,000 for the first occasion and two years' imprisonment and a fine of $200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

Date of notification submitted to the MPFA	

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Notes on Completion of this eForm

1. This eForm is to be completed by a principal intermediary to notify the Mandatory Provident Fund Schemes Authority (MPFA) of withdrawal of its consent to a subsidiary intermediary for carrying on regulated activities for the principal intermediary.
2. Please read the *Handbook on MPF Intermediary Registration* (available at the MPFA website - www.mpfa.org.hk) and the *Personal Information Collection Statement* before completing this eForm.
3. Please note that the MPFA may require further information and/or documentary evidence in support of the withdrawal of consent to a subsidiary intermediary.
4. Please also note that some of the information provided in the notification may appear in a public register of intermediaries for regulated activities.
5. No fee is currently charged for notification of a principal intermediary's withdrawal of consent to a subsidiary intermediary.

Personal Information Collection Statement

This Personal Information Collection Statement is made in accordance with the Personal Data (Privacy) Ordinance (PDPO). You are advised to read the following regarding your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the Mandatory Provident Fund Schemes Authority (MPFA) may use or deal with such data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in support of an application for approval of attachment of a subsidiary intermediary to a principal intermediary/corporation seeking to be a principal intermediary and/or notification of principal intermediary's withdrawal of consent to a subsidiary intermediary and/or pursuant to the MPFA's request for information (as the case may be) will be used by the MPFA for one or more of the following purposes:

(a) exercising or performing its functions under the Mandatory Provident Fund Schemes Ordinance (MPFSO) including but not limited to ensuring compliance with the MPFSO, regulating sales and marketing activities and the giving of advice in relation to registered schemes, registration of MPF intermediaries, granting approval of responsible officers and related matters, inspection, investigation, and taking disciplinary or enforcement action;

(b) processing any application made by you under the MPFSO;

(c) considering any application made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);

(d) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;

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

(f) for research and statistical purposes; and

(g) other purposes as permitted by law.

2. Failure to supply the requested personal data may result in delay in the processing of or, as the case may be, refusal of your application or notification, and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

Transfer / Matching of Personal Data

3. The MPFA may disclose or transfer the personal data to other persons including the bodies listed below for one or more of the aforesaid purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, or pursuant to any regulatory or investigatory assistance arrangements between the MPFA and other regulators or law enforcement agents:

(a) the Hong Kong Monetary Authority;

(b) the Insurance Authority;

(c) the Securities and Futures Commission;

(d) examination bodies for conducting qualifying examinations;

(e) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;

(f) the Chief Executive;

(g) the Financial Secretary;

(h) the Commissioner of Inland Revenue;

(i) the Official Receiver appointed under the Bankruptcy Ordinance;

(j) 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);

(k) the Registrar of Occupational Retirement Schemes;

(l) the Financial Reporting Council established under the Financial Reporting Council Ordinance;

(m) the Hong Kong Police Force;

(n) any relevant courts, panels, tribunals and committees; and

(o) other law enforcement agents or government/regulatory bodies.

4. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the regulators listed in paragraph 3(a), (b) and (c) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

Public Register

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