

## **MANDATORY PROVIDENT FUND SCHEMES AUTHORITY**

### **VI.3 Guidelines on Annual Returns to be Delivered by Registered Intermediaries**

#### **INTRODUCTION**

Pursuant to section 34ZO(1) of the Mandatory Provident Fund Schemes Ordinance (the Ordinance), a person who is a registered intermediary must deliver to the Mandatory Provident Fund Schemes Authority (MPFA) for every reporting period a return in the specified form.

2. Pursuant to section 34ZO(6) of the Ordinance, the MPFA may specify a date on which the reporting period begins and must publish the date in any manner it considers appropriate.

3. 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.

4. Section 6KA(1) and (2) of the Ordinance provide that the MPFA may designate an electronic system that is established and operated by it or a wholly owned subsidiary for the purposes of the Ordinance (other than Part 3B).

5. Section 6KA(7) of the Ordinance provides, amongst 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.

6. 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.

7. The MPFA hereby issues guidelines:

- (a) to set out the specified form of return pursuant to section 34ZO(1) of the Ordinance;
- (b) to set out matters regarding the designation of an electronic system under section 6KA(1) and (2) of the Ordinance for use for the purposes of section 34ZO(1) of the Ordinance;
- (c) to set out the specified date on which the reporting period begins pursuant to section 34ZO(6)(a) of the Ordinance; and
- (d) to provide guidance on the signature requirements and submission of the specified forms.

## **EFFECTIVE DATE**

8. These revised Guidelines (Version 10 – April 2023) shall become effective on 24 April 2023. The previous version of these Guidelines (Version 9 – December 2021) shall be superseded on that day.

## **SPECIFIED FORMS**

### **Annual Return for a Principal Intermediary**

9. Both Annual Return – PI (Annex A) and eAnnual Return – PI (Annex B) are the specified forms of return to be delivered by a principal intermediary to the MPFA for every reporting period pursuant to section 34ZO(1) of the Ordinance. Principal intermediaries may choose to submit either the physical form (i.e. Annual Return – PI) or the electronic form (i.e. eAnnual

Return – PI) through the electronic system designated by the MPFA to fulfill the reporting requirements.

### **Annual Return for an Individual who is a Subsidiary Intermediary**

10. Both Annual Return – SI (Annex C) and eAnnual Return – SI (Annex D) are the specified forms of return to be delivered by an individual who is a subsidiary intermediary to the MPFA for every reporting period pursuant to section 34ZO(1) of the Ordinance. Subsidiary intermediaries may choose to submit either the physical form (i.e. Annual Return – SI) or the electronic form (i.e. eAnnual Return – SI) through the electronic system designated by the MPFA to fulfill the reporting requirements.

### **DESIGNATION OF THE eService**

11. 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 section 34ZO(1) of the Ordinance, the designation being effective from 23 December 2013. The MPFA also publishes information about the designation of the eService in these guidelines.

12. In these guidelines, eService means an electronic system for registered intermediaries to use the user identities (IDs) assigned by the MPFA when first registered as an MPF intermediary and their individual passwords as an authentication to enable them to submit returns pursuant to section 34ZO(1) through the MPFA website, as well as through mobile app version made available for installation by the MPFA from the relevant app stores. As a start, subsidiary intermediaries will be allowed to submit their annual returns through mobile app.

## **REPORTING PERIOD**

13. 1 January 2013 is the date specified pursuant to section 34ZO(6)(a) of the Ordinance. Pursuant to section 34ZO(7), a reporting period in section 34ZO means a period of 12 months beginning on the date specified by the MPFA under section 34ZO(6)(a) or each successive period of 12 months. This means that 1 January 2013 is the start date of the first reporting period.

## **SIGNATURE REQUIREMENTS FOR THE SPECIFIED FORMS AND AUTHENTICATION OPTION**

14. While the physical forms (Annexes A and C) require the signature of a person, there is no signature requirement for the electronic forms (Annexes B and D). Principal intermediaries must use the user IDs assigned by the MPFA upon registration and their individual passwords as an authentication to submit the electronic form (i.e. eAnnual Return – PI at Annex B) through the eService.

15. For submission of the electronic form (i.e. eAnnual Return – SI at Annex D) through the eService, subsidiary intermediaries must use the user IDs assigned by the MPFA upon registration and their individual passwords, or adopt the authentication mechanism provided in their “iAM Smart” accounts or “iAM Smart+” accounts (collectively “iAM Smart”<sup>1</sup>), as an authentication to log in to the eService.

## **SUBMISSION OF ANNUAL RETURNS**

16. Registered intermediaries may submit annual returns by electronic means through the eService or by hard copy.

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<sup>1</sup> “iAM Smart” is one of the major Government initiatives supporting the smart city development of Hong Kong. It is a digital infrastructure that provides all Hong Kong Identity Card holders with a single digital identity and authentication to conduct government and commercial transactions online. After downloading the “iAM Smart” app and registering for the “iAM Smart” service, individual subsidiary intermediaries can make use of the biometrics functions (including facial recognition and fingerprint identification) provided by their personal mobile devices to authenticate their identities to log in to the eService.

17. Hard copy of the completed returns should be submitted to:  
Mandatory Provident Fund Schemes Authority  
Level 12, Tower 1, The Millennium  
98 How Ming Street, Kwun Tong  
Hong Kong

## **DEFINITION OF TERMS**

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

## **WARNING**

19. It is an offence under section 43E of the Ordinance if a person, in any document given to a prescribed person<sup>2</sup> in connection with the Ordinance, makes a statement that the person knows to be false or misleading in a material respect, or recklessly makes a statement which is false or misleading in a material respect.

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<sup>2</sup> Prescribed person means (a) the MPFA; (b) a system operator of an electronic MPF system; (c) an approved trustee; (d) a trustee of a relevant scheme; or (e) an auditor of an approved trustee or of a registered scheme.

**CONFIDENTIAL****MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)****Annual Return to be Delivered by MPF Principal Intermediary  
For the period 1 January to 31 December 20\_\_\_\_\_**

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

**SECTION I – PARTICULARS OF THE MPF PRINCIPAL INTERMEDIARY**

1. Name in English : \_\_\_\_\_
2. Name in Chinese (if any) : \_\_\_\_\_
3. MPF Registration No. : \_\_\_\_\_
4. Name of Contact Person : \_\_\_\_\_
5. Telephone No. of Contact Person : \_\_\_\_\_
6. E-mail Address of Contact Person : \_\_\_\_\_

**SECTION II – BUSINESS INFORMATION**

- A. During the reporting period, did your company (including the subsidiary intermediaries attached to your company) carry on any MPF regulated activities as defined in s34F of the MPFSO?

Yes	No
Please proceed to complete Sections II B to IV	Please proceed to Section IV - Declaration

- B. Did your company (including the subsidiary intermediaries attached to your company) provide regulated advice on MPF schemes and/or constituent funds, as defined in s34F of the MPFSO?

Provided Regulated Advice on	Employer (Yes/No)	Employee/ Personal Account Holder/ TVC Account <sup>1</sup> Holder (Yes/No)	Self-employed Person (Yes/No)
<b>MPF Schemes</b>			
<b>Constituent Funds</b>			

<sup>1</sup> “TVC account” is an account in an MPF scheme opened by a person under section 11A of the MPFSO and into which Tax Deductible Voluntary Contributions (TVC) are paid and in which the member’s benefits derived from those TVC and the TVC transferred to the account from another TVC account are held.

- C. Please provide the names of all MPF scheme(s) for the purpose of s34F(5) of the MPFSO when your company (including the subsidiary intermediaries attached to your company) carried on regulated activities during the reporting period:

Name of MPF Scheme(s)	Is this the First Reporting Period for Reporting this Scheme under Section II C? (Yes/No)
1.	
2.	
3.	
4.	
5.	

*Please continue on separate sheet if necessary*

- D. Please provide the names of the top five MPF schemes, in terms of the number of forms<sup>2</sup> submitted to MPF trustees involving regulated activities carried on by your company (including the subsidiary intermediaries attached to your company) during the reporting period:

Name of MPF Scheme(s)	Indicate “Yes” If Your Company / Group Company <sup>3</sup> is the Sponsor of this Scheme	Insert the Range Code for the Number of Forms Submitted according to the Range Code Table <sup>4</sup>
1.		
2.		
3.		
4.		
5.		

<sup>2</sup> The data required in Section II D and E are the following forms:

- “Employee Choice Arrangement (ECA) – Transfer Election Form” (Form MPF(S) – P(P)) or the equivalent forms developed by trustees and submitted to trustees
- “Scheme Member’s Request for Fund Transfer Form” (Form MPF(S) – P(M)) or the equivalent forms developed by trustees and submitted to trustees
- “Scheme Member’s Request for Account Consolidation Form” (Form MPF(S) – P(C)) or the equivalent forms developed by trustees and submitted to trustees
- “Scheme Member’s Request for Transfer of Tax Deductible Voluntary Contributions (TVC)” (Form MPF(S)-P(T)) or the equivalent forms developed by trustees and submitted to trustees
- “Employer’s Request for Fund Transfer Form” (Form MPF(S) – P(E)) or the equivalent forms developed by trustees and submitted to trustees
- Forms for setting up new plans for employers and self-employed persons
- Forms for setting up new special voluntary contribution accounts
- Forms for setting up new TVC accounts

<sup>3</sup> Group of companies means any two or more companies or bodies corporate, one of which is the holding company of the other or others.

<sup>4</sup> Range Code Table

Number of Forms	0	1-49	50-99	100-499	500-999	1 000-4 999	5 000-9 999	10 000-49 999	50 000-99 999	100 000 and above
Range Code	A	B	C	D	E	F	G	H	I	J

E. Please provide the following statistics covering the reporting period:

Type of Transaction	Insert the Range Code for the Number of Forms Submitted according to the Range Code Table <sup>4</sup>
1. Employee Choice Arrangement (ECA) transfer <ul style="list-style-type: none"> <li>Please indicate the number of “Employee Choice Arrangement (ECA) – Transfer Election Form” (Form MPF(S) – P(P)) or the equivalent forms developed by trustees and submitted to trustees. (i.e. For transactions related to employees who transfer their accrued benefits from a contribution account to an elected account during employment.)</li> </ul>	
2. Scheme transfer (not related to ECA) <ul style="list-style-type: none"> <li>Please indicate the number of “Scheme Member’s Request for Fund Transfer Form” (Form MPF(S) – P(M)) or the equivalent forms developed by trustees and submitted to trustees. (i.e. For transactions related to self-employed persons, personal account holders, or employees ceasing employment.)</li> </ul>	
3. Personal account consolidation <ul style="list-style-type: none"> <li>Please indicate the number of “Scheme Member’s Request for Account Consolidation Form” (Form MPF(S) – P(C)) or the equivalent forms developed by trustees and submitted to trustees. (i.e. For transactions related to members’ request for consolidating multiple personal accounts into one account.)</li> </ul>	
4. TVC account transfer <ul style="list-style-type: none"> <li>Please indicate the number of “Scheme Member’s Request for Transfer of Tax Deductible Voluntary Contributions (TVC)” (Form MPF(S) – P(T)) or the equivalent forms developed by trustees and submitted to trustees.</li> </ul>	
5. Employer level transfer <ul style="list-style-type: none"> <li>Please indicate the number of “Employer’s Request for Fund Transfer Form” (Form MPF(S) – P(E)) or the equivalent forms developed by trustees and submitted to trustees.</li> </ul>	
6. The number of new plans set up for employers and self-employed persons <ul style="list-style-type: none"> <li>Please indicate the number of employer/self-employed person application forms submitted to trustees.</li> </ul>	



Type of Transaction	Insert the Range Code for the Number of Forms Submitted according to the Range Code Table <sup>4</sup>
7. The number of new special voluntary contribution <sup>5</sup> (SVC) accounts set up <ul style="list-style-type: none"> <li>• Please indicate the number of application forms – SVC submitted to trustees.</li> </ul>	
8. The number of new TVC accounts set up <ul style="list-style-type: none"> <li>• Please indicate the number of application forms – TVC submitted to trustees.</li> </ul>	

### SECTION III – COMPLIANCE / INTERNAL AUDIT

- F. Please indicate the frequency and the date(s) of your company's review to ensure compliance with Part 4A of the MPFSO.

Frequency of Review	
Periodic Review (e.g. once a quarter or once a year) (Yes/No)	Continuing Review (Yes/No)

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

Dates of Conducting Review	
Start Date (DD/MM/YY)	End Date (DD/MM/YY)
1.	
2.	
3.	
4.	

Please continue on separate sheet if necessary

<sup>5</sup> The type of voluntary contributions paid directly by a scheme member to the trustee. Unlike normal voluntary contributions, these contributions do not go through the employer of the member. Trustees may use different names for this contribution service (e.g. Personal Contribution, Additional Voluntary Contribution).

**SECTION IV – DECLARATION**

We confirm that we have in place procedures and controls to ensure compliance with Part 4A of the MPFSO.

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

We confirm that the person completing, signing and submitting this Annual Return is a person duly authorized by the Principal Intermediary, with the authority to do so. The Principal Intermediary and the authorized person will be responsible for the information provided.

We confirm that we have read the Personal Information Collection Statement (PICS) attached 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.

Name of MPF Principal Intermediary : \_\_\_\_\_

Signature of Person as Authorized : \_\_\_\_\_

Name of Person Authorized by the  
Principal Intermediary to Sign the  
Declaration : \_\_\_\_\_

Position of Person Authorized by the  
Principal Intermediary to Sign the  
Declaration : \_\_\_\_\_

Date : \_\_\_\_\_

✦ **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 on 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 respect, or recklessly makes a statement which is false or misleading in a material respect.

~ END ~

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

## Personal Information Collection Statement

This Personal Information Collection Statement is made in accordance with the Personal Data (Privacy) Ordinance (PDPO) (Cap 486). 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 annual return will be used by the MPFA for one or more of the following purposes:
  - (i) 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;
  - (ii) processing annual returns made by you under the MPFSO;
  - (iii) establishing or operating an electronic system(s) for use for the purposes of the MPFSO and providing related services to its users;
  - (iv) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;
  - (v) establishing and keeping a public register of MPF intermediaries for regulated activities;
  - (vi) for research and statistical purposes; and
  - (vii) other purposes as permitted by law.
2. It is obligatory for you to supply your personal data as requested in the Annual Return to be Delivered by MPF Principal Intermediary in processing your annual return. Failure to supply the requested personal data may result in delay in the processing of or, as the case may be, refusal of your annual return or request of the use of the electronic system, 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:
  - (i) the Hong Kong Monetary Authority;
  - (ii) the Insurance Authority;
  - (iii) the Securities and Futures Commission;
  - (iv) examination bodies for conducting qualifying examinations;
  - (v) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;
  - (vi) the Chief Executive;
  - (vii) the Financial Secretary;
  - (viii) the Commissioner of Inland Revenue;
  - (ix) the Official Receiver appointed under the Bankruptcy Ordinance (Cap 6);
  - (x) 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);

- (xi) the Registrar of Occupational Retirement Schemes;
  - (xii) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap 588);
  - (xiii) the Hong Kong Police Force;
  - (xiv) any relevant courts, panels, tribunals and committees; and
  - (xv) 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 (i), (ii) and (iii) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

### **Public Register**

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain 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 12, Tower 1, The Millennium, 98 How Ming Street, Kwun Tong, Hong Kong.

Annual Return



Annual Return to be Delivered by MPF Principal Intermediary  
For the period 1 January to 31 December

(under section 34ZO of the Mandatory Provident Fund Schemes Ordinance, Cap.485 ("MPFSO"))

SECTION I - PARTICULARS OF THE MPF PRINCIPAL INTERMEDIARY

Name in English:	
Name in Chinese (if any):	
MPF Registration No.:	
Name of Contact Person:	<input type="text"/>
Telephone No. of Contact Person:	<input type="text"/>
E-mail Address of Contact Person:	<input type="text"/>

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Annual Return



SECTION II - BUSINESS INFORMATION

A

During the reporting period, did your company (including the subsidiary intermediaries attached to your company) carry on any MPF regulated activities as defined in s34F of the MPFSO?

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If “No” is selected in SECTION II Question A, please proceed to SECTION IV-DECLARATION.

Yes

No

## Annual Return



### SECTION II - BUSINESS INFORMATION

**B**

Did your company (including the subsidiary intermediaries attached to your company) provide regulated advice on MPF schemes and/or constituent funds, as defined in s34F of the MPFSO?

Provided Regulated Advice on	Employer (Yes / No )	Employee/ Personal Account Holder/ TVC Account <sup>Note1</sup> Holder (Yes / No )	Self-Employed Person (Yes / No )
MPF Schemes	<input type="text"/>	<input type="text"/>	<input type="text"/>
Constituent Funds	<input type="text"/>	<input type="text"/>	<input type="text"/>

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Yes  
No

“TVC account” is an account in an MPF scheme opened by a person under section 11A of the MPFSO and into which Tax Deductible Voluntary Contributions (TVC) are paid and in which the member’s benefits derived from those TVC and the TVC transferred to the account from another TVC account are held.

## Annual Return

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### SECTION II - BUSINESS INFORMATION

**C**

Please provide the names of all MPF scheme(s) for the purpose of s34F(5) of the MPFSO when your company (including the subsidiary intermediaries attached to your company) carried on regulated activities during the reporting period:

	Name of MPF Scheme(s)	Is this the First Reporting Period for Reporting this Scheme under this Section II C? (Yes/No)
<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/> <input type="checkbox"/>

Yes  
No

[ Add | Delete ]

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AIA MPF - Prime Value Choice  
 AMTD MPF Scheme  
 BCOM Joyful Retirement MPF Scheme  
 BCT (MPF) Industry Choice  
 BCT (MPF) Pro Choice  
 BEA (MPF) Industry Scheme  
 BEA (MPF) Master Trust Scheme  
 BEA (MPF) Value Scheme  
 BOC-Prudential Easy-Choice Mandatory Provident Fund Scheme  
 China Life MPF Master Trust Scheme  
 Fidelity Retirement Master Trust  
 Haitong MPF Retirement Fund  
 Hang Seng Mandatory Provident Fund - SuperTrust Plus

HSBC Mandatory Provident Fund - SuperTrust Plus  
 Invesco Strategic MPF Scheme  
 Manulife Global Select (MPF) Scheme  
 Manulife RetireChoice (MPF) Scheme  
 MASS Mandatory Provident Fund Scheme  
 My Choice Mandatory Provident Fund Scheme  
 Principal MPF - Simple Plan  
 Principal MPF - Smart Plan  
 Principal MPF Scheme Series 600  
 Principal MPF Scheme Series 800  
 SHKP MPF Employer Sponsored Scheme  
 Sun Life MPF Basic Scheme  
 Sun Life MPF Comprehensive Scheme  
 Sun Life MPF Master Trust  
 Sun Life Rainbow MPF Scheme



## Annual Return

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

SECTION I   SECTION II   SECTION III   SECTION IV   Summary   Confirmation

### SECTION II - BUSINESS INFORMATION

**D**

Please provide the names of the top five MPF schemes, in terms of the number of forms **Note2** submitted to MPF trustees involving regulated activities carried on by your company (including the subsidiary intermediaries attached to your company) during the reporting period:

Name of MPF Scheme(s)	Indicate "Yes" If Your Company / Group Company <b>Note3</b> is the Sponsor of this Scheme	Insert the Range Code for the Number of Forms Submitted according to the Range Code Table <b>Note4</b>
<input type="checkbox"/> <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="text"/>

[ Add | Delete ]

**SAVE AS DRAFT**   **CANCEL**   **BACK**   **NEXT**

Same as the list of Name of MPF Scheme(s) in SECTION II C

Yes  
No

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

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

- A: 0  
 B: 1–49  
 C: 50–99  
 D: 100–499  
 E: 500–999  
 F: 1 000–4 999  
 G: 5 000–9 999  
 H: 10 000–49 999  
 I: 50 000–99 999  
 J: 100 000 and above

Range Code Table

Number of Forms	0	1-49	50-99	100-499	500-999	1 000-4 999	5 000-9 999	10 000-49 999	50 000-99 999	100 000 and above
Range Code	A	B	C	D	E	F	G	H	I	J

## Annual Return



### SECTION II - BUSINESS INFORMATION

**E**

Please provide the following statistics covering the reporting period:

#### Type of Transaction

Insert the Range Code for the Number of Forms Submitted according to the Range Code Table **Note 4**

##### 1. Employee Choice Arrangement (ECA) transfer

Please indicate the number of "Employee Choice Arrangement (ECA) – Transfer Election Form" (Form MPF(S) – P(P)) or the equivalent forms developed by trustees and submitted to trustees. (i.e. For transactions related to employees who transfer their accrued benefits from a contribution account to an elected account during employment.)

##### 2. Scheme transfer (not related to ECA)

Please indicate the number of "Scheme Member's Request for Fund Transfer Form" (Form MPF(S) – P(M)) or the equivalent forms developed by trustees and submitted to trustees. (i.e. For transactions related to self-employed persons, personal account holders, or employees ceasing employment.)

Range Code Table

Number of Forms	0	1-49	50-99	100-499	500-999	1 000-4 999	5 000-9 999	10 000-49 999	50 000-99 999	100 000 and above
Range Code	A	B	C	D	E	F	G	H	I	J

A: 0  
 B: 1–49  
 C: 50–99  
 D: 100–499  
 E: 500–999  
 F: 1 000–4 999  
 G: 5 000–9 999  
 H: 10 000–49 999  
 I: 50 000–99 999  
 J: 100 000 and above

<p><b>3. Personal account consolidation</b></p> <p>Please indicate the number of "Scheme Member's Request for Account Consolidation Form" (Form MPF(S) – P(C)) or the equivalent forms developed by trustees and submitted to trustees.</p> <p>(i.e. For transactions related to members' request for consolidating multiple personal accounts into one account.)</p>	<input type="text"/>
<p><b>4. TVC account transfer</b></p> <p>Please indicate the number of "Scheme Member's Request for Transfer of Tax Deductible Voluntary Contributions (TVC)" (Form MPF(S) – P(T)) or the equivalent forms developed by trustees and submitted to trustees.</p>	<input type="text"/>
<p><b>5. Employer level transfer</b></p> <p>Please indicate the number of "Employer's Request for Fund Transfer Form" (Form MPF(S) – P(E)) or the equivalent forms developed by trustees and submitted to trustees.</p>	<input type="text"/>
<p><b>6. The number of new plans set up for employers and self-employed persons</b></p> <p>Please indicate the number of employer/self-employed person application forms submitted to trustees.</p>	<input type="text"/>
<p><b>7. The number of new special voluntary contribution<sup>Note5</sup> (SVC) accounts set up</b></p> <p>Please indicate the number of application forms - SVC submitted to trustees.</p>	<input type="text"/>
<p><b>8. The number of new TVC accounts set up</b></p> <p>Please indicate the number of application forms - TVC submitted to trustees.</p>	<input type="text"/>

**SAVE AS DRAFT**

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**NEXT**

The type of voluntary contributions paid directly by a scheme member to the trustee. Unlike normal voluntary contributions, these contributions do not go through the employer of the member. Trustees may use different names for this contribution service (e.g. Personal Contribution, Additional Voluntary Contribution).

A: 0  
 B: 1–49  
 C: 50–99  
 D: 100–499  
 E: 500–999  
 F: 1 000–4 999  
 G: 5 000–9 999  
 H: 10 000–49 999  
 I: 50 000–99 999  
 J: 100 000 and above

Annual Return



SECTION III - COMPLIANCE/INTERNAL AUDIT

F

Please indicate the frequency and the date(s) of your company's review to ensure compliance with Part 4A of the MPFSO.

Frequency of Review

Periodic Review (e.g. once a quarter or once a year):	<div>Yes</div> <div>No</div>	<div>→</div> <div>▼</div>
Continuing Review:		<div>→</div> <div>▼</div>

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

Dates of Conducting Review		
	Start Date	End Date
<input type="checkbox"/>		

[ Add | Delete ]

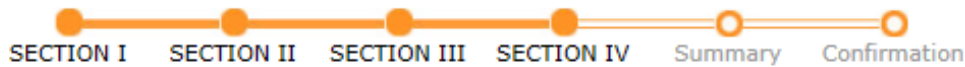
SAVE AS DRAFT

CANCEL

BACK

NEXT

## Annual Return



### SECTION IV – DECLARATION

<input type="checkbox"/>	We confirm that we have in place procedures and controls to ensure compliance with Part 4A of the MPFSO.
<input type="checkbox"/>	We declare that to the best of our knowledge and belief, the information given in this Annual Return is correct and complete. +
<input type="checkbox"/>	We confirm that the person completing and submitting this Annual Return is a person duly authorized by the Principal Intermediary, with the authority to do so. The Principal Intermediary and the authorized person will be responsible for the information provided.
<input type="checkbox"/>	We confirm that we have read the <i>Personal Information Collection Statement</i> (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.

<b>Name of MPF Principal Intermediary</b>	<input type="text"/>
<b>Name of Person Authorized by the Principal Intermediary for Completing and Submitting this Annual Return</b>	<input type="text"/>
<b>Position of this Authorized Person</b>	<input type="text"/>

**+ 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 on 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 respect, or recklessly makes a statement which is false or misleading in a material respect.

<b>SAVE AS DRAFT</b>	<b>CANCEL</b>	<b>BACK</b>	<b>NEXT</b>
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## **Personal Information Collection Statement**

This Personal Information Collection Statement is made in accordance with the Personal Data (Privacy) Ordinance (PDPO) (Cap 486). 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 annual return will be used by the MPFA for one or more of the following purposes:

(i) 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;

(ii) processing annual returns made by you under the MPFSO;

(iii) establishing or operating an electronic system(s) for use for the purposes of the MPFSO and providing related services to its users;

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

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

(vi) for research and statistical purposes; and

(vii) other purposes as permitted by law.

2. It is obligatory for you to supply your personal data as requested in the Annual Return to be Delivered by MPF Principal Intermediary in processing your annual return. Failure to supply the requested personal data may result in delay in the processing of or, as the case may be, refusal of your annual return or request of the use of the electronic system, 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:

(i) the Hong Kong Monetary Authority;

(ii) the Insurance Authority;

(iii) the Securities and Futures Commission;

(iv) examination bodies for conducting qualifying examinations;

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

(vi) the Chief Executive;

(vii) the Financial Secretary;

(viii) the Commissioner of Inland Revenue;

(ix) the Official Receiver appointed under the Bankruptcy Ordinance (Cap 6);

(x) 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);

(xi) the Registrar of Occupational Retirement Schemes;

(xii) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap 588);

(xiii) the Hong Kong Police Force;

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



(xv) 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 (i), (ii) and (iii) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

### **Public Register**

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain 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 12, Tower 1, The Millennity, 98 How Ming Street, Kwun Tong, Hong Kong.

**Continue**



**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)****Continuing Professional Development Annual Return by a  
Subsidiary Intermediary (Individual)**

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

**A. PARTICULARS OF SUBSIDIARY INTERMEDIARY**

Please complete the following particulars:

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

**B. CONTINUING PROFESSIONAL DEVELOPMENT (CPD)**

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

**C. DECLARATION:**

1. I certify that I have read the attached Personal Information Collection Statement (PICS). I understand my rights and obligations in relation to personal data provided by me to the MPFA and agree to the manner in which the MPFA may use or deal with the data as set out in the PICS.
2. For the purpose of my ongoing registration as a subsidiary intermediary and any purpose incidental thereto, I consent to the disclosure or release of my personal data or other information by my principal intermediary/intermediaries which I was/am/will be attached, to the MPFA and hereby authorize the MPFA to request for such disclosure or release and to release my personal data to my principal intermediary/intermediaries.

<sup>1</sup> Please refer to the Guidelines on Continuing Training for Subsidiary Intermediaries.

3. For the purposes of monitoring my compliance with the MPF continuing training requirements as specified by the MPFA pursuant to s34ZP of the MPFSO and my ongoing registration as a subsidiary intermediary, and any purpose incidental thereto, I consent to my principal intermediary/intermediaries which I was/am/will be attached to and the provider(s) of MPF training that is specified by the MPFA under the MPFSO (MPF Training) disclosing and transferring my personal data (including MPF registration number and the name, date and training hours of the MPF Training that I have attended) and other information and supporting evidence held by them to the MPFA. I also consent to the MPFA carrying out matching or comparison of the personal data or other information so disclosed or transferred by my principal intermediary/intermediaries or the provider(s) of MPF Training with my personal data or other information collected or held by the MPFA.
4. I understand that the results of the matching procedures and comparison mentioned in this CPD Annual Return may result in the MPFA suspending or revoking any registration of myself as a subsidiary intermediary, and/or exercising any other powers conferred by or under the MPFSO, if the results show that I have failed to comply with any MPF continuing training requirements.
5. I declare that to the best of my knowledge and belief, the information given in this CPD Annual Return is correct and complete.✦

Signature

(to be signed by Subsidiary Intermediary) : \_\_\_\_\_

Date 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 on 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 respect, or recklessly makes a statement which is false or misleading in a material respect.

~ END ~

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

### Personal Information Collection Statement

This Personal Information Collection Statement is made in accordance with the Personal Data (Privacy) Ordinance (PDPO) (Cap 486). 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 annual return will be used by the MPFA for one or more of the following purposes:
  - (i) 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;
  - (ii) processing annual returns made by you under the MPFSO;
  - (iii) establishing or operating an electronic system(s) for use for the purposes of the MPFSO and providing related services to its users;
  - (iv) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;
  - (v) establishing and keeping a public register of MPF intermediaries for regulated activities;
  - (vi) for research and statistical purposes; and
  - (vii) other purposes as permitted by law.
2. It is obligatory for you to supply your personal data as requested in the Continuing Professional Development Annual Return by a Subsidiary Intermediary (Individual) in processing your annual return. Failure to supply the requested personal data may result in delay in the processing of or, as the case may be, refusal of your annual return or request of the use of the electronic system, 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:
  - (i) the Hong Kong Monetary Authority;
  - (ii) the Insurance Authority;
  - (iii) the Securities and Futures Commission;
  - (iv) examination bodies for conducting qualifying examinations;
  - (v) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;
  - (vi) the Chief Executive;
  - (vii) the Financial Secretary;
  - (viii) the Commissioner of Inland Revenue;
  - (ix) the Official Receiver appointed under the Bankruptcy Ordinance (Cap 6);
  - (x) 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);

- (xi) the Registrar of Occupational Retirement Schemes;
  - (xii) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap 588);
  - (xiii) the Hong Kong Police Force;
  - (xiv) any relevant courts, panels, tribunals and committees; and
  - (xv) 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 (i), (ii) and (iii) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

### **Public Register**

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain 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 12, Tower 1, The Millennity, 98 How Ming Street, Kwun Tong, Hong Kong.

## CPD Annual Return

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

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

#### A. PARTICULARS OF SUBSIDIARY INTERMEDIARY

Please complete the following particulars:

Name in English (same as HKID Card) :	
Name in Chinese (if any) (same as HKID Card):	
MPF Registration No.:	
Mobile Telephone No.:	<input type="text"/>
Residential Address:	<input type="text"/>

#### B. CONTINUING PROFESSIONAL DEVELOPMENT (CPD)

Please state the number of hours you have attended on core CPD activities and non-core CPD activities respectively <sup>1</sup> in the reporting year of ____	
Number of Hours	
Core CPD activities:	<input type="text"/>
Non-core CPD activities:	<input type="text"/>

<sup>1</sup>Please refer to the Guidelines on Continuing Training for Subsidiary Intermediaries.

**C. DECLARATION**

<input type="checkbox"/>	I certify that I have read the attached <b>Personal Information Collection Statement (PICS)</b> . I understand my rights and obligations in relation to personal data provided by me to the MPFA and agree to the manner in which the MPFA may use or deal with the data as set out in the PICS.
<input type="checkbox"/>	For the purpose of my ongoing registration as a subsidiary intermediary and any purpose incidental thereto, I consent to the disclosure or release of my personal data or other information by my principal intermediary/intermediaries which I was/am/will be attached to the MPFA and hereby authorize the MPFA to request for such disclosure or release and to release my personal data to my principal intermediary/intermediaries.
<input type="checkbox"/>	For the purposes of monitoring my compliance with the MPF continuing training requirements as specified by the MPFA pursuant to s34ZP of the MPFSO and my ongoing registration as a subsidiary intermediary, and any purpose incidental thereto, I consent to my principal intermediary/intermediaries which I was/am/will be attached to and the provider(s) of MPF training that is specified by the MPFA under the MPFSO (MPF Training) disclosing and transferring my personal data (including MPF registration number and the name, date and training hours of the MPF Training that I have attended) and other information and supporting evidence held by them to the MPFA. I also consent to the MPFA carrying out matching or comparison of the personal data or other information so disclosed or transferred by my principal intermediary/intermediaries or the provider(s) of MPF Training with my personal data or other information collected or held by the MPFA.
<input type="checkbox"/>	I understand that the results of the matching procedures and comparison mentioned in this CPD Annual Return may result in the MPFA suspending or revoking any registration of myself as a subsidiary intermediary, and/or exercising any other powers conferred by or under the MPFSO, if the results show that I have failed to comply with any MPF continuing training requirements.
<input type="checkbox"/>	I declare that to the best of my knowledge and belief, the information given in this CPD Annual Return is correct and complete. <sup>Note</sup>

**Note: 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 on 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 respect, or recklessly makes a statement which is false or misleading in a material respect.

**CONFIRM  
& SUBMIT**

## **Personal Information Collection Statement**

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(iii) establishing or operating an electronic system(s) for use for the purposes of the MPFSO and providing related services to its users;

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

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

(vi) for research and statistical purposes; and

(vii) other purposes as permitted by law.

2. It is obligatory for you to supply your personal data as requested in the Continuing Professional Development Annual Return by a Subsidiary Intermediary (Individual) in processing your annual return. Failure to supply the requested personal data may result in delay in the processing of or, as the case may be, refusal of your annual return or request of the use of the electronic

system, and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

### **Transfer / Matching of Personal Data**

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- (iii) the Securities and Futures Commission;
- (iv) examination bodies for conducting qualifying examinations;
- (v) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;
- (vi) the Chief Executive;
- (vii) the Financial Secretary;
- (viii) the Commissioner of Inland Revenue;
- (ix) the Official Receiver appointed under the Bankruptcy Ordinance (Cap 6);
- (x) 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);
- (xi) the Registrar of Occupational Retirement Schemes;
- (xii) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap 588);



(xiii) the Hong Kong Police Force;

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

(xv) 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 (i), (ii) and (iii) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

### **Public Register**

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain 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 12, Tower 1, The Millennity, 98 How Ming Street, Kwun Tong, Hong Kong.

**Continue**