



強制性公積金計劃管理局  
MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

電話號碼 Tel No : 2292 1692

傳真號碼 Fax No : 2259 8808

電郵地址 Email :

本局檔號 Our Ref :

來函檔號 Your Ref :

**By Email**

23 September 2019

Circular Letter: SU/CCI/2019/002

To: All Principal Intermediaries

Dear Responsible Officers,

**Revised MPF Guidelines, Forms and Annual Returns for  
Registered Intermediaries (RIs)**

The Mandatory Provident Fund Schemes Authority (MPFA) has amended the following two sets of Guidelines:

1. Guidelines on MPF Intermediary Registration and Notification of Changes (Guidelines VI.1); and
2. Guidelines on Annual Returns to be Delivered by Registered Intermediaries (Guidelines VI.3).

With effect from today, the above Guidelines are revised due to the consequential amendments on the definitions of Type A and Type B regulatees in relation to the Insurance Authority (IA) under the Mandatory Provident Fund Schemes Ordinance, as a result of the takeover of the regulation of insurance intermediaries from the three Self-Regulatory Organizations (SROs) by the IA.

The major amendments to the above Guidelines and forms and annual returns included in the Guidelines are as follows:

- i. Change of the descriptions of qualifications as Type A and Type B regulatees in relation to the IA; and
- ii. Removal of the names of the three SROs.

Similar changes have been made to Form INT-6<sup>1</sup> and Form INT-7<sup>2</sup>. Separately, to streamline the notification process, submission of a Form INT-5<sup>3</sup> would be sufficient in the cases where a responsible officer ceases to be attached to a principal intermediary (PI) and ceases to be an officer with specified responsibilities in relation to the PI.

The revised Guidelines, forms and annual returns can be accessed at the MPFA's website [www.mpfa.org.hk](http://www.mpfa.org.hk). The Guidelines are published under "Legislation & Regulations" > "Legislation & Regulations" > "Guidelines". The forms and annual returns can be downloaded from "Information Centre" > "Forms" > "MPF Schemes" > "For Intermediary". Please ensure that your corporation and the subsidiary intermediaries (SIs) use the revised forms and annual returns starting from 23 September 2019.

The MPFA has also updated the descriptions of qualifications as Type A and Type B regulatees in relation to the IA in our registration system. Details of the changes are listed out in the mapping tables (attached as an annex to this circular). RIs under the IA regime may wish to log in eService to view the updated information on or after 24 September 2019<sup>4</sup>. In case of any questions, please contact the case officers through the PIs.

Please also disseminate the above information to your corporation's SIs.

Thank you for your attention.

Yours sincerely,



Ryan Wong  
Senior Manager  
Supervision Division

Encl

c.c. Mr Kevin Sham, Senior Manager, Banking Conduct Department, Hong Kong Monetary Authority

Ms Emily Ho, Associate Director, Licensing, Intermediaries, Securities and Futures Commission

Ms Shirley To, Senior Manager, Market Conduct Division, Insurance Authority

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<sup>1</sup> Form INT-6 - Notification of Change of Information by a Principal Intermediary.

<sup>2</sup> Form INT-7 - Notification of Change of Information by a Subsidiary Intermediary.

<sup>3</sup> Form INT-5 - Notification of Withdrawal of Principal Intermediary's Consent to a Subsidiary Intermediary / Application for Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary.

<sup>4</sup> As mentioned in our circular dated 31 July 2019, the eService is suspended on 23 September 2019.

**Mapping tables on the changes of the descriptions of qualifications as  
Type A and Type B regulatees in relation to the Insurance Authority**

<b>Qualification as a Type A regulatee</b>	
<b>Before 23 September 2019</b>	<b>On or after 23 September 2019</b>
Authorized Long Term Insurer	Authorized Long Term Insurer <i>(unchanged)</i>
Authorized Long Term Insurance Broker – Member of The Hong Kong Confederation of Insurance Brokers	Licensed Long Term Insurance Broker Company
Authorized Long Term Insurance Broker – Member of Professional Insurance Brokers Association	
Authorized Long Term Insurance Broker – Directly Authorized by Insurance Authority	

<b>Qualification as a Type B regulatee</b>	
<b>Before 23 September 2019</b>	<b>On or after 23 September 2019</b>
Appointed Long Term Insurance Agent	Licensed Long Term Individual Insurance Agent
	Licensed Long Term Insurance Agency
Registered Responsible Officer/Technical Representative of Appointed Long Term Insurance Agent	Licensed Long Term Technical Representative (Agent)
Registered Chief Executive/Technical Representative of Member (eligible to engage in long term business) of The Hong Kong Confederation of Insurance Brokers	Licensed Long Term Technical Representative (Broker)
Registered Chief Executive/Technical Representative of Member (eligible to engage in long term business) of Professional Insurance Brokers Association	
Registered Chief Executive/Technical Representative of Insurance Broker (eligible to engage in long term business) Directly Authorized by Insurance Authority	