

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 ¹ Holder (Yes/No)	Self-employed Person (Yes/No)
MPF Schemes			
Constituent Funds			

¹ “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 forms² 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 ³ is the Sponsor of this Scheme	Insert the Range Code for the Number of Forms Submitted according to the Range Code Table ⁴
1.		
2.		
3.		
4.		
5.		

² 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

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

⁴ 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 ⁴
<p>1. Employee Choice Arrangement (ECA) transfer</p> <ul style="list-style-type: none"> 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.) 	
<p>2. Scheme transfer (not related to ECA)</p> <ul style="list-style-type: none"> 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.) 	
<p>3. Personal account consolidation</p> <ul style="list-style-type: none"> 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.) 	
<p>4. TVC account transfer</p> <ul style="list-style-type: none"> 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>5. Employer level transfer</p> <ul style="list-style-type: none"> 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>6. The number of new plans set up for employers and self-employed persons</p> <ul style="list-style-type: none"> Please indicate the number of employer/self-employed person application forms submitted to trustees. 	

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

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

⁵ 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 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.

~ 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). 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) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;
 - (iii) establishing and keeping a public register of MPF intermediaries for regulated activities;
 - (iv) for research and statistical purposes; and
 - (v) other purposes as permitted by law.

Transfer / Matching of Personal Data

2. 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;
 - (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 Financial Reporting Council established under the Financial Reporting Council Ordinance;
 - (xiii) the Hong Kong Police Force;
 - (xiv) any relevant courts, panels, tribunals and committees; and
 - (xv) other law enforcement agents or government/regulatory bodies.

3. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the regulators listed in paragraph 2 (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

4. 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

5. 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.