

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY
Notification of Change of Information by a Principal Intermediary

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| Form INT-6 PI-Change Particulars |
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Name of Principal Intermediary: _____

MPF Registration No.: _____

(Please complete items with changes only.)

| Section I – CHANGE OF PRINCIPAL INTERMEDIARY INFORMATION | | |
|---|---|-----------------------|
| | New Particulars | Effective Date |
| Name in English | | |
| Name in Chinese <i>(if any)</i> | | |
| Address of Principal Place of Business in Hong Kong (English) | _____ <i>(Flat/Room) (Floor) (Block) (Name of Building)</i> _____ <i>(Number & Name of Street) (District)</i> HK / KLN / NT * <i>(Please delete as appropriate)</i> | |
| Address of Principal Place of Business in Hong Kong (Chinese) | _____ <i>(Flat/Room) (Floor) (Block) (Name of Building)</i> _____ <i>(Number & Name of Street) (District)</i> HK / KLN / NT * <i>(Please delete as appropriate)</i> | |
| Address of Registered Office | _____ <i>(Flat/Room) (Floor) (Block) (Name of Building)</i> _____ <i>(Number & Name of Street) (District)</i> HK / KLN / NT * <i>(Please delete as appropriate)</i> | |

| | New Particulars | Effective Date | | | | | | | | | | | | |
|---|---|--|--|---|--|--|--|----------------------|--|----------------|--|----------------------|--|--|
| Compliance Officer | Fax No.: _____ Email Address: _____ | | | | | | | | | | | | | |
| Contact Person <i>(Same as HKID card)</i> | <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; vertical-align: top;"> (English) _____ <i>(Surname)</i> </td> <td style="width: 50%; vertical-align: top;"> (Chinese)<i>(if any)</i> _____ <i>(Surname)</i> <i>(Other Name)</i> </td> </tr> <tr> <td colspan="2"> Office Address: _____ <i>(Flat/Room)</i> <i>(Floor)</i> <i>(Block)</i> <i>(Name of Building)</i> _____ <i>(Number & Name of Street)</i> <i>(District)</i> <i>HK / KLN / NT* (Please delete as appropriate)</i> </td> </tr> <tr> <td colspan="2"> Position held in Principal Intermediary: _____ </td> </tr> <tr> <td colspan="2"> Telephone No.: _____ </td> </tr> <tr> <td colspan="2"> Fax No.: _____ </td> </tr> <tr> <td colspan="2"> Email Address: _____ </td> </tr> </table> | (English) _____ <i>(Surname)</i> | (Chinese) <i>(if any)</i> _____ <i>(Surname)</i> <i>(Other Name)</i> | Office Address: _____ <i>(Flat/Room)</i> <i>(Floor)</i> <i>(Block)</i> <i>(Name of Building)</i> _____ <i>(Number & Name of Street)</i> <i>(District)</i> <i>HK / KLN / NT* (Please delete as appropriate)</i> | | Position held in Principal Intermediary: _____ | | Telephone No.: _____ | | Fax No.: _____ | | Email Address: _____ | | |
| (English) _____ <i>(Surname)</i> | (Chinese) <i>(if any)</i> _____ <i>(Surname)</i> <i>(Other Name)</i> | | | | | | | | | | | | | |
| Office Address: _____ <i>(Flat/Room)</i> <i>(Floor)</i> <i>(Block)</i> <i>(Name of Building)</i> _____ <i>(Number & Name of Street)</i> <i>(District)</i> <i>HK / KLN / NT* (Please delete as appropriate)</i> | | | | | | | | | | | | | | |
| Position held in Principal Intermediary: _____ | | | | | | | | | | | | | | |
| Telephone No.: _____ | | | | | | | | | | | | | | |
| Fax No.: _____ | | | | | | | | | | | | | | |
| Email Address: _____ | | | | | | | | | | | | | | |
| Qualification as a Type A Regulatee After Change ¹ | <input type="checkbox"/> New qualification(s) acquired Please specify the qualification code(s): | <i>Date of Acquisition</i> | | | | | | | | | | | | |
| | <input type="checkbox"/> Qualification(s) ceased Please specify the qualification code(s): | <i>Date of Cessation</i> | | | | | | | | | | | | |
| | <input type="checkbox"/> Qualification(s) suspended Please specify the qualification code(s): | <i>Period of Suspension</i> | | | | | | | | | | | | |

¹ Please see *Explanatory Note 1*.

Section II(a) – CESSATION TO CARRY ON REGULATED ACTIVITY BY PRINCIPAL INTERMEDIARY

| | |
|------------------------------|-----------------|
| <input type="checkbox"/> Yes | Effective Date: |
|------------------------------|-----------------|

Section II(b) – CONSENT TO THE MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA) TO REVOKE OUR REGISTRATION AS A PRINCIPAL INTERMEDIARY

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|------------------------------|
| <input type="checkbox"/> Yes |
|------------------------------|

Section III – RESPONSIBLE OFFICER CEASING TO BE AN OFFICER WITH SPECIFIED RESPONSIBILITIES

(If a responsible officer continues to remain as a subsidiary intermediary of the principal intermediary after ceasing to be an officer with specified responsibilities, please complete this Section. If the responsible officer also ceases to be a subsidiary intermediary of the principal intermediary, please only complete Sections I & V of Form INT-5 (Attachment Cessation).)

| | | | |
|---|--|-----------------------------|--|
| Name of Responsible Officer <i>(same as HKID Card)</i> | | | |
| MPF Registration No. | | Effective Date of Cessation | |

Section IV – DECLARATION

1. 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;
2. We **declare** that to the best of our knowledge and belief the information given in this Form (including attachments) is correct and complete; and✦
3. 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.

| | |
|---|--|
| Name of Responsible Officer authorized by the Principal Intermediary OR Sole-proprietor, Partner or Director authorized by the Principal Intermediary in the situation, where a responsible officer ceases to be an officer with specified responsibilities <i>(same as HKID Card)</i> | |
| Authorized Signature <i>(Responsible Officer / Sole-proprietor / Partner / Director)*</i> *(Please delete as appropriate) | |
| Date of Signature ² | |

² Please see *Explanatory Note 4*.

✦ **Warning:** Section 43E of the Mandatory Provident Fund Schemes Ordinance (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, in a document given to a prescribed person which means, the MPFA, a system operator of an electronic MPF system, an approved trustee, a trustee of a relevant scheme, or an auditor of an approved trustee or of a registered scheme, in connection with the MPFSO, 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.

| | | | | | |
|------------------------------|--|------------------|------------------|-------------------|--|
| For Official Use Only | | | | | |
| Notification No. | | | | | |
| Receipt Date | | | Date of Updating | | |
| Input Officer | | Checking Officer | | Approving Officer | |

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY
Notification of Change of Information by a Principal Intermediary

Notes on Completion of this Form

1. This Form is to be used by a principal intermediary for notifying the Mandatory Provident Fund Schemes Authority (MPFA) of any cessation, change, acquisition or suspension as specified in section 34ZE(1) of the Mandatory Provident Fund Schemes Ordinance (MPFSO) within seven working days after it occurs as required under section 34ZE(2). A person, who, without reasonable excuse, contravenes the aforesaid section 34ZE(2) of the MPFSO commits an offence. This form is also to be used by a principal intermediary for notifying the MPFA of any change in other particulars or information previously supplied to the MPFA in connection with an application for registration as a principal intermediary and for approval of responsible officer(s).
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. In the case of reporting a change in name, please provide a copy of relevant documentary evidence, such as Certificate of Change of Name. For reporting a change of principal place of business, please provide a copy of Business Registration Certificate or other supporting documents.
4. Please initial any amendments made in this Form.
5. Please note that the MPFA may require further documentary evidence in support of the notification of change(s) when necessary.
6. Please also note that some of the information provided in this notification may appear in a public register of intermediaries for regulated activities.

Explanatory Notes

1. Section I must be completed by writing down the following code(s) when there is a change in the following “**qualifications as a Type A regulatee**” with the relevant regulators.
2. When your corporation has already had the qualification to conduct both Type 1 **and** Type 4 regulated activities under the regime of the Securities and Futures Commission or the Hong Kong Monetary Authority, your corporation is required to notify the MPFA if the licence/registration in relation to Type 1 **and/or** Type 4 regulated activities under the same regime is suspended.

| Regime | Code |
|---|------|
| Securities and Futures Commission Regime | |
| Licensed Corporation (Type 1 and/or Type 4) | LC |
| Hong Kong Monetary Authority Regime | |
| Authorized Financial Institution (Type 1 and/or Type 4) | AFI |
| Insurance Authority Regime | |
| Authorized Long Term Insurer | IC |
| Licensed Long Term Insurance Broker Company | IB |

3. The date of signature is **not** the date of notification of change(s). The date of notification of change(s) is, in general, the postmark date if the Form is sent by post to the MPFA or the date of transmission if the Form is sent by electronic mail, or the date this Form is made available to the MPFA by means of an electronic system.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY
Personal Information Collection Statement (PICS)

This PICS is made by the Mandatory Provident Fund Schemes Authority (MPFA) in accordance with the Personal Data (Privacy) Ordinance (Cap 486) (PDPO). You are advised to read this PICS carefully as it sets out your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the MPFA may collect, use or deal with the personal data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in (or in support of) this Notification of Change of Information by a Principal Intermediary will be used and held by the MPFA for one or more of the following purposes:
 - (a) exercising and performing the MPFA's functions under the Mandatory Provident Fund Schemes Ordinance (Cap 485) (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 notification made by you under the MPFSO;
 - (c) establishing or operating an electronic system(s) for use for the purposes of the MPFSO and providing related services to its users;
 - (d) considering any notification made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);
 - (e) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation, provided that such enablement or assistance by the MPFA is subject to the MPFSO;
 - (f) establishing and keeping a public register of MPF intermediaries for regulated activities;
 - (g) research and statistical purposes; and
 - (h) other purposes as permitted or required by law.
2. It is obligatory for you to supply your personal data as requested in this notification and in processing your notification. Failure to supply the requested personal data may result in delay in the processing of your notification or request of the use of the electronic system(s), 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 your personal data held by the MPFA to third parties including the bodies listed below for one or more of the purposes mentioned in paragraph 1 above or any directly related purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, 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) the eMPF Platform Company Limited;
 - (e) the system operator of an electronic MPF system¹;

¹ Electronic MPF system means an electronic system designated under section 19I(1) of the MPFSO.

- (f) examination bodies for conducting qualifying examinations;
 - (g) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;
 - (h) the Chief Executive;
 - (i) the Financial Secretary;
 - (j) the Secretary for Justice;
 - (k) the Commissioner of Inland Revenue;
 - (l) the Privacy Commissioner for Personal Data;
 - (m) the Ombudsman;
 - (n) the Registrar of Companies;
 - (o) the Official Receiver appointed under the Bankruptcy Ordinance (Cap 6);
 - (p) a liquidator appointed under the pre-amended Ordinance (as defined in the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap 32)) or the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap 32);
 - (q) the Registrar of Occupational Retirement Schemes;
 - (r) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap 588);
 - (s) the Hong Kong Police Force;
 - (t) any relevant courts, panels, tribunals and committees; and
 - (u) other law enforcement agencies, government departments or 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 (a) whether he/she is dealing with a regulated person (including an MPF intermediary) in matters of or connected with any regulated activity or (b) the particulars of the registration of a person as a principal or subsidiary intermediary or of 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 any of your personal data, and to request access to and/or correction of them, in the manner and subject to the limitations as set out in the PDPO. The MPFA has the right to charge a fee as permitted under the PDPO for processing any data access request, which fee shall not be excessive. All enquiries should be directed to:

Personal Data Privacy Officer
Mandatory Provident Fund Schemes Authority
Level 12, Tower 1, The Millennium
98 How Ming Street, Kwun Tong

Hong Kong

7. The MPFA's Privacy Policy Statement is available on the MPFA's website at <https://www.mpfa.org.hk/en/privacy-policy>.