

## MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

## Application for Approval of an Individual as a Responsible Officer

Form INT-4  
RO-Application

Section 34W(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485)

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)
Salutation	Mr/Miss/Mrs/Ms *(Please delete as appropriate)
HKID Card No.	_____ ( )
Office Address (English) (if different from the Address of Principal Place of Business of the Principal Intermediary)	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <div>HK / KLN / NT</div> <div>*(Please delete as appropriate)</div> </div>
Office Address (Chinese) (if different from the Address of Principal Place of Business of the Principal Intermediary)	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <div>HK / KLN / NT</div> <div>*(Please delete as appropriate)</div> </div>
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 “Application for Registration as a Subsidiary Intermediary (by an Individual) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary” 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 “ 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)” 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 Mandatory Provident Fund Schemes Ordinance (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/an 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 section 34I(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 does not have an approval as a responsible officer revoked under section 34ZW(4)(a)(i) of the MPFSO by the Mandatory Provident Fund Schemes Authority (MPFA).
3. To the best of our knowledge, information and belief, we also confirm that the individual is not disqualified under section 34ZW(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 type of entity 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 <sup>1</sup>	

✦ **Warning:** Section 43E 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, 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.

<sup>1</sup> 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 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 and all attachments within seven working days of the change.

Name of Individual <i>(same as HKID Card)</i>	
Signature of Individual	
Date of Signature <sup>2</sup>	

✦ **Warning:** Section 43E 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, 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					
Application No.					
Receipt Date			Date of Approval		
Input Officer		Checking Officer		Approving Officer	

<sup>2</sup> 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](http://www.mpfa.org.hk)) and the attached *Personal Information Collection Statement* before completing this Form.
2. It is obligatory for you to supply all the information, including personal data, requested in this Form. If any item is not applicable, please write "N/A". Failure to provide the requested information, including personal data, may result in refusal of your application or request of the use of an electronic system.
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 application when necessary.
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.

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***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***
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#### Explanatory Notes

1. Please note that the dates of the signatures in Sections IV and V must be within two months prior to the date on which the MPFA receives this Form. 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 processing of the application.

**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 Application for Approval of an Individual as a Responsible Officer 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 application 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 application 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 application and in processing your application. Failure to supply the requested personal data may result in refusal of your application 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 system<sup>1</sup>;

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<sup>1</sup> 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>.