

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 ¹ 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.

¹ 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 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) 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;
 - (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.
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 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.