

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

Application for Registration as a Subsidiary Intermediary (by an Individual) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary

Sections 34U(1) and 34V(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485)

Section I – PARTICULARS OF APPLICANT (For Registration as a Subsidiary Intermediary)	
Name in English <i>(same as HKID Card)</i>	<div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between;"> <i>(Surname)</i> <i>(Other Names)</i> </div>
Name in Chinese <i>(if any)</i> <i>(same as HKID Card)</i>	<div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between;"> <i>(Surname)</i> <i>(Other Name)</i> </div>
Salutation	Mr/Miss/Mrs/Ms <i>*(Please delete as appropriate)</i>
HKID Card No.	<div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="text-align: center;"><i>()</i></div>
Residential Address	<div style="display: flex; justify-content: space-between; margin-bottom: 10px;"> <div style="border-bottom: 1px solid black; width: 20%;"><i>(Flat/Room)</i></div> <div style="border-bottom: 1px solid black; width: 10%;"><i>(Floor)</i></div> <div style="border-bottom: 1px solid black; width: 10%;"><i>(Block)</i></div> <div style="border-bottom: 1px solid black; width: 60%;"><i>(Name of Building)</i></div> </div> <div style="display: flex; justify-content: space-between; margin-bottom: 10px;"> <div style="border-bottom: 1px solid black; width: 70%;"><i>(Number & Name of Street)</i></div> <div style="border-bottom: 1px solid black; width: 30%;"><i>(District)</i></div> </div> <div style="display: flex; justify-content: space-between;"> <div style="border-bottom: 1px solid black; width: 15%;"><i>(City)</i></div> <div style="border-bottom: 1px solid black; width: 15%;"><i>(Province)</i></div> <div style="border-bottom: 1px solid black; width: 25%;"><i>(Area Code/Postal Code)</i></div> <div style="border-bottom: 1px solid black; width: 45%;"><i>(Name of Region/Country)</i></div> </div>
Mobile Telephone No.	
Office Telephone No.	
Business Email Address	
Personal Email Address	

Section II – QUALIFYING EXAMINATION

Examination Body
(Qualifying Examination)

- ☐ Vocational Training Council
(Mandatory Provident Fund Schemes Examination)
- ☐ Hong Kong Securities and Investment Institute
(MPF Intermediaries Examination)

(Please tick the appropriate box)

Date of Passing Examination (dd/mm/yyyy)

*Please ensure that you take and pass a qualifying examination specified by the Mandatory Provident Fund Schemes Authority (MPFA) within one year immediately before the date of application (1) if you have **not** been registered as an MPF intermediary for the past three years OR (2) if you have been registered as a subsidiary intermediary for the past three years, but your registration has been revoked and the last revocation is because of non-compliance of continuing training requirement.*

Section III – QUALIFICATION(S) AS A TYPE B REGULATEE

*(Please tick **ALL** qualifications as a Type B regulatee which you **currently** possess and fill in the Central Entity Number/ HKMA Registration Number/ Licence Number.)*

Securities and Futures Commission Regime

☐ Licensed Representative (Type 1 and/or Type 4) Central Entity Number: _____

Hong Kong Monetary Authority Regime

☐ Relevant Individual (including Executive Officer)
(Type 1 and/or Type 4) HKMA Registration Number: _____

Insurance Authority Regime

☐ Licensed Long Term Individual Insurance Agent Licence Number: _____

☐ Licensed Long Term Technical Representative (Agent) Licence Number: _____

☐ Licensed Long Term Technical Representative (Broker) Licence Number: _____

Section IV – FURTHER INFORMATION OF APPLICANT

- Have any of your qualifications as a Type B regulatee, currently or formerly possessed by you, been revoked on disciplinary grounds under circumstances as specified in section 34K(1) of the Mandatory Provident Fund Schemes Ordinance (MPFSO) within one year immediately before the date of signing this application?
Yes/No*
- Do you have any of your qualifications as a Type B regulatee, that is currently possessed by you, currently suspended under circumstances as specified in section 34K(2) of the MPFSO?
Yes/No*
- Has your registration as an MPF registered intermediary (if any) ever been revoked by the MPFA under section 34ZW(3)(a)(i) of the MPFSO within one year immediately before the date of signing this application?
Yes/No*
- Have you ever been disqualified by the MPFA under section 34ZW(3)(a)(ii) of the MPFSO from being registered as an intermediary for carrying on regulated activities?
Yes/No*

*(please delete as appropriate)

Section V – DECLARATION

I, the above-named applicant, hereby

1. **declare** that to the best of my knowledge and belief, all information given in this application (including this Form and all attachments) is correct and complete;✦
2. **agree** 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 this application;
3. **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 (including this Form and all attachments); and
4. **understand** that section 34ZI(3) of the MPFSO makes it an offence for a person who, without reasonable excuse, fails to give the MPFA a notice in writing of the change, acquisition, cessation or suspension in relation to subsidiary intermediary referred to in section 34ZI(1) of the MPFSO within seven working days after it occurs.

Name of Applicant (<i>same as HKID Card</i>)	
Signature of Applicant	
Date of Signature ¹	

✦ **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.

¹ Please see *Explanatory Notes*.

Section VI - CONSENT / AUTHORIZATION

I, _____ (name of the individual applicant for registration as a subsidiary intermediary), hereby

1. **certify** that I have read the attached Personal Information Collection Statement (PICS) and **understand** my rights and obligations in relation to the personal data provided by me 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. **consent** to the MPFA using, disclosing or transferring information (including personal data where applicable) and materials provided or to be provided by me or relating to me which are obtained by the MPFA in the exercise or performance of its functions (whether obtained in application(s), notification(s), annual return(s), complaints handling, investigation, disciplinary proceedings, enforcement or otherwise) (the Relevant Information) in a manner similar to that for personal data mentioned in the PICS;
3. **consent** to the MPFA disclosing or transferring the Relevant Information to each and all of the Insurance Authority, the Hong Kong Monetary Authority and the Securities and Futures Commission (the three regulators), even if I do not possess any qualification capacity under all of the three regulators, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application and/or other application(s) relating to me, my ongoing registration as an MPF intermediary or any purpose incidental thereto;
4. **consent** to the MPFA disclosing or transferring the Relevant Information to any panel or committee established by the Chief Executive or the Financial Secretary for the purpose reviewing or advising on procedural or policy matters in relation to the performance or exercising of the MPFA's functions;
5. **consent** to the three regulators disclosing or transferring to the MPFA information (including but not limited to personal data where applicable) and materials provided or to be provided by me or relating to me, whether obtained by them in their respective regimes or not, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application and/or other application(s) relating to me, my ongoing registration as an MPF intermediary or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
6. **consent** to my principal intermediary/intermediaries, to which I was/am/will be attached, disclosing or transferring to the MPFA and/or the three regulators personal data, other information and materials provided or to be provided by me or relating to me, for the purposes of verifying information, performing functions of the MPFA or of the other regulators, or for the purposes of this application and/or other application(s) made by me or relating to me, my ongoing registration as an MPF intermediary or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
7. **consent** to the examination body/bodies, which conduct(s) qualifying examination(s) specified by the MPFA under the MPFSO, currently the Hong Kong Securities and Investment Institute, and the Vocational Training Council, disclosing or transferring to the MPFA personal data (including my Hong Kong Identity Card number and my examination records) and other information and materials provided or to be provided by me or relating to me, for the purposes of verifying information, performing functions of the MPFA, or for the purposes of this application or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
8. **consent** to the provider(s) of MPF training that is specified by the MPFA under the MPFSO disclosing or transferring my personal data (including MPF registration number and the title, date and training hours of the MPF Continuing Professional Development activities or other training that I have attended), other information and materials provided or to be provided by me or relating to me to the MPFA, for the purposes of verifying information, performing functions of the MPFA or of other regulators, monitoring my compliance with the MPF training requirements, my ongoing registration as a subsidiary intermediary and any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
9. **consent** to the MPFA and/or the three regulators comparing, verifying or carrying out matching procedure (as defined in the Personal Data (Privacy) Ordinance) on information (including but not limited to personal data where applicable) disclosed or transferred to them under (3), (5), (6), (7) or (8) above (as the case may be) with information (including personal data where applicable) held or to be held by them; and

<p>10. understand that the results of the comparison, verification or matching procedure mentioned above (including those mentioned in the PICS where applicable) may result in the MPFA rejecting this application and/or other application(s) relating to me and where applicable, suspension or revocation of my registration as an MPF intermediary, suspension or revocation of approval of my attachment to a principal intermediary, suspension or revocation of approval as responsible officer, updating of the register of intermediaries for regulated activities, the MPFA exercising any power under the MPFSO and/or other regulators exercising any power under the MPFSO or their respective regimes, if the results show that I do not possess the relevant qualification capacity or that my qualification capacity has been terminated, suspended or revoked, or that I have failed to comply with any MPF continuing training requirements, or that I have failed to pass a qualifying examination specified by the MPFA within the time specified in the MPFSO.</p>	
Name of Applicant (<i>same as HKID Card</i>)	
Signature of Applicant	
Date of Signature ²	

Section VII – DECLARATION BY PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY, TO WHICH THE APPLICANT IS TO BE ATTACHED (For Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary)

1. We hereby apply for approval of attachment of [] (**name of the individual applicant for registration as a subsidiary intermediary**) (Applicant) to our corporation as the principal intermediary for the purpose of carrying on regulated activities.
2. We give our consent to the Applicant being an intermediary to carry on regulated activities for our corporation.
3. We certify that the Applicant is employed by, or acts as an agent or representative for our corporation.
4. We declare that the Applicant is a Type B regulatee of an industry regulator that is the frontline regulator of our corporation assigned by the MPFA (applicable to registered principal intermediary only).
5. We declare that to the best of our knowledge and belief, the information given in this Form is correct and complete. ✦
6. 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.
7. We undertake to, before this application for approval of attachment is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in 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	

² Please see *Explanatory Notes*.

Name of Authorized Signatory (<i>same as HKID Card</i>) (Responsible Officer of/Person Authorized by the Principal Intermediary, OR Person Authorized by the Corporation Seeking to be a Principal Intermediary*) <i>*(Please delete as appropriate)</i>	
Position held	
Authorized Signature	
Date of Signature ³	

★ **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.			MPF Registration No.		
Receipt Date			MPF Registration Date		
Input Officer		Checking Officer		Approving Officer	

³ Please see *Explanatory Notes*.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

Application for Registration as a Subsidiary Intermediary (by an Individual) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary

Notes on Completion of this Form

1. Please read the *Handbook on MPF Intermediary Registration* (available at the Mandatory Provident Fund Schemes Authority (MPFA) website - 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. For verification purpose, please attach a copy of your Hong Kong Identity Card to the application. Alternatively, you may choose to present your Hong Kong Identity Card in person at our office. Failure to provide a document for verification purpose (either by (i) attaching a copy of your Hong Kong Identity Card to the application; or (ii) presenting your Hong Kong Identity Card in person at our office) may result in refusal of your application or request of the use of an electronic system.
4. Please note that your application will not be approved if any of the statutory requirements is not satisfied. Such requirements include but are not limited to (i) you are a Type B regulatee of an industry regulator but not a Type A regulatee of any industry regulator at the time of submitting the application, and (ii) you have, within one year immediately before the date of the application, passed a qualifying examination specified by the MPFA unless you have been registered as a subsidiary intermediary for the past three years and your registration has not been last revoked by the MPFA due to the non-compliance of continuing training requirement.
5. Please initial any amendments made in this Form.
6. Please note that the MPFA may require further information and/or documentary evidence in support of the application when necessary.
7. Please also note that some of the information provided in the application form may appear in a public register of intermediaries for regulated activities.
8. The total application fees are HK\$420 (HK\$290 for registration of a subsidiary intermediary and HK\$130 for approval of attachment of a subsidiary intermediary to a principal intermediary). 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.

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***
-

Explanatory Notes

1. Please note that the dates of the signatures in Sections V, VI and VII 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 Registration as a Subsidiary Intermediary (by an Individual) and Approval of Attachment of a Subsidiary Intermediary to 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 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 system¹;
 - (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.

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

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 Millennity
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>.