



強制性公積金計劃管理局  
MANDATORY PROVIDENT FUND  
SCHEMES AUTHORITY

The applicant should note that a person who in any document given to the Authority 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, commits an offence under Section 43 of the Mandatory Provident Fund Schemes Ordinance (“MPFSO”) and is liable to prosecution.

## Standard Information / Document Request List

### Application for Approval of Overseas Banks and Overseas Trust Companies

The Standard Information / Document Request List (“Standard Information List”) is to assist applicants in preparing an application for approval of overseas banks and overseas trust companies. Please note that the Standard Information List shall form part of the application for approval of overseas banks and overseas trust companies.

The Standard Information List is divided into two parts:

Part I : Information to be furnished to the Authority in approving overseas banks and overseas trust companies for the purpose of section 71 of the Mandatory Provident Fund Schemes (General) Regulation (“Regulation”) pursuant to sections 3 and 5 of the Regulation

Part II : Confirmation

#### ***Important Notes:***

- 1. The Authority may refuse to take up any application and reserves the right to return forthwith, without processing, an incomplete or non-compliant application to the extent that information and/or accompanying documents are not properly or fully completed, and/or negative responses in the Standard Information List are not properly explained, and/or such application is accompanied by documents that do not meet the applicable requirements under the MPFSO, the Regulation, guidelines and/or codes that are issued by the Authority, are not in good order or otherwise not suitable for clearance.***
- 2. Applicants should note that the below list of documents / information is by no means exhaustive, the Authority may request further documents / information in relation to the application where necessary. All information that is deemed material and relevant to the application should also be submitted to the Authority in addition to the information and documents requested herein.***



強制性公積金計劃管理局  
MANDATORY PROVIDENT FUND  
SCHEMES AUTHORITY

3. *Applicants should note that in reviewing the application documents, the Authority has not vetted the information therein related to accuracy issues such as grammar, spelling mistakes or typing error. It is the responsibility of the applicant to ensure the accuracy and consistency of all the information and documents submitted.*
4. *This is a standard form document. Unless otherwise specified, when completing this document please do not make any deletion, addition or amendment to the standard form document or headings.*
5. *If there are any changes to the information provided in the Standard Information List, please notify the Authority as soon as practicable. The Authority reserves the right to request the applicant to submit updated and duly signed and completed documentation prior to approval of the application.*



***Part I Information to be furnished to the Authority in approving overseas banks and overseas trust companies for the purpose of section 71 of the Regulation pursuant to sections 3 and 5 of the Regulation (Note: Applicant should provide response, and attach relevant documentation and information as appropriate. Please continue on a separate sheet if there is insufficient space and attach such continuous sheet to the Standard Information List)***

No.	Information Required:	Response/ Information:
1.	Name of the bank / trust company	
2.	The country in, and date on, which the bank/ trust company is incorporated /established / organized	
3.	A copy of the certificate of incorporation of the bank / trust company	
4.	Evidence proving the authorization of the bank / trust company to carry on the business of a bank / trust company (e.g. banking licence, etc.) in a place outside Hong Kong	
5.	The registered office address of the bank / trust company in the country of its incorporation / establishment / organization	
6.	The principal office address of the bank / trust company in the jurisdiction in which it is appointed as delegate of custodian	
7.	The amount of paid-up share capital of the bank / trust company	
8.	The credit rating of the bank / trust company and the name of the credit rating agency	
9.	A copy of the latest audited financial statements of the bank / trust company	



No.	Information Required:	Response/ Information:
10.	The name(s) and address (es) of the regulators of the bank / trust company (a) in its home jurisdiction; and (b) in the jurisdiction in which it is appointed as custodian or delegate of custodian	
11.	Brief description of the principal business activities of the bank / trust company	
12.	Details of any disciplinary actions or proceedings: (a) pending against the bank / trust company in any jurisdiction; (b) commenced against the bank / trust company in any jurisdiction in the last two years	
13.	Details of any civil or criminal liability of the bank / trust company in any jurisdiction for fraud, dishonesty or other misconduct	
14.	Details of any refusal or restriction in the right of the bank / trust company to carry on any trade, business or profession for which a specific licence, registration or authority is required by law in any place	
15.	The MPF custodian network to be associated with (for bank / trust company submitting application on its own)	
16.	Direct contact details (name, title, address, telephone / fax no., email address etc.) of the bank / trust company.	
17.	If custodian functions are intended to be carried out by subsidiary / related company:	



No.	Information Required:	Response/ Information:
	(a) particulars of subsidiary / related company (e.g. items 1, 4, 6, 10, 11); and (b) organizational chart showing all relevant companies and their respective share holdings.	
18.	Any other material information relevant to the application?	



強制性公積金計劃管理局  
MANDATORY PROVIDENT FUND  
SCHEMES AUTHORITY

## ***Part II Confirmation***

***We hereby confirm that all information contained in the Standard Information List and such other documents and information submitted to the Authority herewith are true and accurate.***

Signed on behalf of the applicant: <sup>Note<sup>1</sup></sup>:

---

Name of Authorized Signatory:

---

Position of the person signing:

---

Date:

---

Signature:

---

---

<sup>Note<sup>1</sup></sup> *The applicant should be bank / trust company / approved trustee.*