

**MANDATORY PROVIDENT FUND SCHEMES (EXEMPTION) REGULATION  
(CAP. 485B)  
("Exemption Regulation")**

**TRUSTEE'S INFORMATION**

**SECTION 5(1)(c) & (d) OF SCHEDULE 3 TO EXEMPTION REGULATION  
(for a trustee who is a natural person)**

---

---

*NOTES:*

- (1) *Please read the Notes on Personal Information Collection before completing this Form.*
  - (2) *All questions must be answered. If any question is not applicable, please write "N.A."*
  - (3) *Please provide any other information which may assist the Mandatory Provident Fund Schemes Authority ("the Authority") in satisfying that the trustee standards are complied with.*
  - (4) *If boxes are provided, please tick whichever is appropriate.*
  - (5) *\* means delete whichever is inapplicable.*
  - (6) *For definition of "employer trustee" and "non-employer trustee", please refer to s.25 of Occupational Retirement Schemes Ordinance (Cap. 426).*
  - (7) *This form should be accompanied by:*
    - i) *Statutory declaration as to character & suitability of the trustee where section 5(1)(c) or (d) applies (section 7(3)(e) of schedule 3 to Exemption Regulation);*
    - ii) *Authorization Form to Police for Security Checking*
- 
-

**SECTION I - PARTICULARS OF THE SCHEME**

- (1) Name of the Scheme  
(in English): \_\_\_\_\_  
  
(in Chinese, if any): \_\_\_\_\_

**SECTION II - PARTICULARS OF THE APPOINTEE**

- (1) Name of the trustee (in English): \_\_\_\_\_  
  
(in Chinese, if any): \_\_\_\_\_

- (2) ID Card/Passport\* No.: \_\_\_\_\_

- (3) Date of birth: 

--	--	--	--	--	--	--	--

  
Day Month Year

- (4) Residential address:  

Flat/Room	Floor	Block	Name of building
Street no.	Name of street		
Name of district			

Telephone no.: \_\_\_\_\_ Fax no.: \_\_\_\_\_

- (5) In what capacity you are appointed?
- An individual employer trustee
- An individual non-employer trustee

(6) Have you ever been approved under section 7 of Schedule 3 to Exemption Regulation with respect to another ORSO scheme?

Yes  No

If yes, please state:

(a) MPF exemption no. of the scheme \_\_\_\_\_

(b) Name of the scheme (in English): \_\_\_\_\_

(in Chinese, if any): \_\_\_\_\_

(c) Capacity: (i) Individual employer trustee

(ii) Individual non-employer trustee

**SECTION III - CONVICTION AND DISCIPLINARY HISTORY AND FINANCIAL STATUS**

(1) Have you ever been convicted of any offence (other than a traffic offence) or are you the subject of unresolved charges, in Hong Kong or elsewhere? Yes/No\*

If yes, please provide the following information:

Nature of offence: \_\_\_\_\_

Penalty imposed (if any): \_\_\_\_\_

Date of conviction or trial: \_\_\_\_\_

Name and place of court in which the offence was tried: \_\_\_\_\_

Court reference (if any): \_\_\_\_\_

- (2) Have you ever been a party to any civil litigation, other than arising from a traffic accident, in Hong Kong or elsewhere? Yes/No\*

If yes, please provide the following information:

Name of plaintiff, defendant and third party (if any):

\_\_\_\_\_

Nature of litigation and outcome (with date):

\_\_\_\_\_

\_\_\_\_\_

Name and place of court where proceedings commenced:

\_\_\_\_\_

\_\_\_\_\_

- (3) Other than those listed under question (2), if any, have you ever been, or are you presently, or do you expect to be involved in any litigation or claim in Hong Kong or elsewhere? Yes/No\*

If yes, please provide the following information:

Name of the parties involved:

\_\_\_\_\_

Date and place of litigation:

\_\_\_\_\_

\_\_\_\_\_

Nature of litigation:

\_\_\_\_\_

\_\_\_\_\_

- (4) Have you, in Hong Kong or elsewhere, ever been dismissed from any office or position, subject to disciplinary proceedings or barred from entry to or removed from any profession or occupation? Yes/No\*

If yes, please provide the following information:

Name of the organisation taking action:

\_\_\_\_\_

\_\_\_\_\_

Nature of the action taken/proceedings:

\_\_\_\_\_

\_\_\_\_\_

Outcome (if applicable):

\_\_\_\_\_

Date of action/proceedings:

\_\_\_\_\_

Reason for action/proceedings:

\_\_\_\_\_

- (5) Have you ever been refused the right or restricted in the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required by law by any organisation in any place? Yes/No\*

If yes, please provide the following information:

Name of the organisation: \_\_\_\_\_

Address of the organisation: \_\_\_\_\_

Action taken by the organisation: \_\_\_\_\_

Date of such action: \_\_\_\_\_

Reason for such action: \_\_\_\_\_

- (6) Have you ever been disqualified, censured or disciplined by any professional body or by any regulatory body in Hong Kong or elsewhere? Yes/No\*

If yes, please provide the following information:

Name of the organisation taking disciplinary action: \_\_\_\_\_

Nature of the disciplinary action: \_\_\_\_\_

Outcome (if applicable): \_\_\_\_\_

Date of disciplinary action: \_\_\_\_\_

Reason for disciplinary action: \_\_\_\_\_

- (7) Have you ever been disqualified by a court of competent jurisdiction from being a trustee or a controller of a company? Yes/No\*

If yes, please provide the following information:

Name and place of court: \_\_\_\_\_

Reason for disqualification (with dates): \_\_\_\_\_

- (8) Do you have any record of non-compliance with any non-statutory codes or guidelines promulgated by any regulator in Hong Kong or any relevant overseas authority? Yes/No\*

If yes, please provide the following information:

Name and place of regulator/  
authority:

---

---

Details of non-compliance (with  
dates):

---

---

- (9) Have you failed to meet any judgment debts, judgments or courts orders for the payment of damages, or other sums of money, in Hong Kong or elsewhere, outstanding against you? Yes/No\*

If yes, please provide the following information:

Current status:

---

---

Outcome:

---

---

Amount involved:

---

- (10) Have you ever been adjudicated bankrupt by a court or are you currently subject to bankruptcy proceedings or a bankrupt who has been discharged; or have you ever entered into any scheme of arrangement or any form of composition with creditors, in Hong Kong or elsewhere? Yes/No\*

If yes, please provide the following information:

Name and place of jurisdiction:

---

Court of adjudication:

---

---

If discharged, the date of discharge  
and conditions (if any):

---

---

**SECTION IV - ADDITIONAL INFORMATION FOR APPOINTEE WHO IS AN INDIVIDUAL NON-EMPLOYER TRUSTEE**

- (1) Please state your professional, academic, technical or other qualifications and the years in which they were obtained.

Professional and academic qualifications	Issuing institutions	Dates obtained

- (2) The latest 10 years' working experience, including present occupation or employment and past occupations and employment together with the name of employer, the nature of the business, the position held and relevant dates.

(NOTE: This section can be photocopied for further entries if necessary.)

Details of employment	1 (Present employment)	2	3
(A) Name of employer/ corporation			
(B) Principal business address			
(C) Nature of business			
(D) Capacity in which employed			
(E) Brief description of your duties and responsibilities			
(F) Date of commencement of employment			
(G) Date of termination of employment (if applicable)	N.A.		
(H) Reasons for termination of employment	N.A.		

- (3) The companies of which you have been appointed as a trustee to their retirement schemes at any time during the past 10 years, in Hong Kong or elsewhere.

Details of appointment	1	2	3
(A) Name of company			
(B) Principal business address			
(C) Nature of scheme (defined benefit or defined contribution)			
(D) Approximate number of scheme members (if available)	<100 <input type="checkbox"/> 100-499 <input type="checkbox"/> 500-999 <input type="checkbox"/> ≥1000 <input type="checkbox"/> as at _____	<100 <input type="checkbox"/> 100-499 <input type="checkbox"/> 500-999 <input type="checkbox"/> ≥1000 <input type="checkbox"/> as at _____	<100 <input type="checkbox"/> 100-499 <input type="checkbox"/> 500-999 <input type="checkbox"/> ≥1000 <input type="checkbox"/> as at _____
(E) Approximate size of scheme assets (to the nearest million in Hong Kong dollars) (if available)	\$_____ million as at _____	\$_____ million as at _____	\$_____ million as at _____
(F) Appointed as member trustee, employer trustee or independent trustee?			
(G) Date of appointment			
(H) Date of retiring			
(I) Reasons for retiring			

- (4) Do you have any past or present association (financial or otherwise) with –
- (A) the employer of the Scheme otherwise than as –
- (i) if the employer is a company, a director of the company; or
- (ii) a professional adviser;
- (B) any associate of the employer;
- (C) any controller of the employer; or
- (D) any associate of such controller?

Yes/No\*



If yes, please provide details of the association, for assessment of whether the association could affect the impartiality of your independent judgment.

---

---

---

- (5) Are you an auditor, investment manager or actuary of the Scheme? Yes/No\*
- (6) Are you ordinarily resident in Hong Kong? Yes/No\*

## SECTION V - DECLARATION

I declare that I have read the Notes on Personal Information Collection and understand my rights and obligations in relation to the supply of personal data to the Authority and the manner in which the Authority may use or deal with the data.

I declare that to the best of my knowledge and belief, the information given in this form and any of its supporting documents is correct and complete. ✦

I certify that the documents attached to this form, if any, are true and correct copies.

I undertake to notify the Authority of any matter which affects the validity of any information given in this form.

I hereby undertake to notify the Authority of any material changes to the information provided in this form and any changes which affect the completeness or accuracy of such information as soon as possible.

Name of trustee: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

✦ **Warning:** Section 43E of the Mandatory Provident Fund Schemes Ordinance (Chapter 485) generally makes it an offence punishable with a maximum of 1 year imprisonment for the first occasion and 2 years' imprisonment on each subsequent occasion for a person who makes a false or misleading statement in a material aspect.

Name and telephone no. of the contact person for the Authority's enquiries in connection with this form -

Name: \_\_\_\_\_ Telephone no.: \_\_\_\_\_