



**OCCUPATIONAL RETIREMENT SCHEMES ORDINANCE**

**APPLICATION FOR REGISTRATION FOR SCHEMES PARTICIPATING  
IN A POOLING AGREEMENT**

**(under Section 15 of the Occupational Retirement Schemes Ordinance)**

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*The applicant should read the “Guidance Notes on Application for Registration for schemes participating in a pooling agreement” (NOTES ORS-2) carefully before completing this application form. The note numbers specified in this form correspond with those in the guidance notes.*

*This application shall be made to the Registrar of Occupational Retirement Schemes (the Registrar) by:*

- (a) the relevant employer (see definition in note 1) of an occupational retirement scheme which is participating in a pooling agreement; or*
- (b) the representative employer of a participating occupational retirement scheme which covers two or more relevant employers that are related to each other in the manner as stated in section 67 of the Occupational Retirement Schemes Ordinance (the Ordinance) (see note 3).*

*If there is more than one occupational retirement scheme operated by the same relevant employer, separate applications for each of these schemes should be submitted.*

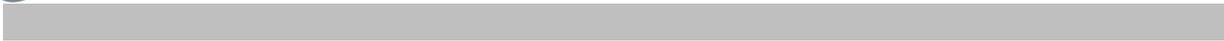
*This application is required under the relevant statutory provisions stated above, and any personal data contained herein will be used for such purpose and other purposes stated in the Personal Information Collection Statement at the end of the form. Any relevant person who fails to supply the required information or provides false information shall be liable to prosecution under the relevant provisions of the Ordinance.*

*For verification purpose, please attach a copy of the Hong Kong Identity Card of the trustee(s) as indicated in Section V of this application form (if the Hong Kong Identity Card number is provided). Alternatively, he/she may choose to present his/her Hong Kong Identity Card at our office. Failure to provide a document for verification purpose (either by (i) attaching a copy of the Hong Kong Identity Card to the application; or (ii) presenting the Hong Kong Identity Card in person at our office) may result in refusal of this application.*

*Completed application forms should be sent to:*

*The Registrar of Occupational Retirement Schemes  
Level 12, Tower 1, The Millennium  
98 How Ming Street, Kwun Tong  
Hong Kong*

*Mail items with insufficient postage: The Mandatory Provident Fund Schemes Authority (the MPFA) will not accept any underpaid mail delivered via the Hongkong Post which will return the mail item to the sender if there is a return address or dispose of the item in accordance with its procedures. To avoid unsuccessful delivery of your mail, please ensure your mail items addressed to the MPFA carry sufficient postage before posting to us.*



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**FOR OFFICIAL USE ONLY**

<b>Application no.</b>	:	_____	<b>Subject officer</b>	:	_____
<b>Fee receipt no.</b>	:	_____	<b>Input officer</b>	:	_____
<b>Date of fee receipt</b>	:	_____	<b>Verification Officer</b>	:	_____
<b>Date of letter of acknowledgement</b>	:	_____	<b>Remarks</b>	:	_____



**SECTION I - CLASSIFICATION OF THE OCCUPATIONAL RETIREMENT SCHEME (Scheme)**

(1) Name of the Scheme (in English) : \_\_\_\_\_  
(see note 17)

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

(2) Name of the pooling agreement which applies to the Scheme (see definition of “pooling agreement” in note 1)  
(in English) : \_\_\_\_\_

(in Chinese) : \_\_\_\_\_

For official use						
Code						

(3) Domicile of the Scheme (see definition of “domicile” in note 1):

Hong Kong domiciled scheme

Offshore scheme

Please state the domicile of the Scheme: \_\_\_\_\_

(4) Category of the Scheme (See notes 18 and 19 and Annexure I of the guidance notes):

(Please tick a box below)

Governed by trust, defined contribution scheme

Governed by trust, defined benefit scheme

Subject of or regulated by an insurance arrangement, defined contribution scheme.

Subject of or regulated by an insurance arrangement, defined benefit scheme



## SECTION II - THE SCHEME

(1) Is the Scheme an existing scheme i.e. existing at the time when an application is made for the scheme) or a proposed scheme? (Please tick a box below)

- Existing Scheme
- Proposed Scheme

(2) Existing Scheme:

Date of the last financial year-end

Day		Month			Year		

Date of the first financial year-end

Day		Month			Year		

Proposed Scheme:

Date of the first financial year-end

Day		Month			Year		

(3) ***For defined benefit schemes only***

Date of the last actuarial review/initial actuarial valuation\* made in respect of the Scheme (see note 5)

Day		Month			Year		

***Items (4) to (7) are for compilation of statistics (see note 20)***

(4) Total number of members of the Scheme as at the date of the application

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(5) Number of members of the Scheme who are holders of Hong Kong identity cards within the meaning of the Registration of Persons Ordinance (Cap 177) as at the date of the application

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***Items (6) and (7) are to be completed only for an application made in respect of a scheme under (i) section 14 of the Mandatory Provident Fund Schemes (Exemption) Regulation; or (ii) section 23 of the Ordinance in which the original scheme is an MPF exempted ORSO registered scheme.***

(6) Number of existing members who have been transferred from the original scheme to the Scheme

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(7) Number of new members who have been transferred from the original scheme to the Scheme.

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**SECTION III - THE RELEVANT EMPLOYER (see note 3)**

*If the Scheme (being a participating scheme of a pooling agreement) has only one relevant employer, only item (3) below should be completed.*

*If the Scheme covers two or more relevant employers, all items (1), (2) and (3) below should be completed. In completing item (2), the particulars of the representative employer should be given. Additionally, a copy of the power of attorney (see note 3) nominating the representative employer by all the relevant employers should be submitted with the application. In completing item (3), the particulars of each relevant employer should be supplied. Supplementary Form 2A annexed to this form, or photocopies thereof, can be used to insert additional entries if necessary.*

(1) How many relevant employers are there in relation to the Scheme? 

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(2) Particulars of the **representative employer**:

(a) Name (in English) : \_\_\_\_\_ 

For official use						
Code						

(in Chinese) : \_\_\_\_\_

(b) Please tick the appropriate box below (see note 12):

- Registered office in Hong Kong *(please provide copy of Certificate of Incorporation and Business Registration Certificate)*
- Principal place of business in Hong Kong *(please provide copy of Certificate of Registration and Business Registration Certificate)*
- Business address *(please provide copy of Business Registration Certificate)*

Address (in English):

Flat/Room	Floor	Block	Name of building
Street no.	Name of street		
Name of district/city/province		Area code/Postal code	
Name of region/country			

(c) Telephone no.: \_\_\_\_\_ Fax no.: \_\_\_\_\_

(d) Email address: \_\_\_\_\_

(e) Business registration no. in Hong Kong, if any: \_\_\_\_\_



(f) Apart from acting as the representative employer, is he also a relevant employer of the Scheme?

Yes  No

(g) Number of scheme members of the representative employer

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(h) If you wish to receive future correspondence on the address which is different from the above, please provide the correspondence address by a separate sheet.

(3) Particulars of the **relevant employer**:

(a) Name (in English) : \_\_\_\_\_

For official use						
Code						

(in Chinese) : \_\_\_\_\_

(b) Please tick the appropriate box below (see note 12):  
For Individual, business address is preferred.

- Registered office in Hong Kong *(please provide copy of Certificate of Incorporation and Business Registration Certificate)*
- Principal place of business in Hong Kong *(please provide copy of Certificate of Registration and Business Registration Certificate)*
- Business address *(please provide copy of Business Registration Certificate)*
- Residential address

Address (in English):

Flat/Room	Floor	Block	Name of building

Street no.	Name of street

Name of district/city/province	Area code/Postal code

Name of region/country

(c) Telephone no.: \_\_\_\_\_ Fax no.: \_\_\_\_\_

(d) Email address: \_\_\_\_\_

(e) Business registration no. in Hong Kong, if any: \_\_\_\_\_

(f) Number of scheme members of the relevant employer

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- (g) If you wish to receive future correspondence on the address which is different from the above, please provide the correspondence address by a separate sheet.

**SECTION IV - THE AUTHORIZED INSURER**

*For Sections IV & V below - Depending on the circumstances of the application, only one of these sections is required to be completed.*

*This section is to be completed only for a scheme participating in a pooling agreement which is the subject of or regulated by insurance arrangement (see definition in note 1).*

Particulars of the authorized insurer:

- (a) Name (in English) :

For official use						
Code						

\_\_\_\_\_

(in Chinese) : \_\_\_\_\_

\_\_\_\_\_

- (b) Please tick the appropriate box below (see note 12):

- Registered office in Hong Kong
- Principal place of business in Hong Kong

Address (in English):

Flat/Room	Floor	Block	Name of building
Street no.	Name of street		
Name of district		Hong Kong/Kowloon/N.T.*	

- (c) Telephone no.: \_\_\_\_\_ Fax no.: \_\_\_\_\_

- (d) Email address: \_\_\_\_\_

**SECTION V - THE TRUSTEE**

*This section is to be completed only for a scheme participating in a pooling agreement which is governed by trust (see notes 21-23)*

- (1) How many trustees are there in relation to the Scheme?

- (2) How many of the trustees are non-employer trustees (within the meaning in section 25 of the Ordinance) (see note 21)?



(3) Particulars of the trustee(s):

*If the Scheme has only one trustee, his particulars should be given below.*

*If the Scheme has two or more trustees, the particulars of one of the trustees should be given below and that for the others should be given individually in Supplementary Form 2B annexed to this form. Photocopies of Supplementary Form 2B can be used to supply the particulars of all other trustees.*

(a) Name (in English) : \_\_\_\_\_

For official use					
Code					

(in Chinese) : \_\_\_\_\_

\_\_\_\_\_

(b) Please tick the appropriate box below (see note 12):

Registered office in Hong Kong

Principal place of business in Hong Kong

Business address

Residential address

Address (in English):

Flat/Room	Floor	Block	Name of building

Street no.	Name of street

Name of district/city/province	Area code/Postal code

Name of region/country

(c) Telephone no.: \_\_\_\_\_ Fax no.: \_\_\_\_\_

(d) Email address: \_\_\_\_\_

(e) Hong Kong identity card no., if applicable: \_\_\_\_\_

(f) Date of appointment : 

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Day Month Year

(g) The type of trustee as described under the governing rules of the scheme:

Alternate Trustee

Emergency Trustee

Co-Trustee

Other, please specify: \_\_\_\_\_

Not Applicable



(h) Status of trustee (see note 21):

Employer trustee

Non-employer trustee

(i) Is the trustee named above (in the case of an individual) ordinarily resident in Hong Kong and is the holder of a Hong Kong identity card within the meaning of the Registration of Persons Ordinance (Cap 177) or (in the case of a body corporate) having a place of business in Hong Kong?

Yes

No

(j) Is the trustee named above a registered trust company (see definition in note 1)?

Yes

No

***If "No" is given in item 3(j) in the above and in all the Supplementary Form(s) 2B, please complete item (4) below (see note 23).***

(4) Particulars of the registered trust company:

(a) Name (in English) :

For official use						
Code						

(b) Registered office in Hong Kong (in English):

Flat/Room	Floor	Block	Name of building

Street no.	Name of street

Name of district	Hong Kong/Kowloon/N.T.*

(c) Telephone no.: \_\_\_\_\_ Fax no.: \_\_\_\_\_

(d) Email address: \_\_\_\_\_



**SECTION VI - THE DESIGNATED PERSON (see notes 24 - 25)**

The person(s) qualified to be the designated person(s) of a scheme is/are described in paragraph V of Annexure II of the guidance notes. Depending on the circumstances of the application, please indicate below the status of the designated person(s) of the Scheme.

The designated person(s) of the Scheme giving the undertaking is/are:

- (a) the authorized insurer named in Section IV .....
- (b) the trustee(s) named in Section V who *is/are*\* (in the case of an individual) ordinarily resident in Hong Kong and *is/are*\* the holder(s) of an identity card within the meaning of the Registration of Persons Ordinance or which *has/have*\* (in the case of a body corporate) a place of business in Hong Kong .....
- (c) a person whom the Registrar will direct under section 15(f)(ii) of the Ordinance to perform the functions imposed or conferred on a designated person (this will invariably be the registered trust company named in Section V of this form) .....

**SECTION VII - DOCUMENTS TO BE ATTACHED (see Annexure I of the guidance notes)**

The documents required to be submitted with the application for registration are listed out in Annexure I of the guidance notes:

No	Documents required for application	Provided (Yes/No/NA)
1	Statement by applicant	
2	(For participating scheme of a pooling agreement only) Statement by administrator	
3	Statement by solicitor	
4	Statement by auditor on scheme’s membership	
5	(For existing scheme only) Statement by auditor	
6	Undertaking by designated person	
7	(For defined benefit scheme only) Certificate by actuary	
8	(for existing scheme only) Audited accounts of the scheme, if any	
9	(For a scheme covering two or more relevant employers only) Power of attorney	
10	(For offshore scheme only) Submission in writing to the jurisdiction of the Court of First Instance of Hong Kong (by the trustee(s) or person acting on behalf of the trustee(s))	
11	(for offshore scheme only) Statement by legal practitioner	
12	Certified true copy of full set of scheme terms (e.g. trust deed or policy)	
13	Any other documents or information which may assist the Registrar in reaching a decision on the application	

✦ All required documents must be attached with the application; otherwise, the application may not be accepted ✦



**SECTION VIII - DECLARATION (see notes 3, 11 & 15)**

I/We declare that I/we have read the Personal Information Collection Statement and understand my/our rights and obligations in relation to the supply of personal data to the Registrar and the manner in which the Registrar may use or deal with the data.

I/We declare that to the best of my/our knowledge and belief the information given in this application form (including any attached Supplementary Form(s) 2A/2B and other separate sheets and supporting documents) is correct and complete.

Signature and company chop of the applicant  
(relevant / representative\* employer)

: \_\_\_\_\_

Name of authorized signatory (in English)

: \_\_\_\_\_

Title or position

: \_\_\_\_\_

Name of applicant (in English)

: \_\_\_\_\_

Date

: \_\_\_\_\_

\* Delete whichever is inappropriate.

✦ **Warning:** Every care must be taken to ensure that correct information is provided in this application. It is an offence under section 79 of the Ordinance for any person to provide information which is false in a material particular and which he knows to be false or he has no reasonable ground to believe to be true in such particular.

Name of the person and his telephone no. for the Registrar's enquiries in connection with this application:

Name : \_\_\_\_\_

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



## CHECKLIST FOR THE APPLICANT

Before you send in your application, check that you have:

1. completed every relevant section in this form and inserted “Nil”, “None” or “Not Applicable” in those sections or parts as appropriate; ( )
2. where the Scheme has two or more relevant employers, annexed to this form any Supplementary Form(s) 2A showing the particulars of the relevant employer(s) as requested under Section III of this form; ( )
3. where the Scheme has two or more trustees, annexed to this form any Supplementary Form(s) 2B showing the particulars of the trustee(s) as requested under Section V of this form; ( )
4. annexed to this form any additional separate sheets which form part of the answers to questions in this form; ( )
5. properly signed the declaration and stamped the official chop of the firm/company as appropriate in Section VIII; ( )
6. enclosed the crossed paper cheque, e-cheque or bank draft in Hong Kong dollars for \$1,800 made payable to the “MPFA Administration Account” in respect of the relevant application fee. (For payment made from a place outside Hong Kong: The MPFA only accepts payment by bank draft which can be drawn on a bank in Hong Kong and is in Hong Kong currency. Any bank charges incurred must be borne by the company itself.) For payment by e-cheque, please send an e-cheque via the e-Cheque Collection Portal (<https://echeque.mpfa.org.hk>). ( )

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***Staple your cheque or bank draft here.***



## MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

### PERSONAL INFORMATION COLLECTION STATEMENT (PICS)

This PICS is made by the Mandatory Provident Fund Schemes Authority (the 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 your 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 of an ORSO Scheme required under section 15 of the Occupational Retirement Schemes Ordinance (Cap 426) (the Ordinance) will be used and held by the MPFA for one or more of the following purposes:
  - (i) exercising and performing the MPFA's functions pursuant to the Ordinance, including, but not limited to, exercising and performing functions related to section 15 of the Ordinance of approving an application for registration of ORSO scheme;
  - (ii) considering any other application(s) made under the Mandatory Provident Fund Schemes Ordinance (Cap 485) (the MPFSO) and the Ordinance which is related to you;
  - (iii) establishing and maintaining public registers which will contain particulars including the name of employer, investment manager, designated person and scheme administrator;
  - (iv) ensuring compliance with the MPFSO and the Ordinance;
  - (v) enabling or assisting the MPFA and other regulatory bodies/law enforcement agencies/government departments to perform functions under the MPFSO and the Ordinance or their respective regimes including without limitation monitoring, surveillance, inspection, investigation, taking supervisory and/or enforcement actions, and/or conducting any legal, disciplinary or appeal proceedings, provided that such enablement or assistance by the MPFA is subject to the MPFSO or the Ordinance;
  - (vi) research and statistical purposes; and
  - (vii) 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 by the MPFA, and, in some circumstances, hindering the MPFA from performing its functions.



## **Transfer 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:
- (i) the Chief Executive;
  - (ii) the Financial Secretary;
  - (iii) the Secretary for Justice;
  - (iv) the Insurance Authority;
  - (v) the Hong Kong Monetary Authority;
  - (vi) the Securities and Futures Commission;
  - (vii) the Commissioner of Inland Revenue;
  - (viii) the Official Receiver appointed under the Bankruptcy Ordinance (Cap 6);
  - (ix) 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);
  - (x) the Privacy Commissioner for Personal Data;
  - (xi) the Ombudsman;
  - (xii) the Registrar of Companies;
  - (xiii) the eMPF Platform Company Limited;
  - (xiv) the system operator of an electronic MPF system<sup>1</sup>;
  - (xv) the Accounting and Financial Reporting Council established under the Accounting and Financial Reporting Council Ordinance (Cap 588);
  - (xvi) the Hong Kong Police Force;
  - (xvii) any relevant courts, panels, tribunals and committees; and
  - (xviii) other law enforcement agencies, government departments, regulatory bodies, corporations, organizations or individuals in Hong Kong or in a place outside Hong Kong for the purposes of the MPFSO or Ordinance.

## **Public Registers**

4. The MPFA is required to establish and maintain a register of MPF exempted ORSO schemes and a register of ORSO schemes registered or exempted under the Ordinance, containing specified data (including personal data), pursuant to the relevant provisions of the MPFSO and the Ordinance. The MPFA is required by law to make the registers available to the public for inspection. The purpose of the registers is to enable members of the public to ascertain whether or not an ORSO scheme has been exempted from MPF requirements and whether an ORSO scheme has been registered or exempted under the Ordinance, and to obtain the basic

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<sup>1</sup> Electronic MPF system means an electronic system designated under section 19I(1) of the MPFSO.  
June 2024



information of the ORSO scheme. A member of the public may inspect the register of MPF exempted ORSO schemes free of charge. A member of the public may inspect the register of ORSO schemes registered or exempted under the Ordinance, or apply for a certified copy of an entry in the register, on payment to the MPFA of the respective prescribed fees.

### **Access to Personal Data**

5. 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

6. The MPFA's Privacy Policy Statement is available on the MPFA's website at <https://www.mpfa.org.hk/en/privacy-policy>.