



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

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**By Email**

23 September 2015

Circular Letter: SU/CCI/2015/003

To: All Principal Intermediaries

Dear Responsible Officers,

**Arrangement for handling of personal account enquiries  
made on behalf of scheme members by registered intermediaries**

I write further to our email dated 20 August 2015 regarding the arrangement for handling personal account enquiries submitted by registered intermediaries as authorized persons.

In view of the need to better safeguard scheme members' interest and their personal data and to prevent potential criminal activities that might be conducted in connection with the use of our personal account checking services, the Authority has conducted a comprehensive review of the current mode of operation of handling personal account enquiries made by registered intermediaries on behalf of scheme members.

Please be informed that, with effect from **1 November 2015**, we will implement enhanced procedures on handling personal account enquiries. Scheme members who wish to make enquiries through registered intermediaries will need to authorize principal intermediaries, instead of subsidiary intermediaries. Please find below the key steps to be followed by principal intermediaries in this regard:

- (1) Download the new “Personal Account Information Enquiry Authorization Form (Principal Intermediary) (Form PA-AP(PI))” (the “**Form**”) from the Authority’s website at [www.mpfa.org.hk](http://www.mpfa.org.hk)<sup>Note</sup> and fill in the information about the principal intermediary for use by their subsidiary intermediaries;
- (2) Collect the completed Forms from their subsidiary intermediaries, conduct checking on the accuracy and completeness of the information on the Forms and fill in a summary sheet which can be downloaded from the Authority’s website<sup>Note</sup>;
- (3) Submit the completed Forms (together with the summary sheet) in batch to the Authority in person or by post to MPFA (Liaison Unit), Level 25, Tower 1, Millennium City 1, 388 Kwun Tong Road, Kwun Tong, Kowloon, Hong Kong;
- (4) Collect the reports in person at the same location after notified by the Authority that the reports of personal account enquiries are ready for collection; and
- (5) Distribute the reports to their respective subsidiary intermediaries for their forwarding to the scheme members.

Principal intermediaries are strongly advised to ensure an orderly submission of the completed Forms. At the same time, principal intermediaries are required to ensure that they have in place proper personal data handling procedures on submitting requests, collecting and distributing reports and that their subsidiary intermediaries, employees or service providers who are necessarily delegated to assist in any stage of the workflow follow the procedures. Principal intermediaries are also required to maintain proper internal audit trails to demonstrate compliance with the same.

Upon implementation of the above arrangement, subsidiary intermediaries can no longer act as authorized persons for checking personal accounts for scheme members. With regard to the “Personal Account Information Enquiry Authorization Form” (Form PA-AP) signed by a scheme member before 1 November 2015, the Authority may at its discretion process such cases via the drop-in box arrangement mentioned in our earlier email until 30 November 2015. Please remind your subsidiary intermediaries to use the new Form PA-AP(PI) starting 1 November 2015. A copy of the new Form and the summary sheet are attached for your reference in advance.

*Note:*

*Form PA-AP (PI) and summary sheet can be downloaded from the Authority’s website at [www.mpfa.org.hk](http://www.mpfa.org.hk). Please click “Intermediary” under “Industry Practitioner” and then “Forms” under “Useful Tools” to access the documents.*

Please disseminate the requirements mentioned in this circular to your subsidiary intermediaries and provide necessary assistance for their compliance with the requirements. Subsidiary intermediaries should follow the procedures set out by their principal intermediaries and read the notes of the Form carefully before helping scheme members to complete the Form. Where appropriate, training / sharing sessions and/or sample templates should be provided to your subsidiary intermediaries to facilitate their compliance with the revised procedures.

Should you have any questions about this circular letter, please do not hesitate to contact our hotline at 2918 0102.

Thank you for your attention.

Yours sincerely,

A handwritten signature in black ink, appearing to be 'J. Lee', written in a cursive style.

(Joseph Lee)  
Head  
(Supervision Division)

Encl

c.c. Hong Kong Monetary Authority – Mr Kevin Sham  
Securities and Futures Commission – Ms Emily Ho  
Office of the Commissioner of Insurance – Ms Shirley To