



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

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14 September 2012

Circular Letter: SU/CCI/2012/004

To: All Corporate Intermediaries

**By Email and Post**

Dear Responsible Officer,

**Preparation for Implementation of the  
New MPF Intermediary Regulatory Regime**

This circular letter is the fourth in the current series which is concerned with implementation of the Mandatory Provident Fund Schemes (Amendment) Ordinance 2012 (Ordinance).

**Guidelines on Conduct Requirements for Registered Intermediaries (Guidelines VI.2)**

The Ordinance provides a statutory framework for the regulation of MPF intermediaries to facilitate the implementation of the Employee Choice Arrangement on 1 November 2012. For the purposes of providing guidance in respect of the minimum standards of conduct expected of regulated persons who engage in sales and marketing activities and giving advice in relation to MPF schemes, the new Guidelines VI.2 have been issued. In particular, the Guidelines provide guidance on the circumstances in which the MPFA will be satisfied that a regulated person has, or has not, complied with the legal performance requirements that are set out under sections 34ZL and 34ZM of the Mandatory Provident Fund Schemes Ordinance (MPFSO) for the purposes of section 34ZW of the MPFSO. The Guidelines also provide guidance to the frontline regulators in performing their supervisory and investigatory functions

relating to regulated persons under the MPFSO.

Please ensure that these Guidelines are circulated to all individual intermediaries sponsored by you and that you put in place procedures and controls to ensure compliance with Part IVA of the MPFSO including, the performance requirements.

Copies of the new Guidelines can be downloaded from the Authority's website at <http://www.mpfa.org.hk>.

Should you have any questions about the contents of this letter or those issued previously, please do not hesitate to contact me or my colleagues, Ms Susanna Lee on 2292 1151 or Ms Clio Wong on 2292 1369.

Thank you for your attention.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Robin Gill', with a small horizontal line underneath the name.

(Robin Gill)  
Head (Intermediaries)

c.c. Hong Kong Monetary Authority – Mr Kevin Sham  
Securities and Futures Commission – Mr Sam Tung  
Office of the Commissioner of Insurance – Ms Fanny Chu